Psychotherapists Becoming Leadership Consultants: The Making of an Institutional Entrepreneur

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PSYCHOTHERAPISTS BECOMING LEADERSHIP CONSULTANTS: THE MAKING OF AN INSTITUTIONAL ENTREPRENEUR

A Dissertation Presented

by

Mercy Burton Russell, M.S.W.

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ABSTRACT

Leadership consultants bring specialized knowledge into their clients’ organizations. Advisor leadership consultants (ALC) trained as psychotherapists apply concepts from human behavior theories as advisors to business leaders. They also bring service-oriented professional norms and values of objectivity, neutrality, and lack of self-interest. Their business clients in the market sector operate according to norms and values of pragmatism, financial self-interest, and advocacy. In order to establish credibility in the organizational field of business clients, leadership consultants must negotiate between these different value systems.

This study is a grounded theory inquiry using narrative analysis tools to study how ALCs navigate across the boundaries of psychotherapy practice and consultation in the corporate setting. How do they describe their practice choices as well as the principles and theoretical framework underlying those choices? In-depth interviews were conducted with a convenience sample of 10 leadership consultants credentialed and experienced as psychotherapists. A snowball method of participant recruitment from my social and professional network yielded a group of 10 ALCs aged 50 to 86.

Each of these ALCs entered their careers with a predisposition for business from their families. They each experienced significant loss in early life and followed divergent educational and career pathways. They have built their leadership consulting practices accepting business practices to gain access to clients while incorporating important relationship principles. As institutional entrepreneurs, they managed conflict with values in both the service and the marketplace sectors through innovative therapy, consulting and business practices.
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Examining the Careers of Psychotherapist Leadership Consultants:

Easy Riders Straddling Two Worlds

CHAPTER ONE: INTRODUCTION

In the course of my 30-year career as a clinical social worker, I have witnessed the migration of colleagues from mental health clinical practices to executive coaching practices serving business and organizational leaders. The financial benefits of contractual work in the Business sector for mental health professionals outweigh the income possible in the health care sector five to ten-fold (Coutu & Kauffman, 2009; Newsom, 2008). How do psychotherapists change when they move their businesses from the service sector to the for-profit sector? I turned to the literature on the leadership industry to find out more about the leadership industry and psychotherapist leadership consultants.

There is a broad consensus that leadership matters. Leaders are held responsible legally, financially and ethically for the well being of corporations and citizens. Sixty billion dollars is a rough estimate of annual expenditures on leadership development by private and public sector organizations (O’Leonard & Loew, 2012) (See Literature Review for discussion of economic value of leadership industry). While corporations build large university-scale training and development divisions, corporate suite (C-suite) leaders continue to turn to external consultants for guidance and training (Fulmer, 1997; Huselid, Jackson, & Schuler, 1997). The return on investment of those services has not been demonstrated empirically despite industry claims. The benefit of the work of leadership consultants is debated
Peer-reviewed studies of leadership consultants focus only on the content of the work performed and evaluate specific techniques for which the authors are paid to deliver. Dissertation research studies of leadership consultants compare coaching with counseling skills and work practices (McCleland, 2005; Newsom, 2008).

Psychotherapists working in the leadership industry market their expertise in knowledge of human behavior and their skills as a therapist. At the same time, they agree with consultants with business or coaching backgrounds that knowledge and experience in the Business world is critical to success (Coutu & Kauffman, 2009; Joo, 2005; Kampa-Kokesch & Anderson, 2001; Wasylyshyn, 2003). What is lacking is an in-depth exploration of the experience of psychotherapists as they navigate the transition from a clinical practice to the hurly-burly of the corporate setting. In particular, I was curious about how they carry their principles of practice with them and how those principles change.

**Purpose of the Study**

Leadership consultants are independent advisors hired on a contractual basis by a client organization. Categorized as specialists within the occupational field of management consulting, leadership consultants provide education, training, strategy, coaching and advising services to individuals and groups in the workplace. An outgrowth of executive coaching, the field originated with a focus on Chief Executive Officers (CEOs), executives and managers in the workplace and has
expanded to include all members of an organization. Originally a function of contracted outsiders, leadership development services have also evolved in some large corporations as an internal function of Human Resource Departments (Espedal, 2005; Hamlin, Ellinger, & Beattie, 2008; Kellerman, 2012; Resources, 2016; University, 2016). I use the term “leadership consultant” to encompass the roles that are also described as “executive coach”, “organizational consultant” and “change management consultant”. The work of organizational psychologists is also included. My questions involve the leadership consultant functioning as an independent external contractor.

As members of an emerging and boundary spanning profession, most leadership consultants (LCs) derive authority from outside the organization to which they are consulting (David, Sine, & Haveman, 2013; Joo, Sushko, & McLean, 2012; Kampa-Kokesch & Anderson, 2001; Wasylyshyn, 2003). For the purposes of this study, I categorized LCs in terms of the source of the authority that legitimizes how the consultant conceptualizes the solutions offered to the client (David et al.). I also distinguish the niche, or novelty, of each subspecialist. My research has identified these five categories:

1) “Expert” LCs (ELC) have experience in management and/or leadership positions in the organizational fields to which they consult. Authority comes from experience in the organizational field of the client; novelty comes from outsider status. Robert Greenleaf’s management and executive experience in 28 years with AT&T was the grist for his concept of servant leadership.
(1977). Jack Welch, former CEO of General Electric, is a well-known executive who developed a second career as a management consultant after leaving GE in 2003 (Welch & Welch, 2015). Stephen Covey drew on his experience in management to consult and educate leaders and created a global firm professional-services firm (Covey, 1989; Jackson, 1999; Wikipedia, 2016).

2) “Business” LCs (BLC) have educational degrees in business-related fields, e.g. MBA, CPA, CFA. Authority comes from higher education and experience in the market sector; novelty comes from applying business, administrative, and/or financial knowledge to the organization. John Kotter has shaped leadership and management consulting from his chair as a scholar (Kotter, 2012). Jim Collins, M.B.A., has based his management consulting and training practice on university-based research. (Collins, 2001; 2016).

3) “Organizational Development” LCs (OLC) are organizational, industrial or consulting psychologists trained in workplace group psychology. Authority comes from professional higher education and special knowledge in the psychology of the workplace; novelty comes from applying knowledge of human workplace behavior to the Business enterprise (Burke, 2008; Puccio, Murdock, & Mance, 2007; Schein, 1999). Kaiser and Curphy are organizational psychologists who each maintain leadership consulting firms (Curphy, 2016; Kaiser, 2016; Kaiser, Curphy, Gordy, 2013).

4) “Advisor” LCs (ALC) are professionals trained in service disciplines including medicine, clinical psychology, social policy, social work, counseling, divinity
and law. Authority comes from professional higher education in life and social sciences; novelty comes from applying science of human emotional and social behavior to the Business enterprise. Margaret Wheatley, schooled in systems thinking and social policy, is a consultant and seminal thinker in the science of leadership (2010). Peter Northouse, an emeritus speech communications scholar, applies his studies of leadership as an expert consultant (2010).

5) “Coach” LCs (CLC) may or may not have formal credentials or prior experiences as leaders or consultants. They market themselves as mentors to leaders. Authority comes from personal charisma, relationship networks and marketing skills; novelty comes from mystique of special personal experience and knowledge applied to well-being and efficacy of key individuals in the organization (Ely et al., 2010; Kilburg, 2004). Tony Robbins, a motivational speaker and head of a global firm that has been training leadership coaches since 1997, did not attend college (Robbins, 2007).

My primary interest is in the work practices of the ALC, in particular psychotherapists. Professionals trained as behavioral health clinicians often change the way they work with clients when they enter nonclinical counseling or consulting specialties, such as career counseling (Sampson, Loesch, & Vacc, 1998) or executive coaching (Newsom, 2008; Plunkett & Egan, 2004). While much has been written about the conceptual basis of psychotherapy, leadership and techniques for
leadership consulting, very little has been written about how these conceptual frameworks relate to principles for how ALCs run their practices of psychotherapy or leadership consulting. In addition, little is known about how this type of leadership consultant thinks about the changes he/she makes in work practices as he/she enters a new field of practice. As an example, Kott (2012) describes how organizational consultants with varied backgrounds apply concepts from a family systems theory to the tasks of leadership consulting, but Kott does not address how these organizational consultants apply this theory to how they run their own businesses.

In order to define the different milieus of Psychotherapy and the corporate setting of Leadership Consulting, I borrow the sociological concepts of the institutional logics of “professions” and the “market” as summarized by Freidson (2004). I include his logic of the “firm” or a bureaucracy.

The occupational class of professions organizes and controls their own work as well as who is qualified to do that work. The professional ideal includes a value of doing meaningful work based on knowledge and skill to please self and serve others. This value is held higher than maximizing income (Abbott, 1988a, 1988b, 1993; Freidson, 2004; Larson, 1979; Wilensky, 1964). Professionals specialize with unique training and skills to enhance the quality, rather than the quantity, of their output (Smith, 1976). They are persuaders whose authority is based on knowledge rather than social position.

For the purposes of this study, I will capitalize terms referring to institutions,
e.g. “Service sector” and “Professions”. As I discuss the values, norms and cognitive constructs aligned with the specialty of psychotherapy in the institution of Professions, I will use the term “Psychotherapy” or “Human Behavior” in reference to the area of knowledge that informs this professional field. (The capitalization distinguishes the use of these words from other uses (see Appendix A)). At times, I substitute the term “domain” for “field” as defined in Merriam Webster as “sphere of knowledge, influence or activity” (“domain”, 2016).

In the “Market” the primary motivation of work is to maximize income and the greatest satisfaction is in the ability to purchase goods and leisure. Efficiency is a valued means to a lower cost of production and a higher gain in profit. The goal is to court and win the consumer (Freidson, 2004; Kerr, 1950, 1954). I will also use the terms “For Profit sector”, “Commerce” and “Business domain” for this social institution. When referring to the values, norms and cognitive constructs associated with this social institution, I will use the term “Business” (see Appendix A).

In the “firm” the goal of work is to keep a job and to serve the goals of the organization with whatever skills are needed. Also known as a bureaucracy, the firm provides a hierarchical structure that provides security and longevity for the organization that delivers goods or services to consumers. Here, managers dictate the quality and quantity of work (Freidson, 2004; Weber, 1978). Here, the terms “Firm”, “Government/Regulatory domain” and “Bureaucracy” will refer to this social arena.
Psychotherapy professional training is grounded in theories of human behavior from the academic disciplines of psychology, psychiatry and clinical social work. Psychotherapists are schooled in human behavior theories in the master’s and doctoral degree academic programs that are a primary credential for professional legal and ethical status (Dissertator-No-More, 2008). They are educated and trained in the context of the structures, practices and assumptions of behavioral medicine in service-oriented organizations (Abbott, 1988a; Dyeson, 2004; Pearson, 2012). As members of the occupational class of professions, they organize and control their own work. With the arm of government regulation, they control who is allowed to provide these services to consumers independently or as employee of an organization. The professional ideal includes a higher value of doing good work to please self and others than maximizing income (Abbott, 1988a, 1988b, 1993; Freidson, 2004; Larson, 1979; Wilensky, 1964).

This context changes when psychotherapists work as leadership consultants. Leadership consultants work with clients, managers and executives, in the milieu of the structures, practices and assumptions of business enterprises that are part of the market. Some of these specialists are employed by firms under management in a bureaucratic model or as trainers and coaches employed by the Human Resource Departments of for-profit companies whose primary goal is to generate profits from sales to consumers (Dyeson, 2004; Espedal, 2005; Grant, Passmore, Cavanagh, & Parker, 2010). In this study, I focus on leadership consultants who work as independent contractors.
As travelers between the for-profit sector and the professional sector, ALCs carry concepts of human behavior with them from one sector to the other. These concepts are the basis of their leadership consultation. Ultimately, the content of consultation is protected from observation. However, the ALC enters into a different relationship with the leadership client than he had with the therapy client. His business practices structure that relationship. Traditional business practices of psychotherapists are based in principles derived from the behavioral sciences. How do ALCs apply these principles when they consult in the executive suite? Is it possible that examination of principles and concepts can shed light on the experience of spanning the boundaries of these two domains?

Rhode and Packel (2011) document over 1500 definitions of leadership and 40 theories of leadership. The ways in which ALCs use theory to understand the personal and leadership dilemmas of their clients is not the subject of my study. ALCs may use one or more concepts from a variety of fields in choices regarding their relationships with clients and in management of their practice of psychotherapy and leadership consultation. These concepts could originate in disciplines of study including psychology, sociology, organizational psychology, economics, social policy and even biology. In addition, the conceptual basis of practice choices can differ from the conceptual basis of assessment and amelioration of the client’s dilemma.
Research Statement

High expenditures for leadership consulting continue to increase across many sectors of organizational life in the United States and globally. Despite industry claims (see Jackson White Paper misattribution (Huselid et al., 1997)), the actual monetary value of those services has not been demonstrated empirically. Corporate expenditures on leadership consulting services are not disclosed in public records. Estimates can only be inferred from secondary sources, such as U.S. Bureau of Labor Statistics industry employment and U.S. Census Business data. For example, in the former, leadership consulting is an unidentified specialization of multiple labor industry categories such as Professional and Management Development Training, Management Consulting, Administration Management Consulting Services, and Human Resources Consulting Services. Internal survey reports by large management research firms are based on surveys of association members and clients (Deloitte, 2014). These are produced for industry marketing purposes and are not available to the public, except at a high cost.

The “wild west” nature of the leadership industry is a relatively recent outgrowth of the executive coaching branch of management consulting. “Like the Wild West of yesteryear, this frontier is chaotic, largely unexplored, and fraught with risk, yet immensely promising” (Sherman & Freas, 2004, p. 1). Widely diverse flanks of professionals and entrepreneurs have crossed the corporate threshold under the banner of “leadership”. Furthermore, leadership consultancy is currently a profession unregulated by government or laws. Professional associations of
coaching, counseling psychology, and organizational development race to promote standards of training, supervision and practice as they maneuver to establish credibility and prominence in the field (Blanton, 2014; Brotman, Liberi, & Wasylyshyn, 1998; EEI, 2014; IMC, 2005; Leonard, 2014; Sperry, 2014). However, there is little research describing the people who work as leadership consultants.

There is no reliable evidence of improvement in the quality of work of leaders or tangible benefits to the corporation. Even leaders in the field debate the benefit of the work of executive coaching and leadership development (Fulmer, 1997; Kaiser, Curphy & Gordy, 2013; Kellerman, 2012; Nikolova & Devinney, 2012; Rothman, 2016; Vicere et al., 1994). While many corporate executives welcome and prescribe coaching services to their direct reports, evaluation of the outcomes is inconsistent and not standardized (Canato & Giangreco, 2011; Gurdjian et al., 2014; Sherman & Freas, 2004).

The voluminous research on leadership consulting is inadequate for the purposes of this study. Studies published in peer-reviewed journals describe the content and structure of the work of leadership consultants. However, these studies either evaluate and/or compare specific practices for which the authors are paid to deliver (Grant, 2014; Kaiser, Curphy, Gordy, 2013; Kellerman, 2012; Niemes, 2002; Orenstein, 2002). This is a limitation because objectivity and neutrality can be compromised when there is a financial interest in the outcome of a research study. These research outcomes are almost always used in the marketing of consultation services. Furthermore, principles of professional practice can change when the
financial stakes are higher for both the consultant and the client. Self-interest and the potential for personal financial gain can result in decreased objectivity and less neutrality in practice (Burchell, Clubb, Hopwood, Hughes, & Nahapiet, 1980; Eramsadati, 2012; Fogarty & Rogers, 2005).

The scant research on the work life of leadership consultants is limited to qualitative studies published as dissertation theses. The focus is on self-report of methods used to assist clients (Cummings, 2013; Meddaugh, 2012; Newsom, 2008) and the aspects of the consulting work that bring a sense of accomplishment (McCleland, 2005). Impartial outcome research on specific consulting approaches to leadership coaching requires third party observation of elite consultants and their elite clients. However, the highly confidential nature of these relationships is an obstacle to direct observation (Hertz & Imber, 1993).

Transfer of values is overlooked in the research focus on the content of leadership consulting. Knowledge from the social sciences of human behavior applied to the workplace is the basis of leadership consulting. A primary assumption is that application of this knowledge is necessary for improvement in organizational performance. However, it is not clear that this transfer has produced a higher quality of leadership and organizational functioning over the past 20 years. Embedded in this knowledge are humanist values that are distinctly different from the values of commerce. Little is known about how the ALC thinks about this transfer of knowledge and values.
Work practices embody values. Actions speak louder than words. The work of consultants is directed at demonstrable change in the behavior of the client. This work is performed with words. Little is known about what ALCs think about their own work practices. Research focuses on consultant and client self-reports of consulting techniques and satisfaction with the relationship and outcomes in the work life of the client. Examination of the work practices of ALCs and the principles they use to guide these choices provides a novel window into the transfer of knowledge and values.

The elite, confidential nature of the work life of ALCs precludes direct observation of work practices and the transfer of knowledge and values (Hertz & Imber, 1993). As professionals reflect on their practices, they express their principles and values both directly and indirectly (Schön, 1984). The conceptual frameworks that underlie practice choices requires closer examination to better understand the nature of the contributions ALCs make to high quality leadership.

**Significance**

The study of how leadership consultants think about their work has the potential to provide new directions of inquiry in the development of leadership industry practices. Examination of the interaction of conceptual frameworks and professional practice may provide possibilities for improvements in the training of leadership industry workers and other boundary-spanning professionals. In addition, description of the bi-directional transfer of norms and values between the
field of behavioral science and the arena of for-profit enterprise may provide insights into entrepreneurship in elite, highly confidential settings.

The Work of Leadership Consultants

What roles does theoretical or conceptual commitment play in ALC practice? Literature to date on the practices of leadership consultants has focused on techniques for working with clients based on concepts of leadership, group behavior in the workplace or comparisons with counseling practices. There is no published literature on how leadership consultants think about the conceptual basis of the choices they make in consulting business practices. The unique contribution of this study is the focus on the reflection of consultants on their behavioral choices in conducting their professional practice. This examination can contribute to improvements in skill training and development of all types of leadership consultants, as well as other professionals who transfer knowledge into new arenas of practice.

The leadership industry is currently an unregulated profession. Professional organizations seeking credibility and dominance in the field advocate for the standardization of practice and training. Normalization and regulation of best practices and professional ethics in leadership consulting specialties is possible as the profession matures (Abbott, 1993; Dyeson, 2004; Kampa-Kokesch & Anderson, 2001). How do highly paid ALCs negotiate the pressures and potential for conflict of interest with principled behavior in working across the service and marketplace sectors? Exploration of this question may contribute by raising questions for further
inquiry.

Knowledge about the Interaction of Theory and Practice

The application of theory to practice in any field varies with the level of knowledge, skill and experience of the practitioner. These qualifications are credentials that give professionals credibility and authority in the marketplace. Furthermore, the experience and observations of the practitioner contribute to the development and revision of the conceptual basis of practice decisions. The unique contribution of this study is the close examination of the practitioner’s cognitive process relating theory to specific workplace behaviors.

How practitioners use concepts and revise the conceptual basis of their practice can also become guideposts for the learning process of the novice practitioner. The application of concepts to practice can be an iterative process for the practitioner. The practitioner’s awareness of his/her assumptions and beliefs as well as how they change with experience is an important component of the self-awareness that leadership consultants and psychotherapists bring to their work (Schön, 1984). This qualitative research endeavor examines the process of self-examination of an ALC’s business practices. Insights could make a contribution for professional and continuing education on the relevance of theory to good practice for psychotherapists and leadership consultants as well as other knowledge-transferring professionals.

For practitioners who aim to apply principles derived from theoretical concepts to new fields of practice, the current study has the potential to shed light
on how and when social pressures may interfere with the consultant's ability to maintain a theoretically principled stance in practice.

**Professional Entrepreneurship**

This study examines a profession bringing special knowledge into the marketplace. Scott describes this as a modern version of keepers of “wisdom and moral authority - prophets, sages and intellectuals” (2008, p. 223). Examination of how ALCs navigate two sets of norms and values may shed light on how professionals develop new arenas of work as they transfer authority and skills to new organizational sectors. Also, analysis of this aspect of the experience of ALCs may shed light on creativity, innovation and self-starting behaviors in entrepreneurship.

**Ethical Practice**

Management of conflict in values is a critical component of ethical practice. This process is obscured in work that is based on the transmission of knowledge and relationship skills in an elite, confidential setting. The work is not readily observable and is outside the bounds of professional regulation. Insight into the experience of ALCs may illuminate both best practices and those that pose a risk.

**Research Questions**

1) What does the ALC think about the use of theories of human behavior as a guide for decisions about practice choices in the Business or marketplace sector?
2) What conceptual framework does the ALC use to explain choice of specific work practices as a psychotherapist and as a leadership consultant?

3) What can I learn about the degree of alignment of ALCs with the values of their profession and/or the values of their clients through examination of reported conceptual frameworks and practices and stated beliefs?
How Leadership Consultants Trained As Psychotherapists

Think About Their Business Practices

CHAPTER 2. REVIEW OF THE LITERATURE

Leaders hire leadership consultants, including Advisor Leadership Consultants (ALCs) trained as psychotherapists, to improve organizational outcomes. ALCs transfer knowledge of human behavior and therapeutic skills to the field of organizational development. These psychotherapists entering the organizational or workplace domain must adapt to the novel environment of the for-profit Business sector. How do they adapt?

Professionals working as external contractors may change under the influence of the systems they enter (Fogarty & Rogers, 2005; Lander, Koene, & Linssen, 2013; Lounsbury, 2008; Zuzul & Edmundson, 2013). In addition to knowledge and skills, ALCs bring particular assumptions from the social and life sciences. They also bring service-profession norms and values into market-oriented organizations. Marketplace assumptions, norms and values may affect the behavior, values and thinking of ALCs.

This study aims to generate concepts and/or hypotheses about the work lives of advisor leadership consultants in a grounded theory approach (Glaser & Strauss, 1967). The goal is to observe with a fresh eye the experience of ALCs as expressed in their reflections on the practice of their profession. In formulating the problem for this study, concepts from Institutional Theory have been useful handles. They also structure the observation of the bi-directional transmission of behaviors,
values and concepts between Psychotherapy and the corporate suite. This use of a formal theory is not intended to “dictate, prior to the research, ‘relevancies’ in concepts and hypotheses” (Glaser & Strauss, 1967). Here, the review of concepts from Institutional Theory will be used to set the stage for the organization of data collection and analysis of the transition of psychotherapists to the field of management consulting in Business. These tools may lead to the discovery of novel connections between these concepts and the careers of ALCs (Marshall & Rossman, 2011).

The literature review includes the following:

• Concepts derived from Institutional Theory, the study of social institutions that frame this exploratory study.
• A review of the study of professions including:
  o A description of Professions as a distinct institution.
  o The professions as creators of institutions.
  o The interaction between the institutional logics of the Professions and the Marketplace.
  o Institutional entrepreneurship by emerging professions.
• A review of existing research on the leadership industry and its workers.

**Relevant Concepts from Institutional Theory**

The following concepts provide a framework for observing the transfer of norms and values that ALCs make and experience. The concept of “institutional
logics” is a construct for underlying ways of thinking that create social cohesion in a group.

The concept of “agency” describes the role of the ALC as an individual actor whose behavior and choices can both conform to and deviate from assigned roles as a psychotherapist or consultant to the business leader.

The concept of “carriers” provides a practical way to categorize observable data in order to trace change in the individual and in the organizational field of practice.

**Tacit Expectations/Institutional Logics**

Tacit expectations or institutional logics are a set of assumptions that shape the norms and value systems in social groups. Organizational structures, practices and tacit assumptions derive from values specific to an organizational field or general social values, such as “capitalism,” “family,” “democracy” and “religion” (Friedland & Alford, 1991; Scott & Meyer, 1991). They are adopted or mimicked by organizations and individuals, usually without forethought. These expectations shape the organization, its field and the environment in which it develops, stabilizes and changes. While many organizations, groups or individuals comply with and perpetuate established practices (Fogarty & Rogers, 2005), some alter the model and create new structures and practices based on differing beliefs and values. Unacknowledged conflict between underlying or tacit assumptions, beliefs and values held by different players is one way of understanding organizational tensions and change dynamics. For example, a family business naturally straddles the
fundamental value systems of a biological “family,” (i.e., loyalty, interdependence and inheritance as a birthright) with the value system of the “capitalist market” (i.e., human resources as commodities, financial profit as a superseding goal, and merit as the basis of positional authority (Leaptrott, 2005). The family heir may not be the individual best suited to produce financial profit in the business. In decisions about succession, the founder of the family business may have to negotiate competing values of loyalty to the heir and financial profit as a business goal.

**Organizational Role of the Individual External Consultant/Agency**

Agents are individuals and subgroups that exert their will in organizational life. Their expression of tacit expectations through behaviors influences the structures and activity of organizations. Agents reinforce conformity to embedded organizational norms and values. They also defy these tacit expectations, which creates tensions and change for better and for worse. Defying norms of organizational behavior can be purposeful and explicit. Another form of defiance is action based in assumptions, norms and values imported, without awareness, from other value systems. For example, leadership consultants trained in service professions—acting as individuals, organizations (firms) or as a profession—can either comply with the assumptions and structures of the organizations to which they consult, or challenge these assumptions and structures in an effort to promote change (David, Sine, & Haveman, 2013; Kellerman, 2012; Scott, 2008). As an external player in the organization, the ALC shuttles between a set of institutional logics or behaviors, norms and values adopted or learned in professional education
and training, and a different set of behaviors, norms and values in the for-profit enterprise.

This concept captures the fluid and dynamic variation in expression of free will exerted by individuals acting as ALCs in the context of larger social arenas.

**Observable Evidence of Tacit Expectations/Carriers**

Carriers are the behaviors and material practices that transmit values and beliefs (Scott, 2013). These means or carriers of tacit expectations are various and can be examined. Observable means include:

1) Language which reflects standards, categories, typifications, schemas and frames;
2) Patterns of interpersonal interaction which reflect authority patterns and organizational structures;
3) Work practices which reflect roles, jobs, routines, and habits;
4) Objects, i.e. furnishings, decorative items, tools, and other artifacts that carry meaning.

Examination of these means provides a mode for observing the formation and transmission of values, beliefs and tacit expectations across organizations (Osborne & Gaebler, 1992; Raviola & Norbäck, 2013; Scott, 2008).

Language and practices are examples that can be applied to observe the work life of ALCs.
Institutional Theory and the Professions

The institutional study of professions dominated the field of the sociology of work and occupations before WWII and has continued to be central to development of this field (Abbott, 1993). This rich and well-developed body of scholarship provides a conceptual basis for examining the work of ALCs in the context of social forces.

Professionals play a key role in the development of norms, values and expectations in organizations. As individual actors subject to self-interest, they are vulnerable to pressures to conform to existing norms in new organizational fields.

The Professions as a Unique Occupational Sector

The professions rationalize both practices and conceptualizations that represent unique values such as disinterested service, neutrality, objectivity and independence (Scott, 2014). Professionals introduce norms, values and beliefs. They generate regulations, rules and procedures and create symbolic systems. As collectives and individuals, professions and professionals also transmit both explicit and tacit expectations to and across organizations.

Scott (1987) proposes that professions impose constraints and requirements on work, and infuse the social arena with values and myths about the nature of reality. For example, scientists, philosophers, historians and literary critics create theories that in turn construct social beliefs, symbolic systems, and cognitive-cultural frameworks. Lawyers, ethicists, theologians and accountants define principles that become norms and voluntary standards. Legislators, military leaders
and managers create regulations and laws, adopted and enforced by government (Scott, 2014).

Scott categorizes how the professions can perform different roles. The creative professionals create knowledge and conceptual frameworks. Carrier professionals diffuse these frameworks as advocates and interpreters. Clinical professionals apply the knowledge as solutions to problems. These functions are never truly neutral even though conducted with the presumption of objectivity (Scott, 2008). Often professionals operate across groups of organizations. The professional can carry new ways of conceptualizing and doing work from one organization to another. Conversely, and central to the rationale for the proposed study, the professional can adopt concepts and work practices of organizations in which they work as an external consultant. In turn, this can change the organizations to which those professionals belong as well as the values, norms and beliefs inherent to professional practice.

Among the limited number of academic studies of workers in the leadership industry, there is little research on how independent leadership professionals think about their work, the roles they play in transforming or reinforcing the values of their organizational clients or how they are changed by their work.

**The Role of the Professions in Conflicting Value Systems**

The study of professions highlights the role of actors in the dynamic tension between the value of disinterested service in the “social trusteeship” model of the professions (Brint, 1994; Freidson, 2004) and the value of profit motives in the
capitalist marketplace (Brint, 1994; Scott, 2008). The introduction of market values into fields previously defined by other values has been studied in examples representing the healthcare sector (Scott, Ruef, Mendel, & Caronna, 2000), higher education publishing industry (Thornton, 2004), public sector organizations (Brooks, Liebman, & Schelling, 1984; Osborne & Gaebler, 1992; Smith, 1975), nonprofit and voluntary sectors, higher education (Scott, 2014) and art-based careers (Lingo & Tepper, 2014; Thomson, 2014) among others. These organizational fields have begun to conform to the profit-oriented norms of the marketplace. In turn, corporations’ embrace of social responsibility ethics and practices represents the incursion of charitable social-action values into profit-driven fields.

The well-studied work of financial analysts demonstrates the two-way exchange of values between the Professions and Business. Financial analysts provide information to potential investors about the financial soundness and prospects of a for-profit company. Although financial analysts are trained as accountants to be neutral evaluators, research has demonstrated that the field disproportionately favors client company prospects and equity values (Fogarty & Rogers, 2005), resulting in overvaluation of a company’s value to potential investors. The profession of accounting should bring scientific objectivity and neutrality to the self-interest inherent in the stock market in order to instill confidence in the investor. However, the discovery of disproportionate endorsement of IPOs by these accountants suggests that the professional value of lack of self-
interest in the accounting field has been invaded by marketplace values of financial self-interest. My exploratory study fits into this stream of research by examining the interchange of belief systems of leadership consultants coming from the “social trusteeship” profession of psychotherapy into client organizations in the profit-motive marketplace.

Scott describes how professional organizational fields evolve due to both internal and external pressures. With the natural expansion of knowledge and expertise, as well as increasing complexity in roles, professions begin to specialize and to differentiate. The expansion of the number, size and social influence of professional organizations, as well as the corporatization of clients, has impacted the professions and influenced the values embodied and promoted by professional organizations. For example, professionals such as accountants, lawyers, and management consultants who serve corporate clients are more likely to structure professional groups with management structures and profit motives similar to their clients. The logics of independence and lack of financial interest are replaced by dependency and self-interest that in turn puts neutrality and objectivity at risk. The increased status associated with adherence to a business model and financial reward from Business clients drives this reverse transmission (Scott, 2008).

A subspecialty of management consulting, ALCs must navigate potential conflicts between values from their professional origins and values in the organizational field of their clients.
**Institutional Entrepreneurship and Emerging Professions**

An entrepreneur is an innovator who starts a new business that involves making an investment and taking a risk (Law, 2009). An institutional entrepreneur’s innovations influence the development of new organizational forms. They do this through advocacy for new structures, practices and roles in the organization. As the professions have become more diverse and specialized with the expansion of knowledge and applications, they often engage in action that changes organizations. In effect, they can function as institutional entrepreneurs (David et al., 2013).

In an historiographical study of professional management consulting, David et al. (2013) distinguish between professional entrepreneurship within a mature organizational field and professional entrepreneurship in an emerging organizational field. Individuals or organizations who introduce novel practices from within the organizational field are simply entrepreneurs. Institutional entrepreneurs are individuals or organizations that create innovative professional practices with norms, practices and values from outside the organizational field. They establish legitimacy for new professional practices that defy the status quo and create change in the organizational environment. Entrepreneurial professions must either convert mature organizations already wedded to established practices or convince potential clients from those organizations to accept innovative practices based in sectors with different values, norms and belief systems. Both types of entrepreneurship rely on establishing a theoretical basis for the innovation as well as establishing social legitimacy with established authorities and elites. The
difference is that innovators within a mature field are bound by values, norms, beliefs, relationships and endorsement from within the institution of the organizational field whilst innovators in an emerging field use rationales, collegiality and endorsement from institutions outside the organizational field (David et al., 2013).

The study of institutional cross-fertilization is most evident in emerging professional fields. David and colleagues (2013) describe institutional entrepreneurship during the emergence of management consulting during the early decades of the twentieth century. They examined how early management consulting firms drew on fields (academia, natural science, accounting and psychology) from outside those in which they established a new professional practice (Business). David et al.’s model for institutional entrepreneurship provides a tentative framework for the emergence of the leadership consulting specialization of management consulting in the late 1990s and first decade of the 2000s.

In addition, this study of ALCs also raises questions about the reverse dynamic (of cross-fertilization). This study will examine how an institutional entrepreneur (ALC) thinks about the use of theories from their primary profession in the work practices of consulting to clients within a different field. While the ALC’s authority is linked to expertise in the behavioral sciences, they may also use concepts or beliefs adopted from client organizations in order to gain credibility.
Leadership Industry and Its Workers

The origins of the leadership industry begin in primate social groups and are a core feature of social evolution. Individuals in a social group with assumed or assigned roles as a leader often rely on the role of confidante or advisor, even among nonhuman primates. Without station in the formal hierarchy of power, these individuals function to bolster the leader’s functioning. They can do this actively from the center of the social group or from the periphery. Franz De Waal describes this phenomenon in his book *Peacemaking Among Primates*. During observations at the world’s largest chimpanzee colony in captivity, De Waal observed the consistent mediation of conflicts between the alpha male and his younger contenders by a female matriarch (De Waal, 1990, 1998):

…Mama has special relationship with everyone. She acts as the mother of the group, hence her name. Even the adult males, physically fully dominant, sometimes act like ape children in her presence. During one of Mama’s interventions in a protracted conflict between Yeroen (beta male) and Nikkie (alpha male) she ended up sitting with one full-grown male in each arm. They did not stop screaming, but seemed at least to have ceased fighting. Then, suddenly, Yeroen reached over to grasp Nikkie by the arm. Mama found this unacceptable and chased Yeroen off. Later the two males made up by mounting, kissing, and fondling each other’s genitals, after which they discharged their tensions by together briefly chasing Dandy, a lower-ranking male. (p. 42)
As human social groups have evolved from multi-family groups to global societies, the role of advisor to leaders has retained particular features reflected in norms, protocols and regulations. In the complex differentiation of social roles, the professions represent specializations in advising functions. (For instance, consider the difference between a legal, medical and financial advisor.) A persistent feature of the confidante is that the content of the advising is “confidential” or indirect, if not hidden, from other members of the group. The closeted role of the advisor is reflected in the lack of regulative mechanisms directing the functioning of ALCs as a profession or as individuals within the industry (David et al., 2013; Newsom, 2008). Standardization of practices may be directed by either the professional norms of the ALC’s educational discipline (Blanton, 2014; Brotman, Liberi, & Wasylyshyn, 1998; Coutu & Kauffman, 2009; IMC, 2005; Sperry, 2014) or by the client organization (Christensen, Wang, & Van Bever, 2013). A variety of professional organizations have established norms of best practice and ethics codes and offer certification in specialties such as coaching, organizational psychology, etc. However, adherence to these norms and credentialing, as well as utilization of credentials by clients for hiring consultants, is strictly voluntary. Unlike psychotherapy practice, there are no regulative mechanisms in place to set standards, monitor or police practitioners (Kampa-Kokesch & Anderson, 2001; Newsom, 2008).

Leadership consulting is a recent innovation within the “soft” arena of management consulting whose domain is interpersonal dynamics within organizations. While leadership consultants may differ over the behaviors critical to
successful leadership, the assumption that the social construction of leadership is valid goes unquestioned (Rothman, 2016). An outgrowth of executive coaching, leadership consulting is a specialization also linked to organizational change management and organizational development. The focus of LC is on “leadership”. The language of change management and leadership development overlap in the vernacular of management consulting (Ignatius, 2014). Executive consulting focuses on broad needs and development of those in clearly defined positions of authority or high-value professionals, e.g. CEOs, Vice-Presidents, doctors, etc. Executive coaching is a one-to-one relationship-based service for individuals in positions of responsibility. Leadership coaching or consulting is focused on the development of the ability to influence others toward a goal, delivered to both individuals and groups at all levels in the organization. Clients of leadership consulting can include:

- High level executives,
- Mid-level individuals identified as high potential candidates for promotion,
- Those who function on an informal basis as influencers regardless of positional authority,
- Supervisors at all levels, and
- Even children.

**Social/Cultural Context of the Leadership Industry**

Barbara Kellerman (2012) traces the emergence of the leadership industry in the wake of a confluence of worldwide cultural and political shifts. The ideal of the strong individual leader, chosen for special talents and training, has eroded through
centuries of global expansion and political revolution. Citizens exerted their rights and power to choose their leaders and the framework under which they would be governed. The French revolution, the rise of democracy and communism signaled this shift. The traditions of a family-paternal model of leadership in government and private enterprise persisted through the women’s rights movement and culminated in the rise of Adolf Hitler in Nazi Germany in the 1930s (Kellerman, 2012). Simultaneously scholars of organizations began publishing on the topic of leadership qualities as early as Chester Barnard’s classic text, in 1938, *The Functions of the Executive* (Barnard, 1938; Hackman, 2010). Even while describing effective exercise of authority, Barnard devotes the first third of his book to the principle of cooperation reflecting the ambivalence about the singular hero leader. Kellerman asserts that the rise of the leadership industry in the 1960s is a reflection of dwindling confidence in leaders and the emergence of the primacy of the follower. The primary driver for the growth of the leadership industry was the stall in economic growth that began in the 1970s and 1980s, resulting in an increased focus on those in charge.

While “leadership” programs have infiltrated every avenue of social functioning, including education (at all levels), the non-profit sector, clergy and government, the private sector’s focus on leaders in the delivery of profits drives the leadership industry. Schools of business have tapped into this demand by offering leadership development programs that bring large financial gains to the educational institution as well as its faculty and graduates (Kellerman, 2012). Large
corporations have developed extensive in-house leadership development programs (Fulmer, 1997; Gurdjian, Halbeisen, & Lane, 2014).

**Leadership Industry Workers**

Leadership consultants hail from many backgrounds, conceptualize leadership in innumerable ways and employ a diverse range of approaches. The profession is unregulated by law or convention. Compensation is not linked to academic training, longevity of practice or outcomes beyond client satisfaction. Nevertheless, these professionals are reimbursed handsomely by all sectors of society from the largest global corporations to small school-based nonprofits and rural parishes (Coutu & Kauffman, 2009).

Leadership consulting emerged from executive consulting, a professional branch of management consulting that surfaced in the 1960s (Kellerman, 2012). Earlier forms of one-to-one consultation with an individual in leadership positions were:

1) the internal advisor, a trusted employee or peer (Lemon, 2005);
2) the management consultant working with an executive to improve organizational outcomes and advance career goals (David et al., 2013; Gomez, 2007; Orenstein, 2002; Pavur, 2013); and
3) the psychologist counseling an executive on work-related skills (Gomez, 2007; Kampa-Kokesch & Anderson, 2001).

In any of these situations, the one-to-one consultation with the executive/leader may involve observation of organizational relationship dynamics and coaching to
improve those dynamics (Bader, 1996; Bork, 1982; Fox, 1996; Gilmore, 1982; Kott, 2012; Orenstein, 2002; Wiseman, 1982). Kampa-Kokesch and Anderson cite numerous factors that converged to create the profession of the external executive consultant (2001). As the field matured, management consultants began to gain access to high-level executives in client organizations. In addition, psychologists, eager to earn a higher wage than they could command after the advent of managed care, began to enter the field of management consulting in large numbers.

In the 1990s these external consultants began to call themselves “executive coaches” regardless of their backgrounds. The term “coaching” was borrowed from the worlds of application of the personal coach model of sports and performance, where the coach’s role is to enhance the abilities of gifted individuals. Coaching life skills developed as an alternative to psychotherapy. In the Business world, it was assumed that action-oriented executives would be more receptive to “coaching” than to “counseling” (Kampa-Kokesch & Anderson, 2001).

As psychologists and other professionals trained in social and medical sciences (psychology, social work, psychiatry) entered the field of management consulting they began adjusting their practices to conform to norms belonging to management consulting and the marketplace. Management consultants with organizational psychology or organizational development backgrounds are oriented to the functioning of the organization as a whole (Fulmer, 1997; Kott, 2012; Minard, 1976; Orenstein, 2002; Worren, Ruddle, & Moore, 1999). Management consultants with a background in psychology or counseling are more likely to specialize in
assessment and counseling of the individual. Selection of potential executives and
development of current executives by management consultants initiated a focus on
leadership skills. Since that time two concepts, change management and leadership,
have entered the organizational world as well as the general vernacular, and
become the goals of executive coaching and leadership consulting.

**State of Empirical Research on the Leadership Industry and Its Workers**

To date, there has been very little independent research done on the work of
leadership consulting. A search conducted on the ABI/Inform Database of 35
databases for peer-reviewed article abstracts revealed how many more academic
studies focus on executive consulting than on leadership consulting:

- “Executive coach*” – 96
- “Executive coach” – 11
- “Executive consult*” – 0
- “Executive consultant” – 0
- “Leadership coach*” – 17
- “Leadership coach” – 0
- “Leadership consult*” – 0
- “Leadership consultant” – 0

Reliable demographics for this occupation are not available through
scholarly or industry research. Scholars have so far relied on surveys collected by
their colleagues who participate in and benefit financially from the industry
(Deloitte, 2014; Winsborough & Chamorro-Premuzic, 2013). Moreover, these
surveys are limited to the organizations served by the entity collecting data, even when that entity is a university-based “executive education” or “executive leadership” program dependent on revenues from clients (Vicere, Taylor, & Freeman, 1994). Industry reports and research even when conducted by university-affiliated scholars, often rely on references to writing in the popular media and are rarely based in impartial empirical study (Winsborough & Chamorro-Premuzic). Christensen et al. (2013) describe the opaque nature of data in the consulting industry, available to clients only for a fee and to outsiders only for an endorsement.

The work of the leadership coach or consultant was not the subject of any of the articles that turned up in the search. My reading of existing descriptions of the work performed by leadership consultants is that they are either prescriptive or comparative studies of diverse pedagogies that might be amenable to results-oriented clients. Little research is available from scholars who do not profit financially from the methods they study. The research methods employed in leadership research include surveys, evaluation studies and qualitative studies of leaders. As Worren, Moore, & Elliott (2002) articulate, the level of knowledge considered most appropriate for Business clients is that based in praxis and techne as defined by Aristotle (Worren et al., 2002). In their argument for “the development of useful knowledge” and “pragmatic validity”, scholars display the ubiquitous bias in the field of leadership study against “explicit and propositional knowledge” and “scientific validity” (p. 1227). (The lack of simple demographic and descriptive work
of the leadership consultant may reflect the priority of production of tools and actions that can be offered to Business clients.)

In order to situate the current study in the range of research related to leadership consulting, the review of research on work processes includes studies on executive coaching. Studies cited here are examples of three categories of research on work processes on leadership consultants and executive coaches addressing the following questions:

1) What type of coaching delivers results? Each of these studies evaluates a specific approach to coaching and may or may not include outcome measures.

2) What do coaches need to do their job well? These studies describe the experiences of coaches in their work and their skill development.

3) How does executive coaching compare with counseling/psychotherapy? These studies compare theory, techniques and work practices of coaches, consultants, counselors and psychotherapists.

**Studies on What Type of Coaching Delivers Results**

Norwegian management scholars Gro Ladegard and Susann Gjerde (2014) conducted the highest-quality study that I found. Of note is that, unlike all the other studies reviewed here, neither of these researchers appears to be remunerated for the executive coaching practice they study. Their evaluation of leadership coaching starts with a review of literature; next they hold focus group discussions with
coaching-certified leadership consultants. From hypotheses derived from this exploration, the authors proposed four measures of successful coaching,

- Leader Role Efficacy (LRE)
- Leader Trust in Subordinates (LTS)
- Subordinate Empowerment (SE)
- Subordinate Turnover Intention (STI)

Data were collected through survey instruments completed by 1) leaders who participated in a six-month coaching program (N=24) and those leaders’ direct reports (N=63) and 2) a control group of leaders from the same company who did not participate in the coaching (N=6) and their direct reports (N=17). They found the following positive results among the coached leaders that were absent in the control group: 1) an increase in Leader Role Efficacy correlated with an increase in Leader Trust in Subordinates and 2) an increase in Leader Trust in Subordinates correlated with a decrease in Subordinate Turnover Intention. There were no significant correlations between Leader Trust in Subordinates and Subordinate Empowerment. Facilitative behavior in the coach was correlated with increases in Leader Role Efficacy and Leader Trust in Subordinates (Ladegard & Gjerde, 2014). While this method controlled for the self-interest of the coach and the leader by gathering correlating data from direct reports, these measures are based on the subjective experience of the leader and employees who depend on that leader’s goodwill. As the authors point out, the leaders who participated in coaching were self-selected which reduces the likelihood that the differences between the coached
leaders and those in the control group were primarily a result of coaching (Ladegard & Gjerde, p. 644). Even though outcomes are measured, they are generalized statements about what the respondent would do, think or feel. While the subjective bias of any self-report would introduce errors, a self-report on the performance of a specific behavior may be more reliable than a self-report on a cognitive or emotional state. The study offers no direct observational measures of behavior or outcomes in work performance. Furthermore, the study does not address whether or not short-term changes in leader behavior lead to stable or long-term change or improvement in either group or organizational functioning.

In a study evaluating the effectiveness of executive coaching during a period of organizational change in a global engineering consulting company, Anthony M. Grant (2014) used self-report psychological instruments in a questionnaire delivered before and after a four-month coaching program, along with two open-ended questions in the post-intervention questionnaire. He measured goal attainment, solution-focused thinking, ability to deal with change, leadership self-efficacy, resilience, depression, anxiety and stress, and workplace satisfaction. The coaching program set four goals for improved efficacy of leaders, preparing them to:

(1) Meet the challenges inherent in a period of substantial organizational change,
(2) Enhance their leadership and management skills, and develop their personal leadership ‘brand’,
(3) Develop their ability to work more collaboratively across the client
organization’s Business sectors, and

(4) Enhance their professional development and career opportunities.

Variables aligned with explicit coaching goals showed improvement, particularly goal attainment, solution-focused thinking, change readiness, leadership self-efficacy, resilience, and depression. No changes were evident for stress, anxiety, or workplace satisfaction. Qualitative analysis of the open-ended questions revealed primary improvement in the participants’ self-awareness, clarity of thought, leadership brand, leadership skills, achievement of organizational goals as well as better work-life balance and relationships with family. The leaders identified only minor changes in team effectiveness and in their own relationships with direct reports (Grant, 2014). No data was collected from the leader’s supervisors or direct reports for an independent assessment of improvements.

Grant’s (2014) study exemplifies the main problem with research on executive coaching directed at leadership skills. The study offers little evidence beyond the “feel good” measures of the leader’s satisfaction that the consultation has had an impact on the leader’s direct reports or on the organization in which the leader is employed; there is no data on market-value, service-value or relationship-value outcomes. In addition to holding an academic post at Sydney University, Grant has a professional practice of executive coaching. An independent leadership consulting firm, YSC, provided the coaching services in Grant’s study. Although Grant does not have a formal position in this firm, results of this research are used to promote the company in an YSC press release:
YSC recently partnered with SKM and Dr. Anthony Grant at Sydney University to evaluate the impact of our coaching on a global cohort of executives and senior managers. We were thrilled with the compelling results. (YSC, 2014)

The lack of disclosure about his own relationships with either YSC or a YSC client, the engineering consulting firm, raises questions about possible bias in Grant’s study.

Studies on What Coaches Need to do Their Job Well

As a dissertation research project, McCleland (2005) conducted a qualitative phenomenological study of the degree of satisfaction and challenge in the experience of executive coaches working with clients. Interviews with five executive coaches used 10 open-ended questions. Data analysis of the interviews revealed that the five coaches share seven common experiences of establishing and developing their relationship with the client: “Authentic hope and understanding, the big exploration, intense client focus, a valuable affinity, coaching as art, candid assessment, and parting with a growing friend” (McCleland, p. iii). The researcher’s conclusions focused on the meaning of the coach’s work to the coach. The study did not aim to report any observable behaviors or structured work processes that would represent what the work meant to the leader or to any component of the organization. McCleland is currently Executive Director of EQUIP, a nonprofit “specializing in training and mobilizing effective Christian leaders” (EQUIP, 2014).
At the time he conducted this dissertation research he was Executive Director of the North American Baptist Conference. Prior to that he was an executive coach.

In a three-part qualitative study, Meddaugh (2012) examines:

1) What executive coaches believe about their work with principals of underserved schools, and how they experience that work;

2) What leadership coaches and principals say about the effect of leadership coaching on principals and schools; and

3) How leadership coaches develop coaching skills through transformational learning in a coaching development program.

Meddaugh conducted 10 interviews with three leadership coaches, two interviews with principals receiving coaching and one interview with the director of the leadership coaching program. Her data includes field notes of observations of leadership coaches with principals and instructional teams includes field notes of participating in a university leadership program. She concludes that the transformation of underserved schools requires: coaching teachers to work collaboratively in teams rather than autonomously; teaching principals to empower, rather than to direct; giving principals experience with instructional teams in order to lead this change; and providing leadership coaches with ongoing development (Meddaugh, 2012).

The limitations of this otherwise thorough evaluation of a coaching training program include the lack of generalizability due to the small sample. There are no controls or outside verification of changes in the performance of either the
leadership coaches or the principals they have coached. Is the improvement of
principals and their teams related to leadership coaching in general, the specific
coaching practices employed by these coaches, or other variables such as purposive
sampling of highly skilled coaches or highly motivated principals? She does not
provide any empirical evidence of change in performance. Employed by the
coaching program she studies, Meddaugh’s conclusions risk the bias of self-interest.

**Studies That Compare Executive Coaching with Counseling/Psychotherapy**

Cummings’ (2013) qualitative study, conducted as a dissertation research
project, is based on telephone interviews with 10 executive coaches from a
purposive sample. He observed that on the one hand psychotherapists have
developed specific work practices based on psychological models. On the other
hand, executive coaching practices have borrowed knowledge gained from research
on the outcomes of psychotherapy in an eclectic fashion. His aim is to examine what
coaches actually do in their work with clients. Cummings found that executive
coaches:

- Assess/collect data about clients;
- Demonstrate their awareness of role and function with clients; and
- Demonstrate relationship management skills and professional conduct (p. iii).

Note that the coaches focused on demonstrating their own skills rather than on
behaviors directly related to client goals or outcomes. These coaching behaviors are
not distinguishable from general psychotherapy activities.
Cummings is an independent executive coach as well as a facilitator of leadership groups for a management and executive coaching firm. His prior professional training and experience is in the field of mental health. The fact that his findings reflect his prior orientation as a psychotherapist raises the question of bias in what questions he does and does not ask. For example, he does not ask about administrative work practices. His conclusions do not distinguish what executive coaches do from what psychotherapists do.

Newsom's (2008) dissertation research study surveys 132 executive coaches in the firm Center for Creative Leadership on the incidence and importance of 125 counseling and coaching work behaviors employed with executive clients. The study also includes demographic data on the executive coaches, including education and work experience. He categorizes Executive Coaching Work Behaviors as relationship building and behavior-change interventions, in addition to less important and less frequent administrative and professional activities (Newsom, 2008). Newsom's study represents one firm's attempt to define the work of executive coaches as distinct from the broader fields of life coaching and psychotherapy, but the work behaviors he categorizes as particular to executive coaches are not distinct from those of counselors. They represent an overlap. Newsom's identification of administrative and professional behaviors is a valuable catalogue of an executive coach's work activities of particular interest in the present study. Yet the generalizability of Newsom's findings is limited because the sample of coaches comes from a single firm with a specific approach to coaching.
Newsom is Adjunct Faculty at the coaching firm whose practices he researches. In addition he is a principal in a professional development group, which provides executive coaching, leadership training and organizational development service.

**Limitations of Research on Leadership Consulting**

The studies cited here demonstrate the respective quality of empirical research on the work of executive coaches and leadership consultants. The state of research on the interpersonal aspect of management consulting is elemental and empirically weak. Empirical measures are self-reports of consultants and clients. There are no objective observations of behavior or independent variables as proxies for any organizational outcomes or leader functioning. Outcome measures are limited to the self-report of direct reports with a potential bias of self-interest of the employee. Qualitative methods focus on statements by consultants that represent beliefs about outcomes rather than behaviors or actions that have the potential to be observed with greater objectivity by a neutral outsider. The potential bias stemming from self-interest in the research results pervades all but one of these studies. The characteristic short-term nature of coaching interventions without longitudinal follow-up evaluation for valid outcomes limits the generalizability of positive results. Controls are rare, and as in the Ladegard study (Ladegard & Gjerde, 2014) are self-selected as are the coaching participants.
These six representative studies use counseling and organizational behavior as conceptual frameworks. Due to the emergent nature of leadership consulting, literature on the general field of management consulting is reviewed.

**Study of Management Consultants**

Canato and Giangreco (2011) perform a comprehensive review of the literature on the field of management consulting. Their search includes direct references to “management consult*” and expands to the literature on the role of external consultants in management and innovation. They propose four roles for management consulting, compare and contrast those roles, and propose different behaviors and competitive advantages for each ideal role type. They categorize consultants as:

- **Information Sources** who provide general and future trend information to clients without entering into the decision-making process or execution of implementation. Their authority stems from in-depth knowledge and experience in a specific industry.

- **Standard Setters** who are most actively engaged in diffusing specific solutions and techniques throughout various industries. They rely heavily on social connections and prestige-enhancing activities.

- **Knowledge Brokers** specializing in spreading knowledge from one field to another. These consultants rely on diversity of experience and methods to be an inclusive resource for client innovation.
• *Knowledge Integrators* who specialize in the diffusion of a specific technology. They support the implementation of new solutions and technologies in various industries.

The Information Source and the Standard Setter both introduce new knowledge and solutions. The Information Source is more neutral and relies on direct requests from potential clients. A Standard Setter works to promote adoption of a particular solution and depends on popularizing that solution in order to be competitive. Information Sources work independently and rely on the appeal of their specific expertise. In contrast, Standard Setters rely on extensive networking and referrals from powerful clients to a broader potential client base.

Knowledge Brokers function best in large consulting firms. As members of a team, they provide a range of expertise to assist clients in crafting innovative applications of knowledge. Knowledge Integrators usually provide longer-term assistance to clients in implementing complex innovations. Both introduce knowledge from fields outside the client organization (Canato & Giangreco, 2011).

This typology provides a useful template for examining the work of leadership consultants within organizations and institutions. This typology integrates the field of activities with the theoretical concept of the external actor as a boundary spanner. For the subspecialty of leadership consulting, these distinctions provide guidelines for classifying the source of authority and differences among experts in the leadership industry.
Leadership consultants may adopt any of these roles depending on the source of their authority in leadership. An example of an Information Source would be an Expert Leadership Consultant, such as a retired CEO of a multinational corporation. As an example, Jack Welch, former CEO of General Electric, has relied on his/her experience in one industry as a credential for coaching CEOs in similar large corporations (Slater, 1999).

As Knowledge Brokers, academics from the social sciences and have been successful in creating a discipline of leadership studies. They have joined with the executive coaching specialty of management consulting to begin professionalizing a range of consulting services (Coutu & Kauffman, 2009; Kaiser, Hogan, & Craig, 2008; Kellerman, 2012; Slater, 1999; YSC, 2014). Well-known examples of academics that have become prominent leadership consultants are John Kotter (Kotter, 2012), Steven Covey (Covey, 1989), Jim Collins (Collins, 2001). Knowledge Brokers assist in the discovery of innovative solutions with a menu of options. The success of solution transfer by the Knowledge Brokers varies, depending on client execution (Canato & Giangreco, 2011). The Center for Creative Leadership is an example of a firm that provides this type of service (CCL, 2014; Glover & Wilson, 2006).

Individual leadership gurus such as Tony Robbins or Wayne Dyer are examples of Standard Setters who rely on prestigious social connections as well as personal experience and charisma. The Standard Setter sells a solution. Overall, the observable results of solutions transmitted by Standard Setters remain ambiguous (Canato & Giangreco, 2011).
Organizational psychologists and psychotherapists could be either Knowledge Brokers or Knowledge Integrators. They coach leaders and their teams in the use of techniques derived from the behavioral sciences. Well-known examples of this type of leadership psychologist are Daniel Goleman, who popularized the concept of emotional intelligence (Goleman, 2011), and Howard Gardner (2011), known for his theory of multiple intelligences. A Knowledge Broker would choose from a variety of concepts and techniques tailored to the presenting concerns. A Knowledge Integrator specializes in the application of one theoretical framework to whatever problem the client presents.

Since the term “leadership” has been applied loosely to a range of organizational functions and behaviors, the work that consultants do under this moniker ranges widely. For example, leadership consultants might offer services such as executive coaching, team development, training mentorship skills, strategic planning, employee transition, executive search, succession planning or communication/presentation skill training. Canato and Giengreco’s (2011) typology of management consulting is a synthesis of previous conceptual and empirical analyses of various consulting practices. Its usefulness as a tool for analysis of an emerging consultant profession remains untested. Due to the popularity and diffusion of psychological thinking in the culture, all leadership consultants adopt some ideas about behavior. In this study, inquiry into the conceptual basis of ALCs’ work practices and their work settings has the potential to illuminate differences in how ALCs transfer knowledge to client organizations (Scott, 2014) and test the
usefulness of the distinction between the roles of Knowledge Broker and Knowledge Integrator.

Summary of Literature Review of Institutional Theory, the Professions and the Leadership Industry

Leadership consultancy is an emerging profession that spans the traditional professions and the Market sector. Leadership consultants have the potential to influence entrepreneurship within the field of human behavior professionals and across organizational fields with their for-profit Business clients. Similar to management consultants, they can introduce values, norms and beliefs from the behavioral sciences to the Market sector, and vice versa (David, Sine, & Haveman, 2013). Distinguishing tacit expectations of the professions and the market sectors has the potential to shed light on how leadership consultants manage pre-existing and emergent conflicts between their professional standards and those of their Business clients.

The leadership industry is a relatively recent outgrowth of the executive coaching branch of management consulting. Data and research on the demographics and financial value of this industry are rough estimates at best. They are produced in the for-profit model of Business for the purposes of market development of the industry. Although voluminous, the research on leadership consulting and executive coaching focuses on definitions of leadership, the needs of the leader and the executive. Studies of the professional practices of leadership consultants and executive coaches that could illuminate the transfer of norms and values across
institutional boundaries are rare. This gap in the literature represents an opportunity that could inform the leadership industry and introduce the examination of institutional entrepreneurship by leadership consultants. The proposed study will use how consultants employ theoretical principles to trace how practice choices reflect the professional values of the consultant entering the value system of client organizations.
CHAPTER 3: RESEARCH METHODOLOGY

With the conceptual lever of institutional boundary spanning in hand, I used a qualitative grounded theory approach to explore the lives and thinking of Advisor Leadership Consultants who traverse the fields of Psychotherapy and leadership consulting. Semi-structured interviewing was my primary method for collecting participant data. Throughout the study, I examined the data iteratively. I used two stages of coding. In the primary coding, I developed a scheme anticipated by my research questions and literature review. In a second cycle, I coded themes that emerged in the interview process, the primary coding and the data analysis (Saldaña, 2013). A constant comparative analysis of data incorporated narrative analytic tools in the concepts ALCs expressed as they described their choice of business practices in both settings. In addition, I collected professional biographies. During the analysis, salient features of the personal and professional biographies shared by the 10 ALCs emerged. In a follow up interview I explored how these features contributed to their careers.

Theoretical Foundation for Choice of Methodology

Personal experience sparked the question for my inquiry. What happens to psychotherapists’ principles when they work as consultants in Business? I re-framed it with the conceptual lever (Marshall & Rossman, 2011) of professionals as institutional boundary spanners (Scott, 2008). How do ALCs travel as professionals between the two social sectors of Psychotherapy and Business? Using concepts from institutional theory gave me tools for organizing this study.
Barley and Tolbert (1997) propose an approach to the study of how institutions emerge and are maintained or changed by individuals. Identification of scripts, defined as “observable, recurrent activities and patterns of interaction characteristic of a particular setting”, allows study of the behavioral manifestations of institutions (p. 98). Observation of how people follow or deviate from institutional scripts can illuminate how institutions persist or change. When deviating from an institutional script, an individual is more likely to be making a conscious choice than when maintaining an institution (Barley & Tolbert).

“Understanding the degree to which people choose to enact and ignore scripts that encode institutions is a critical issue for research on how action and institutions are linked, since modification of an institution is more likely to require conscious choice than does its reproduction” (Barley & Tolbert, p. 102). The way that participants express their principles for practice business decisions has the potential to reveal dynamics in the two-way transmission of norms, values and beliefs between the social institutions of the Psychotherapy Profession and Business.

Because of the elite and confidential nature of the work life of the ALC, I chose to use interview data as an observation point. The scope of this study did not allow following ALCs throughout their workdays using an ethnographic approach to studying institutional effects in work life (Luna-Reyes & Gil-Garcia, 2011; Raviola & Norbäck, 2013). The next best thing I could do was to meet with the ALC in his/her work setting and interview him/her about his/her business practices. This allowed me to observe reflections on practices and collect professional biographical data.
The interviews focused on business practices rather than consultation practices with clients because it is possible to observe business practices. They manifest norms and behaviors more concretely and less ambiguously. The closest I could come to direction observation was to focus on how ALCs describe their choice of business practices and the principles that guide them. The conceptual frameworks of Psychotherapy practice and of Business are different and distinct. Therefore, they have the potential to reflect alignment with either the professional sphere of Psychotherapy or the Business sphere of leadership consulting. While I was not conducting a test of a hypothesis derived from institutional theory, I used the idea that the way in which ALCs think about their practices can be used to understand how they are affected by social pressures (Barley & Tolbert, 1997).

When consultants reflected on the concepts underlying their business practice choices, their responses were often anecdotal rather than explanatory. Therefore, I included narrative analysis for tacit knowledge (Schön, 1984) in the coding. The following features distinguish my grounded theory research from thematic narrative analysis as described by Reissman (2002): coding segments of the narrative by themes; treating those themes distinctly and concisely; and attempting to understand relationships between the themes to create an abstract idea that allows for interpretation of data (Charmaz, 2006).

Another feature in my approach that distinguishes it from narrative inquiry is that I did not include analysis of myself as the interviewer as a primary aspect of the research. For the purposes of this study, I have analyzed and interpreted the
reflections of these practitioners independent of the context of the interview and the interviewer. I include the interview context in an “I” statement in which I reveal personal information that could be biases linked to my subjectivity. I comment on the relationship process between the participants and myself in the discussion of findings. While an analysis of the ways in which consultants talked with me about their work at this point in their careers may be a valid and fruitful line of inquiry, it was beyond the scope of this study.

In the course of a constant comparative data analysis (Glaser & Strauss, 1967) I tabulated the incidence of certain codes to test my emerging categorizations. Throughout the interview, coding and analysis procedures, abstractions emerged by “subsuming particulars into the general” (Miles, Huberman, & Saldaña, 2014). From these emerging themes I was able to expand my conceptualization of ways in which social pressures influence boundary spanners (Glaser & Strauss, 1967).

In summary, I used in-depth interviews to examine the practice choices ALCs make in respect to the recurrent activities and patterns of interaction (scripts) in their practice as leadership consultants. I designed interview questions to elicit reports of specific behavioral choices and the thought processes that accompany those choices. Techniques from narrative analysis allowed for an in-depth exploration of thought processes. Through identification and analysis of shared themes, I developed ideas about the nature of the work of an early cohort of ALCs.
**Epistemological Considerations**

Grounded in a systems approach to behavior, the assumptions about knowledge underlying this inquiry are that “social facts have an objective reality” and that “the variables are complex, interwoven, and difficult to measure” (Glesne, 2006, p. 10). Typically, the former is used to describe an empirical approach that uses quantitative research methods and the latter describes a belief underlying qualitative research. In essence, I believe that the external world is independent of man’s perception of it at the same time that man, as an actor, shapes the external world. Accordingly, my approach for the current study depends upon my self-awareness of potential biases and an honest effort of self-reporting and self-observation by the participant.

The choice of a grounded theory approach accommodates the goal of greater objectivity about phenomena that are inherently subjective in nature. While my goal is not to develop a formal theory, the inductive process of starting with data and then formulating generalizations to gain perspective on a social phenomenon (Glaser & Strauss, 1967) satisfies my desire for an orderly and logical way to structure the study of personal experiences of ALCs through the self-report of behaviors and thoughts.

**Research Design**

I conducted semi-structured face-to-face interviews with 10 ALCs at a workplace location of their choosing. This research approach aligns with recommended practices for qualitative interviewing of elites. The proximity and
intimacy necessary for successful leadership coaching of high-level executives and organizational leaders transfers an elite status to the consultant. This status is conveyed by financial as well as non-pecuniary compensation. The sensitive nature of the work of leadership consultants requires that they conduct themselves as elites (Harvey, 2011; Hertz & Imber, 1993; Ostrander, 1993; Stephens, 2007). The in-depth interview provided the opportunity for me to establish rapport through self-disclosure, transparency of purpose and establishment of credibility. By allowing space for probing questions, I was able to elicit tacit knowledge and to explore conceptual thinking. This format also provided freedom of expression for the participant. Participant choice of interview location allowed for increased in his comfort and control. I was able to convey deference while at the same time asserting command over the interview process (Harvey, 2011; Sturges & Hanrahan, 2004). Professional transcription of the audio-recorded interviews allowed for a nuanced iterative exploration of the data.

**Sampling Strategy**

The sampling method was designed to select for direct comparison of the influence of theory in professional practice with the influence of for-profit sector values and norms. My goal required a purposive theory-based sampling method (Miles & Huberman, 1994). I selected leadership consultants trained in clinical service professions to represent professional sector norms and values. To select for market sector norms and values, I screened for ALCs who consult in for-profit businesses.
**Participant recruitment.** Using a snowball or chain-referral process, I began with a list of potential referral sources from my colleague network and friends who work in businesses that employ leadership consultants. The initial contact with referral sources was an email letter (Appendix B) in which I introduced my research. I requested that the referring colleague forward an attached Research Statement including a description of goals and procedures (Appendix C) and an IRB-approved Consent Form (Appendix D) to individuals who might meet the criteria. I included the time commitment for the initial and the follow-up interviews as well as a review of the final report for factual confirmation as well as protection of confidentiality.

Responses to the referral request varied. Some referral sources volunteered to participate. Some referral sources gave me contact information directly for individuals who might meet my criteria. I responded with a clarification that ethical standards required that participants volunteer without any appearance of social pressure, a possibility in a network of professional colleagues. I requested that the referral source ask the volunteer to contact me directly with the contact information provided on the Research Statement. In several cases, I sent a contact email to potential participants who had told the referral source verbally that they were willing to participate. Interestingly, none of these volunteers followed through by scheduling an initial 15-minute phone qualification interview. This confirmed the possibility that these volunteers responded to relationship pressure rather than genuine interest.
When I received contact from a volunteer, in each case by email, I requested an initial 15-minute telephone conversation for a structured interview of Participant Qualification Criteria (Appendix E). Of three volunteers who did not meet the criteria, two did not have private sector experience and the third was not a psychotherapist. The latter referred me to a participant out of my relationship network. All others met the criteria and were able to schedule the two-hour in-person interview within my time frame.

**Demographics.** I created pseudonyms for the 10 ALCs, four women and six men. All have Master’s degrees and three have Ph.D. degrees. All have been state licensed to practice psychotherapy. Additional formal education related to leadership consulting is limited to certificate programs for three participants.

One participant is 54 and the other nine range in age from 60 to 86. This age demographic is an artifact of the convenience recruitment process, reflecting the age cohort of my professional network. Younger potential participants did not complete the referral process. Although unintended in the research design, this bias provides a generational context for the study’s findings.

Participants base their professional practices in the following regions of the U S: New England, Mid-Atlantic States, South, Midwest and West. Six travel outside their regions for work as ALCs. All are currently working. One now limits his practice to psychotherapy only. Three currently limit their practice to leadership consulting. Two ALCs have been employed in the past by management consulting companies. All ALCs have had independent solo practices.
Five of the 10 ALCs identify Bowen Family Systems Theory as their primary theoretical orientation for psychotherapy and leadership consulting practice. This is an artifact of the participant recruitment process through my professional network. I have been active in local and national professional networks affiliated with Bowen Family Systems Theory for 25 years. The majority of my professional colleagues are part of this network and 22 of 27 potential referral sources were from this network. Although the content of the conceptual basis of practice is not the subject of this study, the potential for bias from this feature is considered in the Discussion.

Experience in the application of human behavioral knowledge and skills ranges from 13 to 40 years. All but three have 25 years or more experience. Seven participants have practiced both psychotherapy and leadership consulting for over 15 years of their career. Four participants started their professional careers in business before training to become psychotherapists. Four participants currently practice in only one field.

**Data Collection**

In-depth exploration of conceptual thinking of potentially tacit knowledge requires a qualitative research approach (Creswell, 2003). My approach included a natural setting relevant to work practices and an interactive interview to allow for a collaborative effort between the researcher and the participant. The highly confidential nature of the work of ALCs prohibits direct observation, a control sample or a laboratory setting. I used an open-ended interview questionnaire with each participant. As themes emerged in the course of interviews, the emphasis of
probing questions shifted to explore emerging themes and to enhance elicitation of tacit knowledge.

**Instruments and Procedures**

I designed three instruments for data collection. The first was a brief Participant Criteria questionnaire conducted by telephone (Appendix E). I requested a Curriculum Vitae (CV) for convenience in order to collect basic demographic information, i.e. age, residence, years of practice and primary profession. The intention was to reduce the interview time required. However, I received only one CV. Two participants referred me to their websites. Even though each ALC agreed to the CV criteria, nine later told me that their CVs were out of date. I collected professional biographical information in the initial and follow-up interviews.

In order to elicit the participant’s self-awareness of practices and conceptual frameworks, I used a semi-structured interview protocol. The interview consisted of open-ended questions of professional biography, specific structural details of practice, i.e. referral sources, contracts, payment procedures, location of service delivery, etc. and the conceptual basis for practice choices. An interview protocol promotes consistency in data collection. I asked participants to describe a consultation from referral to conclusion (Appendix F). This allowed for probing and in-depth exploration of business practices (Marshall & Rossman, 2011).

I requested that participants choose a location similar to that in which they work. Eight invited me to their professional office. The two who do not have offices
arranged to meet with me in the study of a family member’s home and a colleague’s office. Only one office would be described as luxurious.

Audio recordings of each interview were made with two recording devices, the Voice Memo on my iPhone and the application Notability on my MacBook Pro laptop computer. The latter allowed me to take notes during the interview coordinated with the voice track in the recording. I was able to make notes of facial and physical gestures as well as perceived emotional states. The two recordings provided a safeguard that was useful in one interview during which the Voice Memo recording stopped mid-interview. The interviews were transcribed verbatim professionally in a Microsoft Word document. I listened to the recording of each interview which allowed me to re-experience the interview, make reflections on the interview process and ensure a strict transcription of the interview (Hammersley, 2010).

**Data Analysis**

The initial coding focused on the content of the narrative. Care was taken to preserve information about the participant’s choice of sequence and emphasis in their discourse. I stored interview transcriptions in Word format on my computer with backup files on my personal Airport Time Capsule and a Seagate external drive. A hard copy of the final transcript is stored in a fireproof locked file cabinet in my home office to ensure safe storage of the data as well as confidentiality.

The first stage of data analysis involved establishing a strategy for coding text with the goal of identifying themes related to the research questions. I followed
a plan of a two-cycle process of coding and re-coding using Saldaña’s description of coding categories as a general reference (2013). After re-listening to the interviews while doing a careful edit of the transcript I drafted a list of theory-generated codes linked to the conceptual framework underlying my research questions (Glesne, 2006). I then conducted a trial of the coding scheme and software tools for organizing the coded data. After a period of trial and error starts, I found the qualitative data analysis (QDA) software package HyperResearch easy to use for coding. It was also practical for identifying patterns through simple frequency reports that contributed to the second cycle of thematic coding. I assigned a fictitious case name to each participant’s interview data.

In the first cycle (Appendix G.), I used “Attribute” codes for conceptual language and degree of awareness of concepts (Saldaña, 2013, p. 69). In addition, I used “Descriptive” codes for professional biography and specific professional practices (p. 87). This process involved simultaneous coding of “textual data” (p. 80). Within the conceptual coding, I included codes for “Emotional Language” (p. 105) and “Value Statements” (p. 110). During the coding process, I elaborated the codes and added several thematic codes. In a Coding Journal, I noted codes that were difficult to apply and cases that elicited an elaboration of the original codes. As I began coding, I found some codes more useful than others. For example, I began with a category of Awareness codes: Spontaneous, Nominative, Summoned and Tacit. The intention was to try to capture nuances in my observation that interviewees varied widely in how they expressed concepts. However, as a single
coder, I was not confident that I could apply these codes consistently enough to make meaningful distinctions or comparisons. As an alternative, I appended codes about Cognitive Processes with Implicit and Explicit identifiers. Using the Tools Function I generated Frequency Reports and Reports of Codes that contained the Case name and Text coded.

I examined the incidence and patterns of codes within the primary categories of Conceptual Processes, Professional Biography and Professional Practices. Next I contrasted the incidence and patterns between leadership consulting (LC) practice and psychotherapy (P) practice. The initial coding scheme expanded during the coding process. Some codes were aligned distinctly with one area of practice or the other and with aspects of participant professional biographies. Using both a deductive process from examination of the distribution of codes and an inductive process from examination of the data, I identified a set of themes to explore further in a secondary cycle of coding.

In the secondary or thematic coding, I also expanded the number of social domains from two to five. I realized that my original formulation of the navigation of psychotherapists between two domains, the professional sector and the for-profit sector had overlooked three other domains in which these professionals work.

The profession of psychotherapy encompasses different disciplines in the behavioral sciences. Work practices are derived from a variety of theories of human behavior particular to emotional and mental health. I coded this domain as Human Behavior (HB) to capture the milieu. One participant described clearly and explicitly
two other domains that have influenced his practice of and his entrance into leadership consulting. As I coded his interview, I added the domains of the Health Care Industry (HC) and Government/Regulations (REG) for the public sector. The Health Care Industry (HC) is a hybrid of the for-profit sector and the public sector. It encompasses the health insurance industry, managed care companies that determine how psychotherapists deliver and bill for services and for-profit healthcare facilities. The Government/Regulations (REG) domain regulates professional practice usually at the state level. State governmental laws and regulations and determine eligibility to practice as well as specific practices such as payment structures, contractual conditions, location of practice, continuing education requirements, etc. Professional organizations determine Codes of Ethics and advocate for exclusive licensing practices.

The first cycle coding analysis consisted of examining the frequency of codes in the aggregate, across participants and area of practice. In this process I identified patterns and meaningful linkages (Saldaña, 2013). I then constructed tables and diagrams of coding patterns in a workbook. This allowed me to condense or discard some lines of inquiry, e.g. Cognitive Processes and Awareness, and to create new directions of inquiry, e.g. Conceptual Language, Conflict Management and Entrepreneurship (Miles et al., 2014).

In the second cycle of Thematic coding I focused on features of conceptual language, entrepreneurship, influences in entrepreneurship, domain alignment, conflict management and divergent career and educational pathways. I re-read each
transcript while applying the thematically constructed coding scheme (Appendix H). As I applied the codes, some were less useful (Conceptual Language) and others became more prominent (Conflict Management and Innovation).

In the analysis of the coding patterns, I took two tacks. The first was to look at patterns for each participant to attempt to characterize features related to entrepreneurship. My goal was to allow for identification of both aggregate types of entrepreneurial behavior with subgroups and identification of individual differences. During an exercise of writing up a narrative for each participant, I began to find that the differences in entrepreneurial type (Mathias, Williams, & Smith, 2015) were less distinct than shared contextual features that had begun to emerge.

Several of the participants shared two features in their personal biographies: business-friendly families of origin and significant loss in early life. My alertness to these features may be linked to my professional background as a family systems therapist. As interesting as these facts were to me, I had not included family histories in my initial interviews and therefore did not have adequate data to pursue this thread. Therefore, I conducted follow-up semi-structured interviews by telephone with each participant to collect a multigenerational history of family occupation. I also inquired about what I called “untimely nodal events” before the participant was 35 years old. The expression “nodal event” is used to include both negative and positive life passages common to all multigenerational families. An “untimely nodal event” would be one that is considered to be outside the normal life course for a child or young adult. I included three other summary questions
regarding primary motivation for career pursuit, influence on career development and career challenge (Appendix I). Rather than attempt to construct a narrative from the initial interview, I elected to ask the participants to tell their own stories. I was able to incorporate the family elements in my analysis, but not the narrative elements per se.

**Ethical Issues**

The primary potential ethical issues for this study were protection of anonymity and confidentiality for both the consultants and their clients. In addition, effectiveness of the leadership consultant and expert advisor is in part linked to expert knowledge, not only of the client’s domain, but also in the management of the consultant-client relationship. Some consultants rely on the authority of special knowledge for attracting and keeping clients, as well as effective service delivery. Exposure of the internal thought process of the consultant could appear to place the consultant’s reputation and authority at risk. Likewise, the clientele of leadership consultants are elite members of society who can wield influence over the lives of others, i.e. employees, peers, organizations and industry. Any risk of damage to reputation and public perception increases with the social position and power of the client. (Gill, 2015) Consultants rely on networking and referrals from former clients to gain access to new elite clients and to build their reputation.

In consideration of the sensitive nature of the leadership consultant’s work, I took procedures to ensure anonymity and confidentiality of both the consultant and their clients. I created anonymity with the use of a code name for the consultant.
That name was used in the research records. A different code name is used in this report. Furthermore, any identifying information about a participant in the report has been changed. The recordings, notes and transcripts of the interviews are kept in a locked safe. In order to inform and triangulate the protection of confidentiality, the participant will be asked to review this report before publication for material that they deem sensitive identifying information about themselves or their clients.

**Validity/Trustworthiness of Findings**

In order to optimize the value of research findings, I took steps during the research process to optimize the following criteria of quality as described by Miles, Huberman and Saldaña (2014).

**Objectivity/Confirmability**

I kept a research journal to record decisions made during the data collection and analysis procedures and the rationale for these decisions. This journal includes a log of my awareness of biases based on values, assumptions and affective states related to the research process. The Subjective I statement highlights potential areas of bias due to subjectivity (Appendix J).

**Reliability/Dependability/Auditability**

Due to the use of my professional network for participant recruitment, I interviewed ALCs known to me. Some of these ALCs are senior colleagues or have been one of my mentors. This degree of familiarity, while holding the potential of rich data, also has the potential to bias perceptions, procedures and analytic choices. Shared history can lead to unspoken agreements or shared assumptions concerning
meaning during the interview and coding/interpretation during the analysis process. I made a careful review of interview recordings and transcripts to identify gaps in the investigation. In addition, I requested that participants be available for clarification during the transcription and analysis stages.

A careful reading of the final report by four members of my dissertation committee as required for the granting of a degree provides another level of oversight for this project.

**Internal Validity/Credibility/Authenticity**

Conclusions from this study must make sense to everyone (Miles et al., 2014). My summary of findings includes ample descriptions complemented by rich descriptions of context (Glesne, 2006; Marshall & Rossman, 2011). The findings report attempts to identify areas of uncertainty, alternate explanations and contradictory evidence. My goal is to produce conclusions that make sense not only to the dissertation committee and the readers but also to the study participants.

**External Validity/Transferability/Fittingness**

While generalizability is not a goal of this qualitative exploration, the findings may yield observations useful to the study of the work of other leadership consultants, service professionals engaged with the marketplace, and institutional entrepreneurs.
CHAPTER 4: FINDINGS

Organization of Results

I set out to find out how ALCs think about working in the two different worlds of Psychotherapy and Business. Using a structured, open-ended interview, I talked to ALCs about their entry into psychotherapy and leadership consulting and their business practices. I also inquired about the conceptual basis of their consultation work and choice of business practices.

In the interview process and initial phase of coding, I focused on three topics: professional practices; professional biography; and conceptual frameworks. Following a coding strategy outlined by Saldaña (2013) I began the coding process with a structural coding scheme and added codes as features emerged that I had not anticipated. As depicted in Figure 1, these coding categories were: Professional Biography; Professional Practices; and Conceptual Frameworks. The second round of thematic coding focused on topics that emerged during the first coding cycle: Divergent Educational and Career Pathways; Innovation; Domain Expansion; and Conflict Management. The themes that emerged from these two rounds of coding were: Early Divorce and/or Death in the Family; Business in the Family; ALC Entrepreneurship; and ALCs as Institutional Entrepreneurs/Boundary Spanners.
Figure 1. Coding Process
In a course of interviews with these specialized consultants I set out to identify how they think about their psychotherapy and consulting business practices. Before I review what I found, I preface with a discovery that provides a context for the research findings and the careers of this sample of ALCs. Trained as a Bowen Family Systems therapist, it is not surprising that I picked up a theme in the family backgrounds of my participants. Intrigued by the possible relationship between features of the ALC multigenerational families and their career paths, I conducted follow up interviews to explore these emerging themes. Therefore, this Findings section begins with the biographical context of this group of ALCs. This is followed by an examination of their career pathways and the conceptual underpinnings of their professional practices.

I. Life and Professional Biography

Biographical elements emerged during the interviews, providing a rich context for understanding the careers of the 10 ALCs interviewed. These ALCs share several features of formative family experiences. It is possible that this context is linked to shared features of their careers, including divergent professional pathways, and entrepreneurship. By virtue of an age bias in my convenience sample, each psychotherapist-working-as-a-leadership-consultant is a member of the first professional generation of the Leadership Consulting industry. I am not aware of any sampling factors that account for these unifying experiences. The four women and six men were raised and work across the country in both rural and urban
settings. Four began their careers in Business and all but three continue to practice psychotherapy.

I did not expect the family context to emerge in this inquiry. When it did, I collected a multigenerational family history of occupations and nodal events in a follow-up interview in order to examine the emerging pattern.

I.A. Valuing Business in the family. ALC appreciation for business acumen and business practices interlinked with family history for each of the interviewees. For example, early in the interview process, Curtis, trained as a transpersonal psychologist, emphasized the influence of his father’s career as a small business owner on his business philosophy.

I am really fascinated by how people bring their whole beings and then channel that into work. That comes from working for my father’s business.

He concluded the interview with a story of how his transpersonal business values, were influenced by how his father treated customers. In this exchange he learned the importance of customer service.

I am stocking shelves in my Dad's grocery store, and he's in the same aisle. A woman comes up and says, “Do you know where the honey is because I’m baking.” I said, “Yeah its over in aisle three around the corner.” My dad walks up and says, “You do not tell her, you take her. So when someone asks, you make sure you go with them and point it out so then you know that they have gotten what they need.” You know that just stuck with me.

His father taught him that respect for relationship and individuality is good for business.

My father’s grocery store was located in two little twin cities called Saugatuck and Douglas on Lake Michigan. In the ‘50s and ‘60s it was the unofficial gay resort capital of the Midwest. They called it an art colony, that's how they got away with it. So, I’m 15 years old and these two guys come in
the grocery store in matching outfits pushing the cart together. My dad is in the back room and I said, “Dad what is the deal with these guys?” He said, “Curtis, those guys are called queers, now we don’t use that name with them, they are just guys who are together. You are to treat them no differently than any other of our customers.” It was 1968, you know?

I began to take note of references to family businesses.

The fathers of five ALCs were either small business owners or worked in family businesses. Three worked in corporate business. One father was an avid business advocate and reader. Christine’s grandfathers were farmers and her two brothers are entrepreneurs with a particular twist on business values.

My grandfathers were businessmen who owned their own farms. I have a lot of entrepreneurship in my family at the farming level, very creative farmers. I realized early that I wanted to work for myself. I had always been knowledgeable about money, but not oriented to it.

I’m not oriented like my brother to creating wealth. He’s not into money, he’s into creating wealth. He can’t not create. The money itself isn’t what’s important, per se, only a reflection of your creativity. I think that’s another thing, another theme, that would be: decisions are not made based on financial (gain). My youngest brother, I would say his creative entrepreneurship is really more a game. He talks about that he cannot not do it. He just has a mind and everything turns to gold. It’s just the way he is, the way he was put together. My other brother is totally in a spiritual mode related to mine, but he’s also not driven by money. That I think’s a religious thing. They’re really into: your job is really about contributing to the world and we do service of sorts and materialism is not your main game here.

Regardless of the type of business or occupation of the parents, the common feature was that each of these ALCs was raised in a business-positive family. Susan describes the atmosphere of her business-friendly family.

Truthfully I think where my interest in business came from is that (it was) something that my Dad talked about a lot. It was his road not taken. It was the thing that he always thought that he would have done very well. He always spoke of this and it was very favorably thought of as a strength of our
country. Being in business was something that in my family would be a very good thing.

This shared family background suggests that the ALCs in my study came to their career search and development with a predisposition to business.

I.B. Living Through Tragedy. During formative years for career development, each ALC had multiple losses of a parent or significant family member through death or divorce. In the follow-up interviews, I inquired about “untimely nodal events” in the multigenerational family. I defined this as early deaths, divorces or other disruptive events in the family before the ALC reached the age of 35.

Three of the 10 ALCs had the experience of the death of a parent before the age of 22. A total of eight ALCs lost a parent by the age of 34. The ninth lost a family member in a plane crash at age 35. By age 32, 8 ALCs had experienced a divorce of their own or their parents. Three ALCs lost grandparents important in the family at a young age. Bob lost an important grandfather as a child.

The most notable thing was 1959, when I guess I was about 12 years old, when my grandfather died. That was a big deal, because he was not only general manager of the electric co-op, he was also on the governor’s water board and nationally prominent in the Rotary Club. His death was a shock to everybody. It was a heart attack.

When Bob was 32 his parents divorced.

Paula was raised by her grandparents after WWII when her parents suffered emotional illnesses and eventually divorced. They both died when she was in her twenties. One of her siblings experienced a nervous breakdown when she was 32. She describes the events and the effect on her motivation.
In 1964, my paternal grandfather died. In 1967, my father died. In 1971, my paternal grandmother died. Those three are out by 1971. My maternal grandmother died in December of 1972. Three months later, I got divorced. One year later, my mother died in and my brother went crazy. My children were young, ten and eight, the age I was when my parents got divorced. I knew nothing about Bowen Theory but I knew that was not free will. I had never had a job in my life until I got divorced. I had two years of college, two crazy brothers, and a sick grandfather. It was not pretty. That was really ugly. But that's when I got a back bone.

When I looked around growing up, I'm like, "People don't seem to make good, really thoughtful decisions. What happens that people can't talk about things? What happens when people fall apart? How do people seem to make such poor decisions?" I could not understand that. They pretend. They’re not at all open about what’s going on, so this secrecy. "Let’s not talk about that, let’s walk on some egg shells here." How can you solve problems when you don't know what's going on?

Raul describes the impact of disruption in his early family life on his career.

He suggests that the unpredictability of life circumstances cultivated traits that allowed him to step outside social conventions of work. At age seven, his mother was diagnosed with a disabling illness. Before he turned 10, his parents divorced leaving his single mother to raise him alone. She died when he was 34 after he and his wife divorced.

I think I was well prepared by the chaos I grew up in: the broken family and the difficulty with my mother’s illness. I don't think I could have handled, when I was younger, anything very much more predictable. I just needed to be stimulated by something. I had difficulty locking down and just becoming very process-oriented.

And I had no idea what I gave a hoot about. I think a lot of that emanated from using so much of my own energy in the (family), focusing so much on the other, and being so caught up in the chaos of what I was with. I developed a certain flexibility, a certain ability to be very interested in a number of things and not horribly interested in one, until I got to this thing with Bowen theory, which really caught me. I would think that, whatever the detriment might have been of the early chaos, was something I could also use as a
strength because I could adapt. We also moved a lot of times, and so I learned adaptability. There you go. I think adaptability that was occasioned by circumstances far out of my control.

I have never been very happy doing only one thing. There’s that chaos playing out. I don’t like rules, and I don’t like consistency. What I do like is seeing how light on my feet I can be and still be substantial. How adaptable I can be. And having new things come my way, I love that.

The relationship between early life experiences and career development was a common theme in this group. In the Discussion, I explore how these themes relate to the findings generated by my original questions.

I.C. **Doing it my way.** The educational and career choices that the ALCs in this study made diverged from the professional norms for psychotherapy and leadership consulting. In addition, ALCs diverged from their original expectations of a career path (Duncan, 2008). Licensure as a psychotherapist, criteria for ALC participation in this study, requires a combination of graduate education and supervised work experience. Admission to a graduate program for a Master’s or Doctoral degree usually requires either a Bachelor’s degree or coursework in a related field as well as one year of substantive work experience in human services. These degree programs specify the sequence of coursework including supervised internships. For licensure, a specified number of hours of employment, e.g. 2000 hours, must be supervised by a licensed professional holding a similar or higher degree. In the 1970s and 1980s, most Master’s level psychotherapists in a traditional life course pathway completed their education and licensure requirements by age 26 and doctorate-level psychotherapists by age 30. Interruptions in this educational pathway were less common than they are today.
(Shanahan, 2000). (For example, in 1982, in the MSW program at UCLA I was one in a small group of 30 to 45 year olds given special considerations for being alternative students.) Only one ALC fit the traditional pattern. Four ALCs worked in Business after completing college before entering Master’s programs. Two traveled and worked in related fields for three years before deciding to pursue the Master’s degree.

Bob completed his doctorate in a year and a half, “my advisor didn’t believe in coursework”. He was licensed and directing a residential juvenile detention center by age 25. Jim was granted a state license with a M.A. in Theatre Arts in his thirties and was later granted a Ph.D. for life experience.

So I become adjunct faculty at the School of Social Work and at Clearlake. Clearlake said, “Would you like to teach the introductory course on the graduate level for marriage and family therapy?” I said, “Well I’d love to. What do they teach in those courses? I’ve never taken them.” To this day I’ve never taken a formal course in psychology. I do have a Ph.D. from a non-traditional university where you get credit for life experience. That Ph.D. is in Transformative Education.

Paula earned a B.A. while working at a university psychiatric clinic in her thirties and was then granted a license based on her work experience.

Dr. X signed a letter for me which said I deserved to have a license and be a social worker. It’s called Clinical Social Work Associate. He said that I had 18,000 hours of clinical supervision by him and by others and that I had done more with my education than most people who had more formal degrees. So that was the end of my formal education.

These ALCS started their careers in business or took time off between stages of career path development to explore their interests. They were granted exceptions
to norms and regulations for education and experience in the licensure process. Likewise, their entry into leadership consulting was unorthodox.

While psychotherapy licensure began in Social Work in Virginia in 1945 (Dyeson, 2004), the field I am calling Leadership Consulting has emerged more recently as an outgrowth of management consulting. Leadership consultants have varied educational and professional backgrounds with no regulated licensing. When the cohort of the ALCs in my sample were developing their leadership consulting practices, the standard educational pathway for leadership consulting would have been an M.B.A. or a degree in Organizational Psychology. Today there are many more options including undergraduate, graduate and professional university degree programs in leadership studies, as well as training and certification programs in coaching.

Four ALCs worked in Business before training as psychotherapists. Their qualifications for their business careers were based in work experience. They took their psychotherapy training back to marketing, human resources and corporate training consultation without further Business-related training. Wayne recently completed a formal Executive Education Leadership program at a major university to earn a credential and learn about the field. He and David also used credentialed experience in mental health managed care programs and Employee Assistance Programs to leverage leadership consulting practices. Four ALCs entered leadership consulting by invitation and through their personal interests in applying Human Behavior theory and ideas to the workplace. They did not seek specialty training or
credentials in leadership studies or coaching. Individualized pathways characterize
the entrance of these ALCs to leadership consulting. Their entry to ALC practice
appears idiosyncratic and unrelated to professional training (e.g., degree granting
program with specific ALC operational goals) (Kampa-Kokesch & Anderson, 2001).

For example, Madeleine majored in psychology in college. She then worked in
corporate Human Resources (HR) for 10 years and earned an M.A. degree in
Industrial and Labor Relations. When she decided to pursue training as a
psychoanalyst, she earned a M.A. in Clinical Psychology, a Ph.D. in Human and
Organizational Systems and completed seven years of training at a psychoanalytic
institute. This is how she describes her qualifications to be a leadership consultant.

I’ve been in management myself. I’ve worked in private sector. I’ve worked in
the public sector in terms of teaching. I did a lot of part-time teaching in
management subjects. I’m well versed in that. I taught for many years. I have
a degree in Labor and Industrial Relations – a Master’s. So I have exposure on
the business side. And I am a big follower of psychoanalytic psychodynamics
from a group perspective.

As she transitioned from counseling in an Employee Assistance Program to
marketing her services back to HR departments, she aligned her interests with the
contemporary trend in consulting.

I called it Executive Coaching, that was coming in. That had taken root. You
could get board certified. And I just decided as a personal thing, I think I’m
trained enough. In fact, I have training above and beyond what coaches go
through. So I didn’t need another credential. I felt credentialed enough.

Each ALC grew into adulthood with respect for business. In college and
professional development, they made choices that stood out as different from those
of their peers or the traditional higher education curriculum or career path. As they
developed their work as ALCs, this group continued to step outside the status quo by taking psychotherapeutic skills into the Business arena.

**I.D. Crossing over.** How do ALCs take expertise from the world of Psychotherapy to the world of Business? Do their principles of practice and application of knowledge of human behavior change as they shuttle between the two arenas? How could I observe these dynamics?

Professional business practices are distinct in each field. In Psychotherapy standard business practices originated in principles derived from Freudian theory, even though they may be understood differently from other theoretical frameworks now. In psychoanalysis, the structure of the relationship between the therapist and the client is designed to heal psychic injuries in the client’s relationship with parents and significant others that are the source of the client’s symptoms. While many therapists use other theories and conceptual frameworks for treatment purposes, they share conventions in the structure of business practices derived from Freudian theory. An example of this is how the principle of confidentiality is applied in the choice of practice location.

Psychotherapists hold all information about the client confidential in order to provide a safe space wherein the client can express their thoughts and feelings freely. In psychoanalysis, the therapist is a *tabla rasa*, a blank slate, onto whom the client can project perceptions and emotions from their childhood. The analyst interprets the client’s thoughts and feelings so that the client gains insight into the source of his emotional problems. In order to be a blank slate, the analyst discloses
as little as possible about himself as a real person. Therefore, the analyst does not meet with the client outside the office nor does she treat anyone she knows in her personal life. If they cross paths outside the office, the analyst pretends to not know the client in order to guard the client’s privacy and maintain the therapeutic separation. Even though psychotherapists vary in how strictly they practice this principle, the psychoanalytic principle of confidentiality has become a cornerstone of the relationship between any psychotherapist and client and has become codified in law. A psychotherapist can lose a license to practice by violating this code of conduct. Therefore, psychotherapists meet with clients in the privacy of the therapist’s office. Generally, they do not meet clients in public places or in the client’s home.

Another standard practice in psychotherapy is that clients pay psychotherapists out of their own pockets. This practice maintains the client’s confidentiality. Also, this is a fundamental piece of the contract between the therapist and the client in which the client engages as a willing, responsible adult on equal footing with the therapist. With the advent of health insurance, many psychotherapists are willing to accept payment directly from a third party because the client has paid for the health insurance benefit. Some psychotherapists will accept payment from a family member or third person. However, when a third party pays the therapist directly, the client must sign a Release of Information allowing the therapist to acknowledge the identity of the client. These practices are examples
of how conceptual frameworks derived from Human Behavior theories have become structured into how psychotherapists conduct business.

In the field of management consulting in Business, different principles and conceptual frameworks guide business practices. In contrast to the psychotherapeutic relationship, the consultant often provides a range of services under the direction of the individual who hired the consultant. The guiding principles are pragmatism and customer service, i.e. making the service accessible to the customer and on the client’s terms as much as possible. These principles characterize the marketplace where profit from the sale of goods or services is the goal. Most often an executive will contract with a consultant to work directly with the executive and often with the executive’s direct reports. Commonly, the consultant will work with the client at the workplace, in a public setting or in the consultant’s office. Typically consultants charge higher hourly fees than psychotherapists and are paid by the corporation, the client’s employer. Billing practices set by the company determine who pays the consultant and the amount of information about the client included in the bill. It is common for the consultant to disclose information about the client to the executive or manager who hired the consultation (Hamlin, Ellinger, & Beattie, 2008).

ALCs straddle these two arenas. The purpose of the interview process was to investigate how ALCs think about the differences in these business processes. My goal was to understand how they transport concepts from one arena to the other,
and whether their practices are influenced by their perceptions of the expectations of their clients.

II. Conceptual Frameworks

My question was: When do ALCs use concepts from Human Behavior theories and when do they use marketplace principles of pragmatism and customer service orientation when talking about their business practices? My expectation was that these experts would have a ready response to inquiries about their practice choices using concepts of human behavior that they apply in consultation practices. To the contrary, most of the interviewees did not spontaneously identify specific theoretical behavioral concepts or principles about business practices.

II.A. Exemplifying rather than naming concepts. After the first interview, I was careful to reiterate that the subject of my study was how the ALC structured the business, not how he/she coached the client. I attempted to model what I was asking by summarizing their responses in theoretical terms. A few would then switch into reciting the name of the concept and spelling it out in an almost mechanical fashion before continuing with descriptions and examples of the practice choice. Because they did not name concepts explicitly, I had to rely on language embedded in their description of a practice rather than on the literal response.

Therefore when coding passages in which ALCs referred to conceptual frameworks, I distinguished between the levels of abstraction of the concepts. The ladder of cognitive construct that I created varies from the least abstract, Praxis, to the most abstract, Theoretical Orientation. I expected that Praxis and Value
constructs would be more aligned with Business (BUS), while Concept and Theoretical Orientation cognitive processes would be more likely to come from the Human Behavior (HB) theories of Psychotherapy. I operationalized level of abstraction using a ladder of cognitive constructs, from the least abstract or pragmatic to the most abstract or theoretical. In Table 1, I give examples of the types of statements that I associated with each level of abstraction, for both explicit and implicit expressions.

Table 1.

*Conceptual Framework Level of Abstraction*

<table>
<thead>
<tr>
<th>LEVEL OF ABSTRACTION</th>
<th>EXPLICIT/STATED AS SUCH</th>
<th>IMPLICIT/INFERRED</th>
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<tbody>
<tr>
<td><strong>PRAXIS</strong></td>
<td>“This is how it is done here.”</td>
<td>(Repeats practice in answer to question or probe re: concept)</td>
</tr>
<tr>
<td><strong>VALUE</strong></td>
<td>“This is important to me.”</td>
<td>“I like it this way.”</td>
</tr>
<tr>
<td><strong>BELIEF</strong></td>
<td>“This seems true to me based on __.”</td>
<td>“It’s true (you agree of course).” No need to explain or question.</td>
</tr>
<tr>
<td><strong>PRINCIPLE</strong></td>
<td>“This is how I act because it’s right, proper, legal, etc.” “I use this as a guide for my behavior.”</td>
<td>“I always do it this way.”</td>
</tr>
<tr>
<td><strong>CONCEPT</strong></td>
<td>“My idea about __ is __. That’s how I categorize, think about __.”</td>
<td>Generalizations not questioned or abstracted.</td>
</tr>
<tr>
<td><strong>THEORETICAL ORIENTATION</strong></td>
<td>“I do __ because a formal theory derived empirically by me or someone else predicts that if I do ____ then (outcome) is likely.” Or names theory and concept.</td>
<td>Use of jargon, technical, non-layman language referring to a formal theory.</td>
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I found that these distinctions in the level of abstraction (Table 1) were not direct indicators of whether ALCs aligned their business practices with the Human-Behavior-theory-derived ideas they use as a basis for their consultation practices or with BUS values. Furthermore, several ALCs (Wayne, David, Madeleine, Raul) who gave an explicit recitation of Human Behavior (HB) concepts (coded as Theoretical Orientation) underlying a decision about managing their LC practice also cited BUS principles or Praxis. While they may adhere to principles derived from HB theories in consultation practices, their thinking about management of their psychotherapy or LC business oscillates between HB relationship principles and BUS principles. The ability or inclination to summon and articulate HB concepts may not reflect singular adherence to principles derived primarily from Human Behavior theories.

In response to probing questions about the conceptual basis for a choice, other ALCs persisted in exemplifying the concept (Paula, Christine, Bob). At first this appeared to represent difficulty in summoning tacit knowledge. However, these three ALCs described the most persistent orientation to a specific conceptual framework in all their practices. This commitment was also reflected in their professional biographies in which they maintain an expert status in professional activities advancing their HB theory of choice. They are responsible for the majority of codes for “Principles from the application of a theory of human behavior”. Christine and Paula described their principles with examples from their practices as I describe below.
Paula entered the field of counseling in order to learn Bowen Family Systems Theory (BFST) from Dr. Murray Bowen. She has had over 40 years of experience working as a psychotherapist, educator and leadership consultant with Bowen Theory. However, in answering questions about “conceptual frameworks”, she rarely cited Bowen Theory or the name of a concept in the theory. The principles she cited are ones she identified as critical to the application of principles derived from Bowen Theory that she uses to manage herself as a consultant and to guide her contribution to clients. In the following example, she is described the BFST concept of Differentiation of Self, which is considered key to the functioning of the consultant and to improvement of functioning for the client. As an ALC, she must be as differentiated as possible. By doing so, she assists the client to be more differentiated. However, she never named the concept. I have included my questions to demonstrate the direct lead I gave her. In addition, her references to the concept of Differentiation of Self and my annotations are highlighted.

Q: What would be the conceptual basis of you asking the client to choose rather than you defining for the client how it’s going to go?

A: So if you think about separating yourself from the emotional system of the other, trying to let that person be free to think on their own about what are the advantages and disadvantages of an action I am going to take. So that would be what the conceptual basis is, remove yourself, and try to be as objective as you can be so that people are free to make their own choice. You give them the options, and they make the choice. As informed of a choice as they can. So that permeates everything I do. (Next she gives an example of how she interacts with the client on the basis of this principle.) So I might say to somebody that this is a bullpen and I am going to talk to you about outrageous things and if you don’t like any of my ideas, that is great, you can just throw them in the trash right over there. Or you can just say, wait a minute, I am not sure I really want to hear that story. But you are here in this room with me and you can decide what you want
to listen to and what you don’t. So I try to give a lot of choice, and responsibility. Underneath part of choice is taking responsibility.

In this next example, Christine explained her thinking with an example of what she will or will not do in respect to the three-person interaction. While she referred to language from the theory to name a strategy in managing triangles in relationship systems, she did not identify the Triangle as a concept as articulated in Bowen Theory. Christine has also worked for 40 years with Bowen Theory as a therapist, educator and consultant. In the following example, she described her thinking about her practice of telling a client who has given her a referral whether or not she has been able to accommodate the referral.

Q: So the whole referral process involves your relationship with a client who refers (another potential client). And this thinking – is this tied into your conceptual framework?

A: I think of it as an open triangle rather than a closed one and that a closed triangle would increase anxiety. That’s the way I think about it. In a case like that, I’m not going to talk to him (the referring client) about her ever again if I see her (the referred potential client). They may meet in the office here accidentally or something like that. So they both know. But I’m not going to talk about it ever in the exchange with them. That would never be a part of that. But to me, it’s appreciating what the referral means to him and honoring that and then also being straightforward about who I am in relationship to that referral at this time in my life.

The third ALC in this category, Bob, used a conceptual framework that he adopted as a freshman in college and developed throughout his career. However, he did not apply abstract language to name his approach. When he described his approach, he described what he does. Bob consistently conducts meta-analyses of controlled experimental research from counseling psychology to identify strategies that produce optimal results.
It’s discovering, or making scientific discoveries in behavioral science that I can immediately apply and get great results from, either with individual clients or with organizations. It was a combination of doing research, reviewing research, discovering truths, and being able to immediately apply them and get great results.

In the following example, he described “treatment specificity” which is one of numerous strategies that he discovered while applying his concept. I would summarize his method as a “best practice” approach. During our interview, he described a technique he developed of identifying specific behaviors that would produce improved results for a specific problem. He first used this approach as a psychotherapist while working with adolescent delinquency and low self esteem in blind children. While consulting to an out-of-state juvenile services department, he was asked to help with staff problems. This was his first invitation for leadership consulting. Eventually he applied his strategies to poor teamwork in social service agencies, government organizations and for-profit companies. In the following interaction I portray my struggle to elicit conceptual language and his persistence in using exemplification.

Q: I am just wondering what other things have you brought to the table?

A: I did meta-analysis of all of psychotherapy in 1986 and I came up with a concept called treatment specificity. So that is another tool.

Q: Can you describe that a little bit to me?

A: So, for example, working with juvenile delinquents, counselors and social workers will jump to the poor living situation, or the parents fighting...

Q: Bob, excuse me I am going to interrupt you again, this is an example of something that you do with the client, you...

(Here, I wanted him to describe the principle, not the application, which he did
A: (Interrupting) I was going to give you an application that will knock your socks off...

Q (Begrudgingly): Okay, go ahead.

A: Treatment specificity means if your agency is seeing a kid for committing an offense you should have offense specific treatment. I shared with you how when I was head of the state system of programs for juvenile delinquents. I discovered skill training worked, but I felt something was missing. What was missing was the treatment specificity. Because some kids were breaking the law who were very adept at social skills but there were other reasons that were contributing to their offense behavior. And so I discovered the concept that if parole officers, probation officers, all of us working with offenders got the list of arrests, can we discover what were the contributing factors to those arrests, the antecedents that contributed to those behaviors? So I wrote a book that included offense specific treatment that is part of what you paid attention to, and it had an example of a concept called treatment specificity.

In each of these examples, what appears to be an absence of a conceptual framework may reflect an advanced level of integration of a conceptual or theoretically-derived principle into a business or consultation practice. Just as a mathematics scholar may have difficulty teaching calculus to college freshmen because the concepts have become self-evident to the teacher, the ALC who is an expert may have difficulty retrieving concepts. Knowledge and concepts can become more tacit with the passage of time and the consistency of application (Schön, 1984; Worren et al., 2002).

The length of time and commitment to a specific theoretical framework appear to be related to the degree to which conceptual frameworks become tacit. ALCs with a strong theoretical orientation who also incorporated other conceptual frameworks or were introduced to a theoretical orientation mid-career were more
likely to recite the theoretically-based concepts (e.g., Wayne, Centaur, Susan, Curtis) rather than spontaneously exemplify the application of theory. Similarly, the ALCs who began their work life in a Business environment (e.g., Curtis, Raul, Madeleine, Susan) expressed the greatest number of Business concepts in the practice of leadership consulting. Seventy-five percent of expressions coded as Business or Praxis in respect to LC practice were made by these four ALCs. These findings suggest that conceptual frameworks from early career domains persist even as individuals enter other domains of work.

II.A.i. Expressing concepts explicitly vs. implicitly. I also examined the degree to which concepts were spelled out or explicit versus tacit or implicit. This allowed me added magnification for my lens into the cognitive process. The following passage is coded as an Explicit Theoretical concept. Madeleine is describing the difference between what she does and coaching.

Sure. My understanding is coaches stay very grounded in the here and now. They don’t look at unconscious pieces. I don’t think they pay a lot of attention to the transference phenomenon and so forth. What they do do that I’ve noticed is they try very much to engender a – like a therapeutic alliance.

In the next passage she recounts her position on not billing health insurance for clients. I coded this as an Implicit Theoretical concept.

I think clients need to have their own agency. I think that that’s very important. It is a stage-setting sort of endeavor that they have to collaborate with me on this.

An explicit expression distinguishes the ALCs level of conscious awareness of and automatic conceptual linkage to practices. Implicit expressions may reflect the conceptual underpinnings of practice choices, but they reflect neither a conscious
nor a ready awareness of this linkage. Overall, concepts aligned with the field of practice, i.e. Human Behavior concepts with Psychotherapy, Business concepts with Leadership Consulting, were expressed explicitly more often than concepts applied to a different domain of practice. When ALCs made explicit expressions based in Human Behavior concepts, they were more likely to be describing Psychotherapy business practices than Leadership Consulting practices. Likewise, when ALCs made explicit expressions based in Business concepts, they were more likely to be describing Leadership Consulting business practices than Psychotherapy practices.

While this pattern may seem intuitively predictable, it is also striking in light of the fact that six of these ALCs entered their working life as psychotherapists. All ten ALCs came from families oriented to business values. Their explicit expression of conceptual frameworks appears to be more aligned with the field of practice than with a predisposition to one framework or the other.

**II.B. Aligning concepts directly with the practice domain.** In order to use cognitive processes as an object of observation I also categorized concepts expressed by ALCs in respect to the domain from which they originated. I conceptualized a domain as an arena of work life and organizational fields with discrete values and norms. Based on my research assumptions, I began with the domains of Human Behavior professions (HB) and Business or the for-profit sector (BUS). For the purposes of my study, Human Behavior specifies a subspecialty of the institution of Professions. It shares norms and values with medical professions but the conceptual basis for its’ particular business practices is from the study of Human
Behavior. This is the knowledge base that ALCs use in both the medical model of psychotherapy and the performance model of leadership consulting. This categorization was my primary lens for tracking how ALCs altered their principles for practice as they crossed over between psychotherapy and leadership consulting.

The following excerpts portray how the code of a Business concept was used. Madeleine discusses changes she has made in her practice of psychoanalytic psychotherapy.

Then when they get here, I have a statement of the scope of my practice and my policies and office practice policies that I give them. I review it with them, I ask them to sign it, they get a copy. It talks about the fee, when the fee is due. For people that come in very regularly – I’ve got somebody that just increased to twice a week here – now I bill monthly. Otherwise, she pays me at the time of the appointment because I think frankly, that’s just my own preference. It’s a pain in the ass to bill for four sessions, weekly sessions. But if somebody’s coming in multiple times a week, I’ll offer to you, would you like to go to a monthly billing. And I don’t have trouble collecting.

Curtis’ explanation of why he left psychotherapy practice was also coded as a Business concept.

The second thing is that at that time, Company X, which is the managed care provider for Insurance company Y, was paying $58 a session, you could not include any of your billing time, case notes time. I’m like this is a crazy business model, you know that the only way, it doesn’t matter how good I am, it doesn’t matter how creative I am, it doesn’t even matter what my outcomes are. I get the same amount of money, and the only way with my little entrepreneurial genes that I could make more money was to see more clients.

In contrast, here a business practice in Psychotherapy is coded as an HB principle. Wayne is describing the psychotherapy referrals he receives in a managed health care system. In this system, he is given the client’s name and initiates a call to the client to make an appointment. It is more standard in psychotherapy practice for
the client to initiate the first contact to avoid the possibility of exerting influence over the client’s free will to enter into the therapeutic relationship. I have asked him how he thinks conceptually about taking this initiative.

I probably shouldn’t say always, but the client still has to initiate a call to X to get to me and to make the request for the service. They may be encouraged to call by their primary care doctor at X, but the patient still has to call and request the service. They’re still making the initial request for service and for therapy. They’ve recognized and are taking responsibility for seeking the services that they think they want and need. It’s an autonomous action on their part that’s taking accountability and responsibility for what they need – the ways in which they can assist and help themselves.

My expectation was that while describing Psychotherapy business practices, ALCs would express more concepts from the HB domain. While describing Leadership Consulting practices, I anticipated that ALCs would employ more concepts from the BUS domain. As predicted, the domain references aligned with the field of practice. Features of the distribution patterns of the coded concepts provide an overview of this alignment (Table 2). Overall, there were four times as many expressions linked to the Human Behavior domain as to the Business domain. There were twice as many Business concepts expressed in descriptions of LC practices as in descriptions of Psychotherapy practices. This is predictable since Leadership Consulting is situated in the domain of Business. The ratio of HB to BUS concepts in reference to Psychotherapy practices was 6.1/1. Stated differently, Table 2 shows that there were six times more references to concepts related to the HB domain than to the BUS domain when ALCs discussed their Psychotherapy practices. This is predictable since the origins of the Psychotherapy profession are in the domain of the sciences of HB (Table 2). In contrast, the ratio of HB to BUS
concepts expressed in reference to LC practices was 3.5/1. In other words, Table 2 shows that there were three times more references to concepts related to the HB domain than to the BUS domain when ALCs discussed their LC practices.

Table 2.

Domain Alignment of Conceptual Frameworks

<table>
<thead>
<tr>
<th>FIELD OF PRACTICE</th>
<th>HUMAN BEHAVIOR Domain</th>
<th>BUSINESS Domain</th>
<th>TOTAL in Field of Practice</th>
</tr>
</thead>
<tbody>
<tr>
<td>Psychotherapy</td>
<td>204</td>
<td>33</td>
<td>237</td>
</tr>
<tr>
<td>Leadership Consulting</td>
<td>247</td>
<td>69</td>
<td>316</td>
</tr>
<tr>
<td>TOTAL in Domain</td>
<td>451</td>
<td>102</td>
<td>553</td>
</tr>
</tbody>
</table>

II.B.i. Using Human Behavior theories across domains. ALCs vary in how they use HB conceptual frameworks in their work. Each ALC has been interested and curious about the application of Human Behavior theories and knowledge taken from their practice of psychotherapy to the workplace. This is a distinguishing feature of their LC practice. Some adhere to one formal theoretical orientation while others draw from different ways of thinking about human behavior.

Seven ALCs (Curtis, Raul, David, Madeleine, Christine, Wayne, Paula) use a preferred theory of HB as a guide for consultation and practice decisions in both psychotherapy and leadership consulting. As an example, Raul makes an impassioned statement about using Bowen Theory as a guide for all dimensions of his psychotherapy practice.
I make every decision based on this conceptual framework. I made a decision of what and when to bill clients, I make decisions about reminding clients about appointments. I am constantly thinking: where is my responsibility to the client and where is the responsibility to self, and how do I manage those and how do I balance those off? When I put this new office together, I put it together with thinking about anxiety. And wanting a color scheme that both brought anxiety down yet implied that there is life out there and this is not to be, this is not meant to get the client so calm that they are going to go to sleep on themselves. It’s meant to get them to provide a level of calm that would underscore a desire to wake up in some way and be able to function learn to function better for themselves. I wanted this aquarium for me, but I also thought about it, is it going to be distracting to my clients, is it going to be attractive to my clients? Am I in any way going to have a client who is more interested in the fish than on working on self?

There is very little I do without reference to this theoretical base. Even in things that are very procedural. Billing, and records keeping and such as that. I don’t put things in records that I think in any way could prove to a client’s disadvantage someday. Even though they might tell me really juicy stories about their sex lives and things like that, I don’t put details in there. To the degree I can, I refuse to provide session notes to Social Security or anyone who is looking to evaluate the client for leave of absence or anything like that. On the other hand, sometimes the client approves it and says they are perfectly fine with it, in which case I don’t have a question. That is the client’s decision. So this idea of thinking through a value system, thinking through a set of concepts that can, to whatever degree, however broadly, predict outcomes is something that I can use to great advantage. It’s something I can drive myself a little crazy with sometimes. Just trying to square all things away against each other.

It is important to note that Raul also used Business concepts in his descriptions of choices of his business practices. As I describe later, adherence to a set of HB principles did not preclude inclusion of BUS principles as well. Three ALCs (Jim, Susan and Bob) are pragmatists and integrate concepts from multiple theories of Human Behavior in both arenas with a focus on “results”. Dissatisfied with particular or rather singular HB concepts, they are motivated to continue learning
and developing new ways to work with clients. Bob eschews adherence to one theoretical approach for his model of best practices.

II.B.ii. *Using business concepts across domains.* Adherence to a theoretical or pragmatic approach for consultation did not seem to be related to the degree to which each ALC used Business (BUS) concepts in either arena. This group of ALCs incorporates BUS concepts in their business practices of Psychotherapy and Leadership Consulting. All 10 ALCs view the business world as a distinct arena of social life and are willing to adapt their practices to some degree to gain accessibility to workplace clients. All view some degree of compliance with for-profit sector BUS practices as neutral and necessary to gain access to LC clients. And, they mix it up in how they adhere to BUS sector principles.

For example, Christine is willing to go along with the LC clients' terms in the contracting process. I asked her if she would ask a Psychotherapy client to sign a written contract when she talks about how she contracts with LC clients.

I wouldn’t do that, no. Partly it was kind of an experiment. This is what you’re intending, this is what I can offer, this is what you can expect from me and this is what it’ll cost. Some kind of thing like that. And in this world (LC), it’s all contracts. *It’s the way they do it.*

Susan explains her principles for engagement with the client. She explains her practice in HB terms of differentiation of self and the casework principle of starting where the client is. At the same time, she is willing to cooperate with the business client’s expectations. In this case, she accommodates the BUS expectation that disclosure of personal or family information would not be required as part of team development in the workplace.
I think of it as being customer-service-oriented. I just had an experience with a consultant who went into an organization and he said, “This is how we’re going to do it, and you’re going to share stuff about your family, and we’re going to do it as a team, and that’s just the way it’s going to be. That’s how I work.” He was real clear about how he worked with people, and now they are my client. So, am I not being defined? I guess. What I like to do is start with the client where they are and help them grow, and I think if I come in and I’m all defined about what I will and will not do, I’m not sure it’s necessarily helpful, and I think I can be defined without imposing that on other people.

Jim is an example of someone who relied on BUS concepts and his interest in Business as a psychotherapist.

Interestingly I never read the journals. What I read is magazines like Forbes. In Forbes talking about computers…the first computers were mainframes with dumb terminals. That’s called the parent, the father, and the family is then the dumb terminals who could only talk when the father says. Then we came to everybody had a machine that was independent and you just did your own thing. Then came client server. There were machines that each individual computer could tune into and integrate. Well, that is the story of therapy.

You see what’s so beautiful about Forbes is it talks about companies that have difficulties, they work through them and then they flourish. That’s what I did with families.

This group of ALCs is friendly to the world of Business and Business concepts, which they use in both their psychotherapy and leadership consulting practices.

II.B.iii. Expanding my domains. Two important domains of the Healthcare industry (HC) and Government/Regulations (REG) emerged during the interviews. These domains influence the ALC career and were not anticipated in my research design. Psychotherapists are subject to state and federal regulations for licensure and ethical oversight. For those who accept health insurance benefits, health insurance companies determine billing practices. In addition, therapists must abide
by managed care company rules for permission to treat clients, frequency of visits, availability, office features and treatment plans. While these domains are not the source of conceptual frameworks that ALCs use in consultation practices, they exert salient pressures on how ALCs make business decisions.

Wayne was meticulous in detailing the various pressures that have influenced his career choices in both psychotherapy and leadership consulting. He has also engaged head-on with the conceptual frameworks of the healthcare industry, a business-public sector hybrid. He carefully and skillfully described the impact of the healthcare industry’s system of managed care oversight and government regulation of professional standards on his decision to enter the business sector. Here I am probing his description of billing practices for his thinking in terms of the BFST conceptual framework. His careful description of competing frameworks highlights these domains.

Well, in our country, we have a public sector and we have a private sector. And the rules and regulations that govern the private sector are really quite different than the ones that govern the public sector. The public sector is regulated, it’s using government public monies. The health care industry straddles both the public and the private sector, but because they’re in the public sector, health care is a very regulated industry. It’s probably the most regulated industry that we have in our country. The business world is unregulated and proud to be so. Which allows for people to set their own rates, to function independently to price their services for whatever they want to price them for. And it’s not regulated by an entity that says you’re going to provide this service, this is the way it’s going to be provided and this is what you’re going to get paid for it.

This distinction illuminated a blind spot in my prior conception of “professions” and “business” as the two primary sets of norms and values influencing ALC behavior. I added the Healthcare Industry (HC) and
Government/Regulation (REG) as two additional organizational sectors that influence the conceptual frameworks and practice choices of ALCs. This expansion provides a more nuanced picture of the social forces that impact ALC careers. Table 3 summarizes how each ALC is aligned with these domains in each area of practice and their human behavior theoretical orientation in each area of practice. Each ALC uses either a preferred HB theory or a combination thereof in their consultation practices. In psychotherapy business practices they varied in whether they were aligned with the HC industry or more independent BUS values. All ALCs complied with REG norms in psychotherapy business practices. The HB principles they applied in psychotherapy business practices were similar to what they used in psychotherapy consultation practices. Less restrained in leadership consulting business practices, they all followed BUS norms and also incorporated principles from HB concepts. In general, they were consistent in how they used HB concepts across the areas of practice. Several ALCs incorporated greater diversity of HB concepts in their LC business practices.
Table 3.

*ALC Domain and Theory Alignment in Consultation and Business Practices*

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Curtis</td>
<td>Transpersonal Psychology (TPP)</td>
<td>HC/REG/TPP</td>
<td>BUS/TPP/Diverse HB</td>
</tr>
<tr>
<td>Raul</td>
<td>BFST</td>
<td>HC/REG/BFST</td>
<td>BUS/Diverse HB</td>
</tr>
<tr>
<td>David</td>
<td>BFST</td>
<td>HC/REG/BFST</td>
<td>BUS/BFST</td>
</tr>
<tr>
<td>Madeleine</td>
<td>Psychoanalysis (PA)</td>
<td>BUS/REG/PA</td>
<td>BUS/PA</td>
</tr>
<tr>
<td>Wayne</td>
<td>BFST</td>
<td>HC/REG/BFST</td>
<td>BUS/BFST/Diverse HB</td>
</tr>
<tr>
<td>Christine</td>
<td>BFST</td>
<td>BUS/REG/BFST</td>
<td>BUS/BFST</td>
</tr>
<tr>
<td>Jim</td>
<td>Diverse HB</td>
<td>HC/REG/Diverse HB</td>
<td>BUS/Diverse HB</td>
</tr>
<tr>
<td>Susan</td>
<td>Diverse HB/BFST</td>
<td>HC/REG/Diverse HB</td>
<td>BUS/BFST/Diverse HB</td>
</tr>
<tr>
<td>Bob</td>
<td>Diverse HB/BFST</td>
<td>BUS/REG/BFST/Diverse HB</td>
<td>BUS/BFST/Diverse HB</td>
</tr>
<tr>
<td>Paula</td>
<td>BFST</td>
<td>BUS/REG/BFST</td>
<td>BUS/BFST</td>
</tr>
</tbody>
</table>

**II.C. Managing conflict in values.** ALCs often seemed to be juggling different ways of thinking about the rationale behind their practice choices. David was the first interviewee. He has used BFST in his clinical and workplace consulting practices for over 30 years, and continues to study BFST. During that time he has made practice choices that differ from his BFST colleagues who also work as leadership consultants. In this excerpt I ask him to describe the principle underlying the choice to be in contact in the workplace with co-workers and supervisors of a client. This is a common LC practice that is very different from the private and confidential interactions with a psychotherapy client.

Q: Is this something that would make sense to you in terms of your
theoretical orientation? What you actually do with those clients? Is it a practice that is handed down to you by the organizational site, or by people who do organizational consulting work? Is it something that you’ve developed on your own?

A: I’d say it’s more something I’ve developed on my own, and/or apprenticed with Mrs. A.

Q: Can you say more about that? Is this something that you and she may have discussed or thought about as you’ve developed your practices?

A: I don’t know what to say about that. Other than I really don’t know. I can just only compare it to somebody like Dr. M who is guided by theory more than I am. In terms of what comes through his door. Versus, in my head, either a client or a company comes to me with a problem and I kind of get my problem solving head on already. I mean I’m not thinking I’m only going to deal with the CEO. I’m going to deal with the issue and I’ve tried to put together a process to do that.

Q: So even though you might not attribute your approach to one pre-defined theory, you have come to this practice for reasons that make sense to you and that may be in conflict with the theory?

A: My theoretical theory is there. It’s there. Okay? It’s just one level I kind of come in at. I am more flexible I think than some of my colleagues.

The highlighted phrase is an example of how he balances thinking with BFST and the customer service principle of Business. As he explains, he knows that some would see his practice choice as not theoretically aligned. He feels that allegiance to BFST is at odds with business practices that work for him.

I created a Versus code (Saldaña, 2013) which I termed Conflict Management in order to capture instances where the ALC expressed principles from more than one domain. Sometimes statements were explicit expressions of disagreement with a given conceptual framework. Bob states explicitly the difference and incompatibility between two HB theoretical approaches to teambuilding.
I found, once again, the control group studies found that, going off site, playing team building games, trust falls, and what is your favorite animal if you were not a human, all no improvement in business performance. Or no business results. But when leaders and teams learned how to set goals together, and set goals, with a goal setting methodology, or solve problems together with a problem solving methodology, learned interpersonal skills versus playing interpersonal games, there were dramatic business improvements.

Statements could also reflect the effort of the ALC to define his own thinking while feeling pressure from competing conceptual frameworks. David adapts in his struggle with competing approaches to level of entry into an organization. Some leadership consultants work solely with executives, others are willing to work with managers and employees.

In my head, either a client or a company comes to me with a problem and I kind of get my problem solving head on already. I'm not thinking I'm only going to deal with the CEO. I'm going to deal with the issue and I've tried to put together a process to do that.

Conflict was also expressed as an incongruity when a statement from one conceptual framework followed a statement from the other conceptual framework. Madeleine demonstrates this in her description of how she has adapted her psychoanalytic practice to the needs of her clients.

(Here she begins with a market view of her psychoanalytic practice.) I don't know if you know what's going on in the analytic field, but it's very volatile right now. The idea of – and it started when the collapse of the financial markets hit in '08 because people couldn't afford to come in 5 times a week. And then they couldn't afford to come in 3 times a week. (At this point, her thought process switches to a psychotherapeutic rationale.) I still feel I'm doing analytic work because my framework is still the same. Coaching is not psychotherapy and it's not analytic psychotherapy per se, but it has a lot of the underpinnings of it, and that's what I use to help move the relationship forward.
In this example, I do not believe that Madeleine is aware of or feeling discomfort in the seamless switch from a business rationale to psychotherapeutic reasoning. Almost every ALC expressed management of different value systems in these ways. As I explored this theme further, it led to insights into the entrepreneurial nature of the careers of these ALCs.

**III. Professional Business Practices**

The ways in which ALCs conducted business with their clients was the primary focus of my investigation. Because I could not directly observe behaviors, my point of observation was their expression of cognitive processes about behaviors. These behaviors included: Referral Sources/Marketing, Contracting, billing/Payment, Location/Setting, Activities, Contact with Third Parties, and Initial Contact with Client. I focused on in-depth exploration of conceptual frameworks in respect to billing Practices and location of services. How did these practices change as ALCs moved between psychotherapy and leadership consulting? How did the conceptual framework change?

The analysis of location and payment practices confirmed a shift in how ALCs are aligned with norms and values of the Professions and Business as they transition between psychotherapy and leadership consulting. Examination of other practice features identified Innovation as an unanticipated trend in consultation activities. This led to further investigation and conceptualization of the entrepreneurial nature of these boundary-spanning professionals.
III.A. Alignment through payment practices. Payment practices include billing procedures and whether the client or a third party such as a health insurance company or the employer makes payment. In psychotherapy practice, the therapist is paid directly by the client, a family member or a health insurance company. The party who pays directly for therapy is the party investing in the outcome. Ultimately, the payer is able to hold the therapist accountable. Based on Human Behavior theories, psychotherapists often regard direct payment from a client as the client taking responsibility for the outcome of the therapy. This way, the client comes to the therapy as an equal and not in a dependent position. However, in Leadership Consulting, it is more customary for the employer or corporation to write the check to the leadership consultant. When ALCs accept this practice they are operating under a different principle than they did as psychotherapists. Is that principle based in the application of a Human Behavior theory? Or does it reflect an alliance with the corporation? How does it change the way the ALC relates to the client?

First, who pays the ALC for psychotherapy and leadership consulting services? How do they compare? While nine ALCs have collected payment directly from the psychotherapy client, only five collect payment directly from the leadership consulting client. Six ALCs have accepted direct payment for psychotherapy from insurance companies while all 10 accept direct payment from corporations for leadership consulting. Nine ALCs accepted payment from clients for psychotherapy. The 10th worked in a social service agency and never dealt directly with payment. Only six have accepted health insurance benefits. This pattern is
reversed in leadership consulting. Five have been paid directly by clients, while all 10 bill and accept payment from the corporation (see Table 4).

Table 4.

*Payor for Services in Psychotherapy and Leadership Consulting*

<table>
<thead>
<tr>
<th>Payor</th>
<th>Psychotherapy - Career (Current)</th>
<th>Leadership Consulting - Career</th>
</tr>
</thead>
<tbody>
<tr>
<td>Client</td>
<td>9 (2)</td>
<td>5</td>
</tr>
<tr>
<td>Third Party</td>
<td>6 (3)</td>
<td>10</td>
</tr>
<tr>
<td><em>Insurance</em></td>
<td></td>
<td><em>Corporation</em></td>
</tr>
</tbody>
</table>

The following themes emerged as ALCs discussed the principles on which they based their billing practices.

III.A.i. *Psychotherapy: Efficiency, ethics and accessibility.* From the outset, the ALCs in this study brought their Business backgrounds into their psychotherapy practices. They are clear about how their decisions affect their relationships with their clients. Their predisposition toward Business is evident in their early adoption of billing practices. Differences in practices are based in different Business values: economy and efficiency versus market optimization.

III.A.i.a. Unwilling to bill insurance: efficiency and ethics. Psychotherapists who do not accept insurance reimbursement have the simplest billing procedures. The client pays either in advance or at the time of the appointment with the therapist. The therapist may provide a bill that can be submitted by the client for reimbursement from a health insurance company.

Christine and Madeleine are not willing to provide insurance billing services.
They have built their psychotherapy practices on principles that are aligned with business values of economy and efficiency. Christine is clear that it is a simple decision of efficiency and economy in her practice.

*It's too much work. It's too much work. It's not worth my time.* I don't have the infrastructure to support my time doing that and I don't have somebody paying for it. I have a bookkeeper who does my statements but that's not the same thing as doing a billing. I won't do insurance anyway myself. I never have.

Madeleine thinks about the therapeutic implication of her decision at the same time that she is making a business decision of efficiency and economy of time for herself.

What I don’t want to do is create a dependency or infantilize someone. And the other thing—*this is from a practical standpoint—* I don’t want to get immersed in other people’s insurance. *I talk to colleagues who spend so much time sorting that out and trying to understand different plans and so forth.* I don’t create the dependency. There’s certain things I can do and can’t do.

Paula thinks primarily in terms of protecting the client’s confidentiality and is not willing to give information about the client to the insurance company.

After, when I got out on my own then I said to people, I don’t believe in insurance companies because it does not seem to work very well for me to send a lot of information about you to the insurance company, and then I’d fax it in and who knows what clerk reads it. *It just doesn’t seem very ethical to me.*

**III.A.i.b. Willing to bill insurance: accessibility.** Psychotherapists who accept health insurance benefits as an approved or network provider must bill the insurance company directly, as well as collect the insurance policy deductible and co-payment from the client. This administrative work often requires the services of a bookkeeper. In addition, by contract, providers are not allowed to charge a fee different from what the insurance company has approved. Network providers are
also often subject to oversight by managed care companies for approval of services
and for the progress of the treatment. The benefit is that therapists have access to a
larger pool of potential clients. In addition, they receive referrals directly from the
managed care and insurance companies.

Only three ALCs currently accept payment from health insurance companies
in their psychotherapy practice. They uniformly express the professional and
financial value of accessibility to a diverse population of clients. David describes his
principles for being an insurance in-network provider.

There are plenty of good therapists who only take fee for service. But as an
EAP provider, and this comes back to social work principles that I have, I
want to be able to be involved in an organization or firm that provides
working class people access. Not just working class, but giving working
people access to mental health and substance abuse and consulting and
leadership services. Leadership services are not covered under insurance,
the other part, the psychotherapy part is. I made a decision early on as an
operating principle to be a part of the managed care networks.

While expressing values that are aligned with a social work professional principle of
equity in healthcare access, these three ALCs are explicit that they are also making a
marketing and business decision to bring in clients. Accessibility as a social work
value ensures equitable distribution of high quality psychotherapy services to
clients with limited financial resources. Accessibility also benefits the
psychotherapist by ensuring a diverse stream of income. This value may represent a
hybrid of service sector and business sector values.

III.A ii. Leadership consulting: Freedom and efficiency. In contrast, the billing
procedures for leadership consultants are much simpler. In the Business sector, the
LC makes a formal or informal contract with the client for fees. These may be
contracted and billed by the hour or by a lump sum. They may be billed and paid in advance of the service delivery or after service delivery. Documentation in the billing procedure is usually minimal. A payment and accounts division often makes the payments. The highly confidential nature of services delivered to leaders and their reports prohibits detail in the billing process.

The themes that emerged in examination of LC billing practices represent a mixture of values from the Human Behavior professions and the Business sector. ALCs expressed values in LC billing practices that were laced with HB concepts. At the same time, they sought freedom from the financial constraints imposed by the Healthcare industry and Government/Regulation. Nine ALCs value the freedom to enter the free market of the Business sector and to regain control over administrative work and compensation. Fundamentally they are seeking the benefits of the free market of the Business sector.

All 10 ALCs comply with and accept the billing terms of corporate clients. They view this as customer service and a condition of working in the business world that is not worth negotiating.

Crossing into the financial structures of corporate clients has stimulated some ALCs to think about their billing practices differently. They were able to articulate principles unique to this transition.

III.A.ii.a. Choosing freedom. The Healthcare industry is a hybrid of the practice of medicine as a profession and the for-profit ownership and management of healthcare corporations. The public sector also plays a role in professions and the
healthcare industry with government regulation of professional qualifications and ethics, as well as management of social security medical insurance and regulation to ensure the equitable distribution of healthcare services. The emergence of these social sectors in the second half of the 20th century introduced constraints on the negotiation and collection of fees and business practices of psychotherapists. In contrast, leadership consultants are free to engage in unrestricted commerce and unregulated practice in the private sector of Business. The pressures from these intermediary domains contributed to the motivation for some ALCs to transfer their skills to the Business world.

After choosing to participate in the Healthcare industry as a provider as well as the owner of a managed care organization with practices defined by state government regulations, Wayne decided to enter leadership consulting for freedom from constraints in financial compensation.

*I like having the freedom that providing service in the private sector allows.* I’ve worked a great deal of my life in the regulated world about what I can do and what I can’t do and what I can charge and what I can’t charge. And at this point in my life I don’t want to be regulated so much.

Early in their careers, Susan and Curtis grappled with the business constraints of psychotherapy practice. Their dissatisfaction was a motivation to take their skills and interests into a different economic sector.

Susan: 
*The income I brought into the center and what I got paid, there was no relationship whatsoever to that (what I earned). And in fact it was... an “aha” moment. I had worked really hard to build this adult group in the evenings and it was very profitable and it was very effective. And the center made the decision that they were not going to be doing groups anymore, and I remember having a conversation with my supervisor, saying, this is crazy.*
This is helping people and it's bringing a tremendous amount of income into the center and you are telling me that I have to stop the group. This makes no sense to me, whatsoever. But that's what I was informed I had to do. At that point I realized I will never work for the (agency). It just doesn't make sense for me. I would want to have more control over it.

Curtis:
But two things got me out of the desire to be a therapist... at that time, Magellan, which is the managed care provider for Blue Cross was paying $58 a session, you could not include any of your billing time, case notes time. I'm like this is a crazy business model, you know that the only way, it doesn't matter how good I am, it doesn't matter how creative I am, it doesn't even matter what my outcomes are. I get the same amount of money, and the only way with my little entrepreneurial genes that I could make more money was to see more clients. At some point you see more and more clients to make a reasonable living and you're at risk of burn out.

After decades of accepting insurance payments in his private practice of psychotherapy, Jim stopped. He was no longer willing to participate in the simple task of filling out a renewal application for his psychotherapy license. Therefore, he could no longer practice psychotherapy legally or qualifies for health insurance reimbursement.

As a therapist I had to, on my birthday month, you had to send in your Continuing Ed things. I was filling it out and I had had enough time but I just said, “The hell with this.” So I just didn’t send it in. hen it occurred to me, “Well, now what are you going to do smarty? You are no longer licensed and you can’t advertise yourself as a therapist.”

Regardless of their choices around billing practices, all ALCs expressed frustration with either government regulation of their profession or the healthcare industry restrictions on psychotherapy practice. This observation emerged during the coding process. Since I had not included these organizational fields as potential influences on ALC business practices, I did not ask the participants directly about how these frustrations affected entry into leadership consulting or business
practices. In the Discussion, I speculate about the impact of this frustration on the entrepreneurship of the study’s participants.

III.A.ii.b. My way is your way: Accommodating with principles. All ALCs accept payment from the client’s employer in their LC practice and uniformly conform to the billing practices of their Business clients. They are also willing to accept payment directly from a coaching client. Each ALC complies with the billing terms of the employer even when this means disclosing the identity of a client or reporting details about the consultation process to a supervisor.

Susan describes accepting corporate billing practices as part of doing business with corporate clients. Following corporate procedures allows her access to clients.

So with the billing process, most companies have a billing process in place. It’s how they do things. So if I want to do work with that client then I’m going to accept their payment terms. I look at that as it is what it is, and I don’t want to be seen as a difficult consultant. I don’t want it to be difficult for people to do work with me.

Wayne’s description of his practices demonstrates a more nuanced view of the differences between payment in psychotherapy and business. He follows the standard corporate practices for setting fees and billing practices for executive coaching.

In that template (of the contract), the thing that is left out is the fee. Because fees can vary. Most coaching practices, there’s one rate for corporations who are paying for, it’s not involuntary coaching, but the corporation is willing to pay for the coaching. So there’s a corporate rate traditionally, and then there’s a rate for people who are seeking it out and paying it on their own as compared to the corporate rate.

As he explains the fee structure, he compares it to his psychotherapy fee structure.
At first he implies that it is parallel to working with insurance companies until I clarify that while there are two fee levels in both arenas, they are traveling in opposite directions.

A: Well, I would still set the rate. It might just be a different rate. It's really no different than in the insurance world. The insurance is saying I can have a rate of $150 but that may not be necessarily what I accept. In the coaching world, the corporation is maybe willing to pay a different rate than the individual would. It's the difference between business and health care.

Q: And is what you're saying that with health care your contract with an insurance company would result in a discounted rate, whereas with a business it might go the reverse. Personal pay would be a discounted rate. And then who would you negotiate with about that rate? If the corporation is paying.

I call the therapeutic principle of client responsibility into question. Wayne replies in terms of his preference to negotiate directly with the executive client.

Usually, the corporation reimburses the person receiving the coaching. So they usually know what their corporation – their corporation has told them we’ll pay up to – we will reimburse you X number of dollars for coaching.

There are other situations in which he complies directly with the corporate billing practices. Yet, he does this also through the client. The therapeutic implication is that his primary relationship is with the client and he holds the client responsible for negotiation with the corporation for services and payment.

A: I guess the only place that that's different is if there's a 360 assessment that the corporation has agreed to pay for, then that involves my talking with other people in the corporation, then I will bill the corporation for the time to conduct the 360 or if I administer a Bergman. And so the corporation – they will authorize the service to occur. So it's really around the assessment piece that I have billed corporations.

Q: But the negotiation to do the assessment would be with the individual coachee, so to speak. And then there would have to be a communication to whom to get the approval to?
A: Typically the CEO is the person at that level. They’re the people who approve those expenditures.

Q: And you would have that conversation? Or the coachee would?

A: No, the coachee would relay the information to the person in the corporation. Then the coachee would tell me who I bill at the corporation.

As they transitioned into the brave new world of corporate finances, these ALCs developed their own ways of thinking about a change in billing practices.

Madeleine charges a higher fee if the corporation is paying because of increased legal liability when her work is in the corporate system.

If it’s a corporate fee, it’s a higher fee. And the reason I do that is that I’ve found that in corporate fee setting that, first of all, I’m at risk. Any time you influence a group, my exposure, my risk is higher. Because as I talked to an employment attorney one time who said if that person sues for wrongful discharge, even if they’re at will, their attorney will go you, you, you and you – you’re all connected to it. You’ve got to sort out who has the liability here.

In this case, Jim views billing the company with a Professional mindset. He wants to do the work without restrictions or financial concerns.

I bend over backward to negotiate. I say, foolishly, I don’t want anyone not to have access to my services over money. And I love what I do, which is true, I’d do it for free. But when I go to Kroger’s, they don’t. So we usually work something out. Actually it’s better because the client never has to be involved in the money. It is like, well, here is a friend that I can come in and talk to and we never talk money.

A mixture of principles guides billing practices for both psychotherapy and leadership consulting. Both HB professional values and BUS values impact choices ALCs make as they move from psychotherapy practice to leadership consultation.

Most of these ALCs brought business values into their psychotherapy Billing practices from previous work or family experiences in Business. Eager for the
benefits of a free market and the opportunity to apply their skills in business settings, ALCs were uniformly willing to accept Business billing practices.

III.B. Alignment through location. The location where ALCs meet their clients is another potential indicator of how ALCs negotiate the norms and values of the Professions and Business. Conventionally, psychotherapists meet with clients in the therapist’s office. This practice evolved originally from principles derived from Freudian theory. As discussed earlier in Section ID., the privacy and firm boundaries of the therapist’s office provide a safe environment for the client’s disclosure of intimate thoughts and emotions. Laws and professional regulations now protect the client’s confidentiality. Managed care and insurance contracts with psychotherapists require that services be delivered in the therapist’s office.

When ALCs coach leadership clients the location of the delivery of services varies to include the ALC’s private office, the workplace, the client’s home and public settings such as restaurants and hotel lobbies. What choices have these ALCs made about where they will meet leadership clients? What principles guide their decisions? Are the principles more aligned with HB principles or with the Business culture?

A tabulation of where ALCs meet with their clients portrays the differences between psychotherapy and LC practices. As psychotherapists, ALCs usually follow conventional practices. This can represent professional socialization as well as the exertion of professional control over the conditions of the therapeutic interaction. As leadership consultants, ALCs continue to exercise personal preferences but
recognize the negotiation with the business convention of meeting in the workplace.

All 10 ALCs met with psychotherapy clients in the therapist’s office. Nine ALCs meet with LC clients in the workplace. Whereas all 10 ALCs prefer to meet with psychotherapy clients in their offices, they were evenly divided in their preferences for where to meet with LC clients. Four preferred to meet with LC clients in their offices, whereas four preferred to go to the workplace. Two ALCs did not express a preference for where they meet with LC clients (see Table 5).

Table 5.

*Comparison of ALC preferences for Location of Services in Psychotherapy and Leadership Consulting*

<table>
<thead>
<tr>
<th>LOCATION OF SERVICES (preference)</th>
<th>Psychotherapy</th>
<th>Leadership Consulting</th>
</tr>
</thead>
<tbody>
<tr>
<td>ALC Office</td>
<td>10 (10)</td>
<td>7 (4)</td>
</tr>
<tr>
<td>Workplace</td>
<td>1</td>
<td>9 (4)</td>
</tr>
<tr>
<td>Client’s Home</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>Other/Public Setting</td>
<td>1</td>
<td>5</td>
</tr>
</tbody>
</table>

This pattern of meeting with the client in the privacy of the therapist’s office reflects the strength of the Psychotherapy norm as well as the influence of HC industry and government regulation in Psychotherapy. Although ALCs are willing to meet leadership clients in the workplace, they exhibit more individuality in the principles that guide their leadership consulting preferences.

**III.B.i. Psychotherapy: personal boundaries and separation.** Two themes characterized how ALCs thought about where they met with their psychotherapy clients. Meeting in the office is a way to keep personal boundaries with the external
structure of the office walls. Meeting outside the office requires maintaining a strong internal boundary. These themes are both consonant with values from the domain of Human Behavior. ALCs did not refer to Business principles as they talked about where they work with Psychotherapy clients.

III.B.i.a. Meeting in my office: Personal boundaries. The uniformity of ALC practice and preference for meeting psychotherapy clients in the ALC's office reflects the strength of the norm as well as the regulation of confidentiality and privacy for psychotherapy services. The professional office offers as much clarity for the therapist as it does for the client. Wayne explains why he only meets with psychotherapy clients in his office.

To make clear that the relationship is a professional relationship that's dictated by certain ethics and laws as they relate specifically in Colorado; that the relationship is formal. It's not informal. It's professional; it's not personal.

Similarly, Christine describes the benefits of providing services in an office setting in comparison to meeting families in their homes.

In the office? I think it's a neutral environment. It assumes a professional environment, assumes a professional relationship. It assumes a structure that isn't – “I'll meet you at Starbucks” – kind of thing. I think the clinical is easier here (in the office). It's more supported by definition, kind of what your job is, what my job is, what the other person's job is. It's in a place; it's an enterprise, a professional place.

The physical space of the therapist's office has become emblematic for the intimate nature of personal disclosure and safety. This Psychotherapy value was unchallenged and accepted by these ALCs.

III.B.i.b. Meeting outside the office: Internal boundaries. Paula is the only ALC
willing to meet with psychotherapy clients in unconventional settings. Meeting outside the office is part of her nontraditional practice of psychotherapy. She has created novel approaches to providing psychotherapeutic services, such as orchestrating family therapy weekends in retreats and offering Real Time brief consultation by email, text and phone at times outside appointments. In this vignette she portrays the challenges of maintaining a professional role in a social setting. As a family therapist, her goal is to separate herself from the family and to stay outside the emotional system of the family. As she describes this out-of-the-office practice, she articulates how her HB principles guide her management of boundaries.

If you are going to have dinner, there can be some boundary issues there. If you are having dinner, or you’re by the wine, you have to kind of think about that. I used to travel a lot with Dr. Bowen and he would do just outrageous things to separate himself from people. So separating yourself when people are having dinner with you is a very tricky wicket. Not to take sides with them, not to feel sorry for them, not be blown away. You know holding people responsible gets a lot trickier I’d say. You have to be faster on your feet to not take sides and to stay separate from people emotionally.

Few therapists flirt with defying the norm of meeting in the office, the regulations of confidentiality or the healthcare industry rules. For most therapists breaking this convention when asked to enter the workplace as leadership consultants requires careful adaptation of principles.

III.B.ii. Leadership consulting: Engagement and separation. It is common for leadership consultants with Business backgrounds to work with clients in the work setting. This is the norm in management consulting. The greater diversity of ALC location practices and preferences for LC clients also reflects an absence of norms
for and regulation of all LC practices. The participants in my study varied in their practices and preferences.

The ALCs displayed more individuality in how they define their own values in respect to those of their clients in their leadership consulting practices than they did in respect to their psychotherapy practices. They neither simply adopt practices imposed by the corporate workplace nor do they all make the same choice for the same reason. Some prefer to consult in the workplace to gather information about the group dynamics and environment. Others prefer to consult in their own offices. The values expressed can be summarized with the themes of engagement and separation.

III.B.ii.a. Meeting at your office: Engagement. The four ALCs who prefer to meet LC clients in the work setting gather information about the group as they interact directly with the system. Christine values the challenge and benefits of interacting with all the family members directly.

*I think I’ve always felt kind of willing to go outside the box of what was kind of considered the frame of what clinical work would be in working with these larger family groupings where you get to work with everybody. You get to know everybody, not hear reports about these people, you know these people.*

Susan and Curtis are clear that working in the business gives them valuable information for their consulting interventions.

Susan:
When I’m doing interviews I always try to interview people in their environment instead of having them come to my office. I want to go to their office. I want to see what it looks like. *I want to experience the energy of the office.*
Curtis:
So, it’s my ability to see the observable behaviors in the milieu of the organization that is one of my greatest tools.

They values express Psychotherapy values and at the same time their preferences are in alignment with conventional management consulting practice.

III.B.ii.b. Meeting at my office: Separation and independence. Raul and Paula prefer to stay separate from group dynamics that may interfere with their ability to work with the client. Their reasons are based in managing themselves in the group dynamic, a psychotherapeutic concept.

Raul:
Occasionally (would meet LC client at ALC office) if they didn’t have much of an office or if they were concerned about confidentiality. Let’s say a leader would call me and say I would like you to work with Josephine, she is not doing very well with the people who work for her. But if somebody comes in and starts to sit behind closed doors with Josephine they are going to wonder.

Paula:
I don’t know for sure. I’m sure other people can do it differently. If I go into their office and just meet with them... Even then, people know that you are there doing that, and it sort of shifts the alignment of people, and you can’t even deal with those people. So I don’t know, theoretically I have not found a way to enter into the business.

Madeleine and Wayne prefer to meet in their offices with LC clients in order to provide the client with separation from the workplace. They believe that the client receives a benefit.

Madeleine:
Some people start out with, oh, I really want you here. So I go there. And then after about six weeks they say, can I come to your office, because they have no transition time. I leave the office, they open up their door and boom, they’re right back at work. So the drive time often gives them the transition.
Wayne:
I still think it works better if they come here rather than me go there. I think they just seem to appreciate the space of being away from their work environment. If they’re at work, they’re usually paying attention to who’s walking by and/or whether their phones are lighting up – there’s just more distractions that interfere with their ability to be thoughtful.

Another expressed benefit of meeting clients outside the office is that the ALC is able to maintain a position of independence from the client’s workplace. The ALC’s authority can be undercut in a corporate environment. Paula expresses this perspective.

To me, there is a big shift in power, there is no real other word. When you go into their territory and their business versus they come to you. Here they are seeking to learn, they are seeking to figure out what can I do about me, it’s just so much cleaner to me in coaching leadership.

Jim likes the independence of meeting with clients in his office so they can get to know him.

With all the mobility in the world, I still would want to meet here because they are going to understand me better having been in this space.

Madeleine wants to have independence in how she manages her time and energy.

And I don’t like doing that (going to client) because frankly, I don’t like leaving my office.

Although most ALCs were not this explicit, the location preference for each ALC is aligned with convenience. Those ALCs with local psychotherapy and leadership consulting practices who maintain a professional office prefer to meet in their own offices. For ALCs whose LC clients are geographically dispersed, travel to meet with clients in the workplace is more efficient.
Regardless of the location choice, ALCs expressed preferences based on HB principles, including group behavior. In addition, they operated on the basis of which location was the most convenient for their own lifestyle.

**III.C. Innovation in consultation activities.** During the initial coding of types of activities conducted with clients, I began to identify innovations in practices developed by the ALCs. Eight of the 10 ALCs interviewed engaged in innovative activities with clients. They developed new activities within the fields of psychotherapy and leadership consulting. In addition their transfer of assessment and consultation activities from one arena to the other resulted in novel ways of engaging clients. Five ALCs introduced new ways of assessment or intervention in both their psychotherapy and LC practices. Two additional ALCs introduced innovations in LC practice and a third in psychotherapy practice. The following list includes the specific innovations described in the interviews. (See Table 6.)
Table 6.

Innovation in Consultation Activities

<table>
<thead>
<tr>
<th>Innovation Type (4)</th>
<th>Innovation (16)</th>
<th>ALC (8)</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>New ways in psychotherapy (4)</strong></td>
<td>Use of Counseling Psychology (CP) Assessments in Psychoanalysis</td>
<td>Madeleine</td>
</tr>
<tr>
<td></td>
<td>Integration of psychophysiology and family therapy</td>
<td>Christine Paula</td>
</tr>
<tr>
<td></td>
<td>Application of CP research to social services administration</td>
<td>Bob</td>
</tr>
<tr>
<td></td>
<td>Application of CP research to treatment of juvenile delinquency.</td>
<td>Bob</td>
</tr>
<tr>
<td><strong>New ways in leadership consulting (3)</strong></td>
<td>Innovation in assessment of LC outcomes</td>
<td>Bob</td>
</tr>
<tr>
<td></td>
<td>Innovation in leadership training for organizational change</td>
<td>Bob</td>
</tr>
<tr>
<td></td>
<td>Novel methods in executive coaching</td>
<td>Curtis</td>
</tr>
<tr>
<td><strong>Transfer of psychotherapy methods to leadership consulting (11)</strong></td>
<td>Employee Assistance Program counseling services applied to executive coaching</td>
<td>Curtis</td>
</tr>
<tr>
<td></td>
<td>Application of marital therapy techniques in business relationship coaching</td>
<td>Raul</td>
</tr>
<tr>
<td></td>
<td>Application of trauma therapy techniques in workplace stress debriefing</td>
<td>Madeleine</td>
</tr>
<tr>
<td></td>
<td>Application of multigenerational family therapy to family business</td>
<td>Christine Paula</td>
</tr>
<tr>
<td></td>
<td>Application of neurofeedback to executive coaching</td>
<td>Christine Paula</td>
</tr>
<tr>
<td></td>
<td>Use of psychotherapy methods in leadership development programs</td>
<td>Susan</td>
</tr>
<tr>
<td></td>
<td>Application of CP research to leadership consulting</td>
<td>Bob</td>
</tr>
<tr>
<td><strong>Transfer of LC methods to psychotherapy</strong></td>
<td>Use of LC assessment in psychotherapy</td>
<td>Raul</td>
</tr>
</tbody>
</table>
The following examples demonstrate the range of innovations. Christine describes how she developed a method combining neurofeedback and family therapy. At this time she was teaching and supervising at a national family studies center.

So an individual might come in that I see with the neurofeedback – they come in for a relationship problem. I’ll include the neurofeedback and describe why I do it and what’s important about it. And in the initial two sessions do a family history and kind of a teaching session on the neurofeedback and then we’re off and running. Then the neurofeedback is a routine. They’ll talk during the session or not. What I would prefer having is more than one piece of equipment that I could hook up more than one person when I’m actually in the room. So when I see any couples, just around their regular relationships, they’ll both get a chance to do it in an hour. So I’ll do kind of an abbreviated, two abbreviated sessions. And we don’t even talk about it. We just get up and they move – the other person moves and I have them come up and we just keep talking –

Bob introduced a novel approach to developing teamwork in leadership consulting that he has also applied in a new endeavor in neurofeedback psychotherapy. He has named it the “side by side” approach.

I did my research of gathering large amounts of studies, winnowing out the control group studies where behavior is the outcome. So in the ‘90s I got kidnapped away from any kind of psychology stuff to do consulting and leadership consulting around teamwork. People then said they want me to have a course on leadership so I looked at like 3000 studies on leadership and once again winnowed out the best. I came up with the term “side by side” versus top down which is very authoritarian, or bottom up which is laissez faire, almost absent parent model. They wanted side by side. When somebody in authority would behave side by side with the skills and tools, their outcomes were phenomenal. Like 30-40% improvement per year in the companies that I worked with.

I took this concept of side-by-side and said, now I am reentering the world of brainwave biofeedback. I will do this side by side, so that informs how I do everything. So my interviews with clients I’d say it’s a side-by-side
educational approach where I am educating clients, but I am always asking them for their ideas. I am phenomenally successful, I think part of the reason I am phenomenally successful is not, only that I have this great tool that reads peoples brainwaves, but then I use this side by side approach with clients. I’m very mutual with them.

Christine has brought neurofeedback into her LC work with families through Family Enterprise offices.

So people do the neurofeedback before we have these big sibling group meetings. I’m working with the mother who is the head of the philanthropy foundation. And she’s transitioning her son; one of her sons is picking up responsibility. So I’m working with them on their transition. I take my neurofeedback equipment. And I work with the mother alone with the neurofeedback, the son alone. And the assistant – mother’s assistant - alone on the neurofeedback when I’m there. There may be movement between somebody coming in and coming out and being interested and “Mom, come here and see what my numbers are”, that kind of thing happens. So it’s not clinical. But it’s a learning opportunity. That’s in the context of their worksite. This unexpected discovery of the prevalence of innovative practices reinforces the observation that these ALCs do not simple adopt practices dictated by sectarian norms. These ALCs may follow practices that do not violate principles that are important to them. They also take advantage of opportunities to introduce new ways of working. In short, they think outside the box.

III.D. Summary of professional business practices.

III.D.i. Psychotherapy business practices. In psychotherapy practice, ALCs are uniformly aligned with Professional norms and HB conceptual frameworks in their choice of where they meet with clients. They like to meet in their offices with clients for Psychotherapeutic reasons. However, there is greater variation in their billing practices. Some express conflict between HB Professional and Business values.
While some resist Healthcare industry and Government/Regulation constraints, others accommodate in order to have access to referrals of a diverse population.

III.D.ii. Leadership consulting business practices. In a different dynamic as leadership consultants, these ALCs are divided in where they like to meet with LC clients. Furthermore, the principles for their preferences are not uniform. Each has developed his practice to support the type of work he wants to do. Those who work primarily with individual executives prefer to meet in their own office. They cite Psychotherapy values as well as the personal values of convenience and efficiency. Those who work with groups in companies that are geographically dispersed prefer to travel to and work in the workplace. In addition to greater efficiency, this choice also allows these ALCs to interact with the group on site. This practice has value in the context of their HB conceptual orientation. All ALCs align themselves with Business clients in their LC billing practices. They think carefully about doing so and their reasons range from “It’s good business” to a range of principles based in HB principles.

III.D.iii. Innovation. Eight of the 10 ALCs introduced innovations in their consultation practices. While some were new ways within one field, others were transfers of practices across fields. Six conceived of bringing knowledge and skills from psychotherapy into the workplace. The other four have introduced new methods and approaches to corporate training, EAP, family wealth management and executive coaching.
IV. Entrepreneurship

I began my study looking for irreconcilable conflicts between the values of service and profit. Now I was more curious about the process of entrepreneurship. Furthermore, I had simultaneously coded (Saldaña, 2013) interviews for both management of conceptual conflicts and innovation. I wondered if these features are linked. As I approached the second round of coding, I included conflict management of conceptual frameworks, including the expanded domains, and innovation that arose either out of domain conflict management or the transfer of knowledge between the business sector and psychotherapy (see Appendix H).

Following a model of imprinting on entrepreneurial inception (Mathias, Williams, & Smith, 2015), I also coded types of entrepreneurial creativity as well as environmental influences (see Appendix H). I found little distinction in typing entrepreneurial creativity. The most useful distinction was in the type of innovation. ALCs most frequently reported innovation in the transfer of practices from psychotherapy to business. ALCs recognized the opportunity for innovative work when confronted with conflict between different methods in Psychotherapy, between BUS values and the regulated atmosphere of the Healthcare industry, and between HB Professional values and Business or private sector values.

In this section, I begin with a portrayal of conceptual conflict management. Following that I portray the various ways in which innovative practices arose from management of conceptual conflict.
**IV.A. Conflict management.**

In the initial coding I identified conflict management as a characteristic of the ALC’s navigation of different value systems as described above. In the second round of thematic coding, I followed my curiosity about the role of incongruities in the expression of values. I started by specifying the different social sectors or domains expressed by the participant. Then I could begin to see relationships between categories of conflicts and the kinds of innovations that followed. While my research question anticipated conflict between service and business values, I had not anticipated witnessing this conflict in conceptual incongruities. Nor had I expected that ALCs would be creative in how they adapted to competing pressures.

**IV.A.i. Bridging two worlds.** The most frequent expression of conflict management in the group was conflict between HB and BUS conceptual frameworks in the context of LC business practices. The second most frequent area of conflict management was conflict between HB and Healthcare (HC) industry principles in the context of Psychotherapy business practices.

Madeleine and Wayne expressed conflict the most frequently in respect to both LC and Psychotherapy practices. They are both experts in a field of Human Behavior theory. With deep experience in both Business and the Healthcare industry, they each maintain psychotherapy and leadership consulting practices side by side. They have straddled three domains (HB, BUS, HC) throughout their careers. Here they discuss conflict between their HB framework and BUS norms.
Madeleine, a former HR executive and psychoanalyst, demonstrates conflict management in her blending of psychoanalytic interpretations with her awareness of Business corporate culture. For example, here she has to decide whether to include the supervisor of an employee in the leadership coaching session, which would be a violation of her psychoanalytic code to guard confidentiality closely for her clients. As a LC she wants the supervisor involved.

Well, I morphed into that through practice, but what I found out was that often people either consciously or often unconsciously, if they’re working in coaching might pull in the direction of seeing things are better than what they really are, (a psychoanalytic concept). So we need the weigh in from somebody who’s had an opportunity to either directly observe or is the recipient of anecdotal or third-hand information (accountability in the corporate hierarchy). And the employee has to go in with the idea that I’m going to have some communication.

Madeleine may not experience this switch in conceptual thinking as a conflict on an emotional level. However, her seamless transition and the example she gives demonstrate how she turns the potential conflict of interest into a strategy for bridging her consultation with the client to his/her performance in the workplace.

Wayne is a psychotherapist and leadership consultant with business experience as a managed care network director in the Healthcare industry. He is an expert in family systems theory. Here he describes how he manages the conflict between the BUS norm for LC that focuses only on workplace issues and his HB conceptual framework that sees the personal and professional lives of his LC clients as inseparable.

That’s the thing about coaching. Even if you’re just coming at it from a business perspective, it’s not very long into the coaching relationship that people start talking about their personal lives. From a systems perspective,
you can’t segregate a person’s professional life from their personal life or their personal life from their professional life. It’s impossible. So who they are at work shows up at home and who they are at home shows up at work. And it seems like a silly construct to try to segregate them. But we’re only going to talk about work because that’s all the coach does. And as a therapist, we’re only going to talk about mental health issues because – so from a systems perspective, one influences the other and visa versa. You are who you are in both environments.

He manages the conflict by exercising his skills and knowledge about systems to resolve the conflict and exert his family systems approach to LC consultation.

Both of these examples demonstrate instances in which the ALC introduces concepts from HB into the BUS environment. The former emphasizes incorporating the BUS value of accountability into psychoanalytic coaching; the latter uses his HB systems perspective to challenge BUS norms of separation of work and personal lives.

These represent the subtle but powerful transfer of HB concepts into workplace, as well as the incorporation of BUS values into HB-based coaching practices. A form of innovation, the ALC introduces a new way of thinking about problems into the workplace, i.e. family life affects workplace functioning. Vice versa, the successful psychoanalytic therapist-client relationship incorporates client accountability for behavior change.

**IV.B. Conflict management and innovation.** Conflicts between value systems, HB theoretical orientations or HB principles were the source of opportunity and innovation. Each ALC described at least one way in which they brought concepts from their psychotherapy practice into Business, while most described five or more. They perceived unmet needs in the work lives of Business
clients and the ineffectiveness of standard HB based approaches to organizational problems. These gaps provided an opportunity for them to bring their knowledge and skills to the table. Examples of the conflicts that generated innovations follow.

IV.B.i. Recognizing a need for therapy in the workplace. ALCs who began their careers in Business described experiences in their Business roles in which they could see an unfulfilled need.

Raul experienced conflict when he was asked to help employees manage relationship problems as a marketing consultant. This opened an opportunity for bringing the family systems theory he had studied as a psychotherapist into the workplace.

And clients would say, Can you help me with this problem? Can you help me with that problem? These two employees are fighting with each other. The supervisor can’t get along with this person. This person chews up and spits out employees, very good technically, but can’t work with people at a level below her, or below him. Can you help me with this? Can you help me with that? And I had a sense that through my knowledge of theory I probably could because it wouldn’t be very different than working with members of a family.

As a former marketing consultant, Curtis recognized an opportunity to transfer his skills as a psychotherapist back into the business world. He conceptualized and developed his consulting practice and created the market for his services.

When I was at the EAP I would have people come to me from some of the state’s best employers. They would say to me, “You know my boss is a jerk, the way I’m treated” and I’m thinking I can help you with the stress of that. But what if I can get on the other side of that curve? What if I could actually help organizations understand the conditions that would provide for optimal engagement and, you know, create success and satisfaction and results?
These ALCs were exposed to a conflict between the norms of behavior in Business and the emotional needs of employees and leaders, as they understood them from the perspective of a HB framework. They recognized an opportunity and created an innovative LC practice to fill the gap.

IV.B.ii. Bringing better HB concepts to Leadership Consulting. Conflicting conceptual frameworks from different HB theories used in LC consultation practices created opportunity for innovation. Each ALC described at least one opportunity that arose from the recognition of conflicting applications of Human Behavior theories.

Madeleine compares her psychoanalytic approach to coaching in LC. She describes how her approach fills in where coaching leaves off. This former HR director has been successful in weaving a psychoanalytic understanding of human behavior into the fabric of the corporate workplace.

Sure. And coaches stay very grounded, my understanding, in the here and now. They don’t look at unconscious pieces. I don’t think they pay a lot of attention to the transference phenomenon and so forth. I was never what I would call a prescriptive coach – do this, do this, do this, sort of coaching.

Bob was working as a consultant for the treatment of juvenile offenders when he was asked to help a human services department with their staff relationships. Through research he discovered what did not work and developed his own method for improving teamwork that he subsequently has taken into companies in many industries.

I was asked to develop a teamwork course for some people in the state of X who were in human services. I said I did not believe in teamwork and they said, “Well we know you like to base what you do on research, we’ll pay you
to collect research on teamwork.” So they paid me to collect 100 studies and the control group studies found that going off site, playing team building games, trust falls, and what is your favorite animal if you were not a human, all no improvement in business performance. But when leaders and teams learned how to set goals together, and set goals with a goal setting methodology, or solve problems together with a problem solving methodology, learned interpersonal skills versus playing interpersonal games, there were dramatic business improvements. And so the client in X State said, “Okay, now you have to develop a course for us.”

IV.B.iii. Bringing therapeutic skills to marketing. The transfer of therapeutic skills to the BUS arena comprised the greatest number of LC practice innovations. Curtis describes how he markets his consulting business to a potential client using listening skills he developed as a therapist.

You have to be good at balancing advocacy and inquiry. Most people love to be listened to. I would call up a business owner and say, I may be able to provide value to your business. Any chance we could meet? I’d like to learn more about your business even if we don’t do business right away. And, you know, I would get a certain percentage of those. Then when we sat down I would say, instead of, I’d like to explain to you my business, and here is my business model, I’d say, tell me about your business. And how did you get into this? What are you most proud of? What are the challenges? You know, it’s really about making them feel heard and acknowledged and then you can move into talking about what you do. Many consultants reverse that.

Bob portrays the effectiveness of the listening skills he developed as a psychologist in marketing his programs to corporations.

In front of executives and CEO’s at Company C and all the high tech companies, when I’m presenting they would attack me, or attack the ideas, and I would just listen and say “Okay. In other words, what you’re thinking is, this doesn’t make sense because work should be work and we shouldn’t be doing something like playing games, like a Tinker Toy tower.” And people always complimented me about my listening skills. Especially when I was marketing $500,000 contracts with CEOs and Presidents, I could repeat back what they exactly wanted and write it down, shake hands, boom.
IV.B.iv. *Bringing business values to leadership consulting.* Opportunities for innovation arose from the management of conceptual framework conflict between HB theories and BUS concepts.

Bob finds opportunity in the gap between the soft outcomes of Leadership Consulting and the value of the bottom line in Business. He brings a profit-based outcome measure to leadership consulting.

My job was to keep everybody happy, and that involved compiling data on the success of the teams as they were trained, and feeding that data up to the management hierarchy about the business results of all the teams. This is that behavioral model that I paid attention to with delinquents. No arrests. In business the behavior model was more productivity, higher quality, and higher customer satisfaction as measured by more sales. That is the kind of data that was fed up. Something that related to the bottom line.

In my career, you know all kinds of human resource people and other consultants come in internally with their touchy feely ideas, competing ideas, and you know a lot of money is at stake in these private industry projects, and I was always able to withstand attacks because our clients kept getting great business results. We had an improvement engine going that got continuous results.

IV.B.v. *Bringing new ways to psychotherapy.* Innovations in psychotherapy and business practices were less frequent. ALCs were most apt to innovate in psychotherapy consultation as a result of conflict with a standardized norm in the application of a HB theory.

Madeleine uses personality assessments from her counseling background to assess client strengths quickly. This is an innovation in the practice of psychoanalytic therapy where the analyst usually relies solely on the client's self-disclosure to assess the client's functioning. This can take a long time. She uses these assessments in her work as a leadership consultant also.
I use a personality assessment. They’re not psychoanalytic. But they get to
the material I’m looking for like the defensive structure, defenses. How the
drives are channeled, if people are doing things in a productive way in their
lives. See what’s going on. *Gives me a leg up. Cues me to see what’s going on
early on.* MD’s don’t use them. Ph.D.’s who are psychologists probably do but
it’s never gotten a lot of airtime and press. That’s just starting to become
interesting to analysts because now they’re starting to do far more research
on the impact and efficacy of analysis. Before it was all case study. Now
they’re doing empirical research.

Christine describes how she includes the use of neurofeedback into her
family psychotherapy practice. She developed this approach in the context of a
debate with colleagues who challenged the value of biofeedback in systems theory
based therapy. At this time she was teaching and supervising at a national center for
the study of the family.

The biofeedback program as they (her colleagues) saw it and talked about it
in public was that it was only a technique. It was just a gimmick, it wasn’t
theory. Except behind closed doors. Dr. B. would say things like this area of
knowledge is a part of what I would like to add to theory. I had a curiosity
and expanding interest in physiology and the brain.

When I got Zengar equipment, it just totally exploded. It was a systems thing
in a way. What I saw in the changes in people was just such a different order
of change. It was much more my direction. It was much more integrated and
it wasn’t an add-on like the biofeedback had been earlier. And it developed
my own kind of niche of expertise that was looked for, looked at and
respected as a particular perspective or point of view

While some ALCs were more innovative than others, each of these Pioneer
ALCs found new ways to work as leadership consultants and psychotherapists.

**Summary**

As these pioneering ALCs shuttled between the clinical Professional world of
Psychotherapy and the wild west of Leadership Consulting in the Business sector,
they have thought carefully about their business practices. They are representatives
of a generation of Human Behavior specialists who are business-friendly and have
found a way to meld their interests. They were often motivated to develop new
practices when confronted with irreconcilable differences and found opportunity in
unmet needs. They created new jobs for themselves to resolve the conflict between
the highly regulated and financially constrained clinical profession of psychotherapy
and their desires to experience the benefits of the free market.

This work of leadership consulting as coaches to leaders in the corporate
marketplace and as experts in relationships in the workplace is now an industry.
These ALCs were among those who led the way.
CHAPTER 5: DISCUSSION

Introduction

What do psychotherapists who work as leadership consultants (ALCs) in the for-profit Business sector think about working in different value systems? This research project began with this query. As I experienced the process of qualitative research, my question became simpler. Borrowing a concept from Institutional Theory, I thought of the ALCs in my study as pioneers who span the boundaries of the professional clinical world of Psychotherapy and the for-profit Business world. Who are these professionals who travel from one arena to another?

There were enough striking similarities among the 10 participating ALCs that I begin with a composite portrait of this group. This provides the context for the following discussion of my findings.

The Pioneering ALC

The ALC in this study started life in a family that was friendly to business in the 1940s or 1950s. Her fathers and grandfathers might have been in business for themselves as rancher, grocer or farmer. They might have had positions in sales or engineering in large corporations. They might have been professionals or white-collar workers who respected Business values and promoted pride in financial success and independence in their children. The ALC may have started her working life in a human service field or in business. Either way, she brought a strong respect for and awareness of using her skills to optimize her financial independence.
By the age of 30, this ALC had experienced the death or divorce of a parent. Most likely she also lost a close family member in a premature and tragic death and/or a first marriage to divorce. Each ALC explored a variety of career options as a young adult. Her path to higher education and professional status veered away from the traditional life course of her peers. Perhaps she explored other interests, started a different career or took an accelerated ride to an advanced degree. Sooner or later she entered therapy, became enamored with learning about human behavior and undertook professional training to licensure as a psychotherapist.

As the ALC began to practice psychotherapy either full time or alongside another career, she began to disagree with either the prevailing ways of thinking about human behavior in Psychotherapy or the Business world. She rejected or found a way around the constraints on income in the creep of the Healthcare industry on his enterprising nature. This ALC took initiative to bring her skills and expertise as a psychotherapist into the corporate setting. She did this before the terms “executive coach” or “leadership consultant” were in the public vernacular. Perhaps she worked in or established a firm that provides leadership development or consulting services. In many respects, she is a free thinker and is comfortable living outside the norms of her peer group. As a solo practitioner, she is an innovator. She developed new ways of doing therapy, consulting or conducting her business. She is an entrepreneur. Not only is she a small business owner, but also she is among those who built a bridge between the knowledge base of the science of human behavior and the complex work systems of the business corporation.
What did I learn from getting to know the work life of the ALC? What are the implications of this portrait? In my discussion of the study’s findings, I return to my original research questions to discuss what I learned.

Q.1. **What does the ALC think about the use of theories of human behavior as a guide for decisions about practice choices in the Business or marketplace sector?** I approached this question by asking ALCs about the conceptual basis of their choices in their psychotherapy business practices and their ALC business practices. I coded answers to direct questions and probes in respect to the level of abstraction of conceptual language: theory, concept, principle, value, belief and praxis (“it works”) as well as whether the concept was implicit or explicit. I included value statements embedded in their descriptions of business practices and their professional biographies.

In the analysis, I categorized these statements in respect to their alignment with the values of the following areas of social life or domains: the Professions, the sciences of Human Behavior, Business or the marketplace, the Healthcare industry and the public sector of Government and Regulation. The logic underlying this approach was that expressed conceptual frameworks would provide a bread crumb trail for tracking how ALCs change their values as they move between Psychotherapy and Business consulting. While this trail did not lead directly to an exposé of theoretical underpinnings, it led me to a deeper understanding of the careers and work lives of ALCs and their values.
1. **Participants often struggled to articulate the conceptual basis of a practice decision.** ALCs were most eloquent when describing the conceptual basis of their consultation to clients. I often had to interrupt what sounded like a well-rehearsed pitch of “how I work” to redirect the ALC to the business practice. I would have to reiterate that what I cared about were details of specific tasks related to running a business, e.g. returning calls from potential clients, billing practices and physical location of service delivery. In these moments, the interviewee often had an expression of puzzlement or frustration on his face, would change position in the chair, look at a clock or watch, etc. I could not capture the nonverbal aspect of what I termed the “interruption” in thought process in the transcript of the audio file. A video recording of the interviewee’s face would have made this possible.

Another challenge in eliciting concepts was that six of the ten interviewees assumed that I understood the meaning of jargon from a theoretical orientation we share. They would automatically shortcut a thought process until I cued them with probing questions that I was asking for an explicit response. When thus signaled, some interviewees then began to recite principles that would apply to the practice decision. Due to my status as an expert in this theory, most of these ALCs may have been motivated to demonstrate their equal command of the concepts and to accommodate my probing (Dijkstra, 1987). On the other hand, it is also possible that ALCs who know me as a psychotherapist may have assumed they did not need to be explicit with me when referring to HB concepts. It is possible that the awkwardness in responses may have been related more to how the participant felt about the
interview process than a direct reflection of their alignment with a conceptual framework.

As a solo coder, it was also a challenge to code and reliably categorize the abstraction level of conceptual frameworks. While I can draw a rough sketch distinguishing conceptual or principle based thinking from a belief or a praxis statement, I was not willing to make any inferences about abstraction as a reflection of clarity in the thought process or integrity in the application of principles.

I concluded that, for this group of ALCs, the ability to articulate a theoretical concept or principle is not a direct reflection of the integration of that concept in practice choices. To the contrary, perhaps awkward responses to direct questions about conceptual frameworks are linked to the maturity of the practitioner. This is discussed below as tacit knowledge. Some of these advanced practitioners have well-established practices and have not questioned the principles underlying their choices since they established their businesses.

2. Participants varied widely in how they articulate principles, from declaration to storytelling. Faced with the variation in articulation of conceptual frameworks, I identified passages in the interviews where concepts were implied. As I coded concepts, I included “ Explicit” and “ Implicit” in my coding system (see Appendix G).

On the one hand, often the passages coded “ Implicit” could also be described as an exemplification of a concept. While some ALCs spell out a concept in a didactic fashion, others would often give an example and tell a story of how they put a
concept into practice instead. At times, I would respond by identifying the concept they were portraying. However, this type of leading did not change the character of a response pattern with the interviewee. Because of my familiarity with brain functioning and cognition, I began to think of these differences as personal differences. People with dominant left hemispheres recruit linear, logical thought patterns (like a lawyer), whereas individuals with more active right hemispheres use more metaphoric, visual imagery in their speech (like a poet) (Pink, 2005). For the purposes of this study, I considered the difference between didactic speech and allegorical speech to be a language trait and not an indicator of the level of integration of a value system across a field of business practice behaviors.

3. For mature practitioners, conceptual frameworks often become tacit knowledge. The variation I witnessed in the expressions of thinking about theory as a guide for practice choices demonstrates the tendency for mature practitioners to reflect on the knowledge underlying their professional actions less frequently than they did as new practitioners. As their skill level matures and they repeatedly encounter similar situations, their choices become automatic and fixed. The practitioner does not need to revisit concepts and principles underlying these choices. In this way the concepts become integrated into practice behaviors. The mind is more likely to notice the new or unfamiliar occurrence. When a problem or context presents features at odds with the practitioner’s prior experience, a new choice has to be made. It is at these times that the practitioner is most apt to refer to a principle or concept for guidance.
Schön (1984) describes this phenomenon as he describes a research method for exploring how professionals apply technical knowledge in the practice of their discipline. The iterative experience of applying a set of concepts and principles to problems in practice creates a unique pattern of action. The practitioner continually tests and revises his understanding of the principles of practice and how they are linked to outcomes in his work. Gradually he develops an individualized understanding of the concepts. In a sense, he is testing and re-testing hypotheses about the efficacy of using principles to guide action (Schön, 1984).

Schön examines the process whereby professionals, an architect and a psychoanalyst talk with students about how to approach a particular case. He then analyses the processes whereby these professionals apply a conceptual framework to a particular case. In effect, this is what the ALCs in my study were doing when they gave examples of how they applied a concept in a particular interaction with a client. I had asked them to summarize for themselves and me how they apply concepts to practice. In response, they often reflected on a particular instance. It was left up to me to relate their response to a concept or principle.

My goal was to link that reflection to a social institution. I expected ALCs to be explicit about the cognitive process underlying their practice decisions. Instead I discovered a landscape of tacit knowledge. While Schön zooms in to examine the professional’s application of knowledge to the particular case, I wanted to zoom out to link the conceptual framework to a social construct. In order to do that I had to identify tacit conceptual processes as well as explicit ones.
Scott (2014) describes professionals as carriers of institutional logics from one field to another. My findings provide an example of how institutional logics are conveyed by the ALC with self-awareness and in knowledge that has become tacit to the ALC. In addition, the methods I used as well as the approach to analysis through coding suggest a way to explore further the role of ALCs or other professionals in bridging the professional and clinical domain and the business sector.

On the other hand, the degree to which the ALC expressed knowledge explicitly versus implicitly does not appear to be a reliable reflection of the degree to which the ALC has integrated theory or principles in practice decisions. In order to assess an ALC or another professional's facility with or integration of theory in practice decisions, the researcher must be able to compare an explicit statement with an implicit statement. Both types of statements can reflect conceptual integrity.

4. Patterns of explicit and implicit expressions emerged in respect to the area of practice. ALCs were most likely to be explicit than implicit when using a concept based in Human Behavior theory when describing their psychotherapy practice. Likewise, they were more likely to be explicit than implicit when using a concept based in Business or free market values when describing their leadership consulting practice.

At first glance, this may appear to indicate that the ALCs switch horses mid-stream, abandoning one set of values for another. Yet, these ALCs either brought business values with them from their families or started their careers in business. It makes sense that these ALCs switch easily from one framework to the other. This
alignment may also reflect flexibility, i.e. keeping two horses with them at all times, switching to the horse that knows the terrain the best. By including implicit concepts, I was able to see that ALCs do not abandon one set of values for another. Each in his/her own way brings to the table values that are a mixture from the professions, human behavior and the market. My study has exposed a dynamic process.

My goal was to observe the transfer of institutional logics through tacit expectations. This study is part of a stream of institutional research on the introduction of market values into fields previously defined by other values (Brooks, Liebman, & Schelling, 1984; Lingo & Tepper, 2014; Osborne & Gaebler, 1992; Scott, 2014; Scott, Ruef, Mendel, & Caronna, 2000; Smith, 1975; Thomson, 2014; Thornton, 2004). This research is framed as an unidirectional interaction between two distinct institutions. With a wider and more open lens, I make a unique contribution with the observation that the transfer is bidirectional and dynamic.

The process by which I engaged these ALCs in reflection on their practice was a novel experience for a number of them. Madeleine expressed this at the end of our initial interview.

I want to tell you how much I’ve enjoyed talking with you. I like how we could move around but go back to maybe something that we needed to elaborate more on. It’s been very cathartic in a positive way – experience for me, because I haven’t articulated this to anyone. I mean nobody’s asked me these sorts of depth questions in a long, long time.

In effect, I was asking them to elicit tacit assumptions, principles and knowledge. Neither they nor I had anticipated the tacit nature of conceptual frameworks. I had
not expected such variation among ALCs in their ability to retrieve tacit knowledge. In summary, I learned more from this line of inquiry about the experience of the practitioner reflecting on tacit values than on how ALCs think conceptually as they make practice decisions.

5. ALCs use concepts from Human Behavior theories as guides for some, but not all, decisions about their business practices. The ALCs in this study ranged in their allegiance to theory as a guide for consultation choices. Seven have committed their professional lives to studying, teaching and/or applying concepts from a grand theory of human behavior (Glaser & Strauss, 1967). Three describe themselves as drawing from a range of concepts and applying them as best practices for the situation at hand. However, in business practice decisions, the picture is more complex.

While ALCs carried over their primary theoretical orientation in respect to business decisions, they included principles and values from other social influences in the mix. In psychotherapy practice, most ALCs complied with standards dictated by the Healthcare industry and Government/Regulation. Since I selected for licensed psychotherapists in my study, this could be a sampling bias. Four ALCs included principles aligned with the Business sector in their psychotherapy practice. All 10 ALCs incorporated Business values in their LC business practices.

Regardless of their practice choices, even the most avid theorists in this group had to decide how to deal with the social pressures of professional licensing, insurance reimbursement and standard business practices of leadership consulting
clients. The degree to which the ALC identified with a particular theoretical orientation did not predict his level of awareness of the principles that undergird his practice decisions. While each ALC responded to the challenge to be more aware in the course of the interview, some struggled more than others.

Furthermore, the theoretical framework did not dictate the same practices. For example, two experts in Bowen Family Systems Theory made contrasting practice choices. They both demonstrate a high level of awareness of how those decisions are grounded in concepts from this theory. They each describe the principle behind their psychotherapy billing and payment policies. One accepts health insurance, participates in managed care networks and has exited the business domain of leadership consulting. The other ALC does not accept health insurance or participate in managed health care networks.

For human behavior experts, the implications of this finding are significant. To be theoretically aligned in consultation and practice management does not confer absolutes about what those practices will be. Different expert practitioners who ascribe to practicing principles derived from the same theory may differ widely in their practices.

Q. 2. What conceptual framework does the ALC use to explain choice of specific work practices as psychotherapist and as a leadership consultant?

1. Conceptual frameworks for billing and location of service portray the variation in choices and thinking about business practices. ALCs align with Psychotherapy norms for location of psychotherapy services and with Business
norms for billing leadership clients. They are evenly divided in location of leadership consulting services and in billing practices for psychotherapy. The principles they cite for these decisions vary on an individual basis.

As psychotherapists, nine of the 10 ALCs meet with therapy clients in a professional office. They cited principles such as: establishing professional and personal boundaries and maintaining confidentiality. Aligned with the professional norm, they are guided by principles from the study of human behavior and relationships. While this practice is now codified in laws and healthcare industry regulations, only one ALC referred to an industry regulation to explain his choice of location.

As leadership consultants, ALCs are evenly divided in their preference for their own office or at the client's workplace. They cite diverse principles from the Psychotherapy realm as the basis for this decision. If the client requests, each ALC is willing to meet in the client's office.

Reversed with billing practices, this group of ALCs is evenly divided in whether they bill insurance companies for psychotherapy clients and all 10 ALCs bill leadership clients or the business as directed by the client. In both instances, they cite a variety of principles based in Human Behavior and in Business. Business values are more evident when money is involved in both psychotherapy and leadership consulting practices. However, a variety of Human Behavior values dominate in both arenas. The mixture of HB and BUS values that ALCs express about billing practices portrays the boundary spanning these ALCs bring to their careers.
2. The Healthcare industry (HC) and Government/Regulation (REG) emerge in the context of billing practices as two organizational sectors that shape the practice decisions of and careers of ALCs. Much to my chagrin, I overlooked these two influences on the careers of ALCs. The constraints on payment to healthcare providers for psychotherapy in the age cohort of these ALCs have been a primary influence on their careers, as well as mine. Each ALC cited the pressures of managed care in the Healthcare industry and Government/Regulation on decisions they have made in their career choices or business practices that deviated from professional and business norms.

In a show of individuality, each ALC either accepts or rejects insurance payment and participation in managed care networks on the basis of a range of human behavior and/or business principles. Likewise, in respect to their different preferences for Location of services with leadership clients, these ALCs referred to managing boundaries and observing group behavior, both Human Behavior concepts.

At the same time, while each explained their psychotherapy billing practice in respect to a Human Behavior principle they hold with clients, ALCs also referred to the principle of efficiency of collection of payment. While explaining their preference for where to meet with leadership clients, they each referred to their own convenience in respect to travel.

Healthcare and Government/Regulation practices embody public sector bureaucratic values as portrayed by Freidson (2004). Psychotherapists navigate
these values in the following areas of their practices. State licensing bodies oversee the government regulation of psychotherapists. The Healthcare industry including insurance and managed care companies “assure consumers of reliable products at a reasonable cost” (Freidson, p. 1). He cites predictability and efficiency as the core values. Predictability and efficiency for whom? Generally, not the ALC.

The ALC makes decisions for his own benefit. However, this is not necessarily a financial benefit nor solely aligned with market values. Wayne entered leadership consulting to gain some freedom from the constraints of the healthcare industry influence in his psychotherapy practice. Curtis left psychotherapy practice to start a business culture consulting practice in part to gain more control over his income and creative output. Christine began her professional life as a psychotherapist in a psychiatric clinic. Yet, when she started her private practice of psychotherapy, she refused to engage with the process of billing insurance. Efficiency and convenience in both billing and location of services are values that these ALCs exhibit across the board. They each express these values differently.

This nuanced extraction of ALC values and thought processes reveals a set of values that are not directly aligned with the professions, human behavior or the market. The ALC as a boundary spanner is a different actor than the psychotherapist or the leadership consultant. As a traveler between two domains, the ALC values independence, freedom and demonstrates flexibility and adaptability. My research suggests that the ALC as boundary spanner does more than transport values from one field to the other and back. The boundary spanner who is also an institutional
entrepreneur creates a new domain. (Scott, 2008)

Q. 3. What can I learn about the degree of alignment of ALCs with the values of their profession and/or the values of their clients through examination of reported conceptual frameworks and practices and stated beliefs?

1. In general, ALCs used concepts from theories of Human Behavior more often than concepts from the Business sector when describing their consultation and practice choices. They expressed Business values more frequently in respect to leadership consulting than with psychotherapy. Concepts rooted in the study of Human Behavior prevailed whether the ALCs were discussing their psychotherapy or their leadership consulting practices. They expressed values aligned with Business (pragmatism, efficiency, self-interest, accountability) more often in the context of leadership consulting than in the context of psychotherapy.

The higher incidence of BUS concepts expressed in leadership consulting can suggest several dynamics. ALCs may be exercising their own Business values more openly when active in a business-friendly environment. The business value of accountability for results is a value that Bob expressed first in his work as a psychologist with adolescents. He brings that value with him to work in the for-profit sector and it is a great fit.

Or, ALCs may adopt more business-friendly ways of thinking when they walk through the doors of the corporate suite. When Christine describes the contracting
process with business clients. She does not hesitate to go along with the contractual expression of accountability in Business.

However, even though ALCs referred to more Business principles more often in leadership consulting than in psychotherapy, concepts rooted in the Human Behavior professions dominated the discourse. These ALCs live in their own space between the two worlds.

2. **ALCs expressed conflict with prevailing concepts from Human Behavior theory and constraints on business initiative in the traditional practice of psychotherapy profession. They responded with innovations in psychotherapy and leadership consulting practices. They also recognized opportunity in the gaps between Human Behavior values and Business workplace norms.** In the process of following the breadcrumbs of Human Behavior versus Business conceptual frameworks, I found that ALCs often expressed concepts and values from these two domains in the same breath. Whether these concepts were side-by-side or contrasted, I began coding them as “conflict management” whether or not the ALC was aware of the conflict. Simultaneously, I noticed a pattern of innovation and began to code that as well. I had already begun to think of this group of ALCs as “pioneers”. In the second cycle of coding, I decided to follow this thread more thoroughly.

As these ALCs navigated Business norms using their principles as a guide, they also saw opportunity in the differences among HB theories and between HB and BUS norms and values. Rather than passively accommodating to a different
environment, they adapted in creative ways. These ALCs took initiative to create novel approaches to psychotherapy and leadership. They transferred practices from Psychotherapy to the Business world. They recognized unmet needs in both mental health services and workplace relationship systems. They saw opportunity in the gaps in a Business climate that was just beginning to recognize the emotional needs of leaders and employees. With a unique set of skills and personal qualities environment they stepped into the gap with an offering (Kimberly, 1979). Each of the 10 ALCs in my study demonstrated this entrepreneurial streak.

Curtis identified the need for coaching, not continued psychotherapy, for an executive EAP client. He then brought new psychotherapy training into a network of HR directors, identified stressors in the workplace and offered his assistance.

As a marketing consultant, clients for help with workplace relationship problems peppered Raul with requests. He brought his family systems training in as a leadership coach.

A former HR director, Madeleine recognized the inner conflicts of leaders playing out in leadership problems in the workplace. She brought her psychoanalytic training back into the boardroom.

David worked at a factory in a Scandinavian country that had a social worker on staff. When he returned to the US, he introduced Employee Assistance Programs, clinical social work/therapy in the workplace, to his graduate school.

Christine began her clinical career incorporating biofeedback and brain wave biofeedback into a family therapy practice. When invited to work with families in a
family enterprise firm 30 years later she brought her neurofeedback equipment with her.

Wayne responded to the incursion of managed care by building a firm to deliver services to a large managed care insurance company. As his interests evolved, he platformed his executive experience into a leadership consulting role.

Jim took his training in Dramatic Arts into an invitation to work with families in distress. After developing a practice of innovative therapy over decades, he refused to renew his license and created a practice as a transition guide for leaders.

Susan took her psychotherapy skills back into a training company where she integrated new research on human behavior into numerous programs and developed and sold an assessment tool.

Bob built a career on conducting meta-analyses of research to find best practices in youth rehabilitation, organizational team work and leadership performance. He leads a leadership and team development firm and is undergoing research on the brain functioning of genius and high level leaders.

Paula has taken her passion for family systems theory and brainwave feedback out of the consultation room to family retreats, therapy in real time by phone and text, and the family business.

Pairing the recognition of conflict in the thinking process of ALCs with innovative practices, the theme of entrepreneurship emerged as a more compelling descriptor of the careers of these psychotherapist leadership consultants.
3. Early career and family experiences appear to have a more direct influence on the career pathways of these ALCs than pressures from broad social sectors. Another unexpected feature of these ALCs is that five lost a parent by age 22, eight by age 35, and the ninth a brother-in-law in a plane crash. Eight had experienced a divorce of their own or their parents by age 32, six by age 22. None of these deaths were related to WWII or other shared cohort effects. Raised in disrupted families, 8 of these 10 ALCs grew into adulthood outside the social institution of the intact nuclear family. Raised by her grandparents and the early divorce and deaths of her parents, Paula captures the potential impact of this experience.

Actually Calhoun wrote a thing called “Seven Steps for Loneliness”, in which he talked about a need to go crazy, or be alone, or have all of your normal supports taken away from you in order for you to become incredibly creative, like Steve Jobs. Clinton and Obama both are men who lost their fathers before they were two, I think for Clinton, just saw him for a couple of times and then he died in an automobile crash. Obama really didn’t grow up with his father, at all. Wanting to compensate, seeing your world fall away, and this drive to help the world, to be the father, or the mother. I had so much suffering and seeing a way to do it because you get this outside position. You’re not held by the status quo.

Eight ALCs were raised by fathers who either had their own business or worked in family businesses or corporations. The other two fathers valued Business as an important civic and spiritual contribution.

My original conception of the challenges for psychotherapists moving into the world of Business appears to resemble my life more than that of my study participants. My personal experience is a tale of the influence of professional values held closely in the family. While these values are interwoven with multigenerational
family experiences of loss in prior generations, I was raised in a conventional nuclear family. My family was not Business friendly. No one in my family has been an entrepreneur.

The combination of a predisposition to business and significant loss in early family life may be compelling factors in how ALCs navigate the social values and norms of Psychotherapy and the Business sector. In college and professional development, they made choices that stood out as different from those of their peers or the traditional higher education curriculum or career path. The originality and creativity they demonstrate requires freedom from the expectations of others. In order to bridge the differences in values between these two sectors, ALCs must also respect and accept contrasting perspectives. The prevalence of early life and young adulthood family disruptions in this group of ALCs raises questions about the role of loss in the family in the capacity to traverse social boundaries as an institutional entrepreneur.

4. My original conception of ALCs as boundary spanners re-surfaced in the context of their role in institutional entrepreneurship. In the tradition of grounded theory, I present a model to depict how the ALCs in my study orient themselves to the social institutions of Psychotherapy as a Profession and the Business sector of Leadership Consulting. Using the conceptual lever of Professions as boundary-spanners, this study proposed that leadership consultants with prior training as psychotherapists navigate two distinctly different sets of values when they move from one work
setting to the other. This concept includes two distinct and separate fields. In each field the ALC has a distinctly different role. Originally trained in the field of psychotherapy, the ALC must travel across a divide to function in a distinctly different arena with different values. Figure 2. depicts a model for my original conception of the social institutions that ALCs navigate. I viewed this journey as commencing in the service sector, crossing an empty gap and arriving in the business sector.

Figure 2. Pre-Study Proposed Model of ALCs as Boundary Spanners

This conception has been reinforced by most ALCs I know who believe that most psychotherapists cannot make the transition to working in business. They
believe that familiarity with business culture is critical to gaining credibility in the corporate environment. In a survey of “140 leading coaches”, Coutu and Kauffman (2009) found that only 23% of respondents believed that psychological training was necessary to be an executive coach. Sixty-five percent agreed that the most important qualification is “experience coaching in a similar setting.” Madeleine expresses a different viewpoint on the difficulty of this transition.

Some of them have done similar work to mine but there are not a lot of us. I don’t think there are many analysts that like leaving the safety of the consultation room. And the ones that do the best are child analysts because they work in schools; they work with multiple vectors, so to speak – parents, children, and teachers. They tend to be the better fit for this. I mean when I’ve helped a clinician to try to do this work, where they get cold is they don’t want to do the marketing piece. If you want to go in this business, I mean I may be able to help you out, but you need to go out and get your own referrals. But a lot of people aren’t willing to put the time in so they don’t – they kind of wash out. And also they’re not willing to disrupt their schedule. When you have five-times-a-week people, it’s hard to leave your office.

The ALCs who participated in my study appear to represent a generation of professional psychotherapists who moved successfully into leadership consulting in the Business sector with few role models. At age 86, Jim now works exclusively as a leadership coach. Throughout our interviews, he emphasized that he did not know of other therapists who had made the same transition.

I made a shift. And my breakfast club has guided me into a new career. And I thought I was a lone ranger. And now you are telling me there are other people who are doing parallel things.

They not only built businesses as therapists and consultants, they also created the roles they play in Business. As professionals, they have brought not only knowledge of Human Behavior into the workplace, but also HB values and norms.
that now permeate private enterprise corporations. Many corporations have in-house leadership development training programs in their Human Resource department. Leadership development has become a standard component of resource management in the corporation.

A more complete model of the ALC as boundary spanner portrays a more complex and dynamic experience. Figure 3 demonstrates a more dynamic, multivariate image. The ALC’s career begins with a business-friendly family and is followed by significant disruption in early life. This disruption in the study’s sample was divorce of parents and the premature death of a parent, in addition to other major life challenges in the family. As a result, the ALC begins to see him/herself as an outsider and not bound to social institutions. The ALC may begin a career in either psychotherapy or business. It is possible that the early life disruptions may lead the ALC to psychotherapy as a profession, while the business-friendly family provides a familiarity with business culture. The close reading and analysis of conceptual frameworks and values suggests that ALCs are not aligned with either one field or the other. Conceptual frameworks from early career experience in Business appear to persist even as individuals enter other domains of work. Yet, in this group of ALCs, their primary value system is distinct from either and, in fact, may represent an emerging profession with its’ own set of values. The traditional psychotherapist in an independent self-employed sole practitioner who maintains clear boundaries personally, professionally and financially. Sharing these values, the ALC also carries a strong sense of ethics, integrity and social responsibility.
However, none of the values that characterize the ALC conflict with either professional or business values. From this point of view, the ALC remains a free agent, wedded to neither the world of psychotherapy or business.

Figure 3. Advisor Leadership Consultants as Institutional Entrepreneurs

5. I expanded my understanding of the role of the professions in conflicting value systems. This study attempted to unravel conflicts in these assumptions, beliefs and values. The ALCs in this study both complied with and challenged the assumptions and structures of the organizations to which they consult. The challenges took the form of bringing innovative practices into both psychotherapy
and leadership consulting practice. In this way, these ALCs promoted change (David et al., 2013; Kellerman, 2012; Scott, 2008).

This study contributes to idea generation about how ALCs challenge both the profession of psychotherapy and their leadership clients. Quietly, ALCs defied psychotherapy/HC norms, conflicting HB conceptual frameworks, the service sector nonprofit mandate, and restraint of trade by HC through innovation and transference of ideas. They imported business values from family, mentors, and personal need into their psychotherapy practices.

Scott (2008) describes how professionals such as accountants, lawyers, and management consultants who serve corporate clients are more likely to structure professional groups with management structures and profit motives similar to their clients. The logics of independence and lack of financial interest are replaced by dependency and self-interest that in turn puts neutrality and objectivity at risk. The increased status associated with adherence to a business model and financial reward from business clients drives this reverse transmission. The ALCs in this study demonstrated such a diverse range of values and practice behaviors that this kind of alliance did not emerge. As early adopters of this boundary spanning role, ALCs remained fluid in their choices and behaviors.
The grounded theory approach to the study of a profession suggests new directions for the study of professionals as boundary spanning institutional entrepreneurs. The conceptual lever of boundary spanners that anchored this study also directed my line of sight through the wealth of data collected in the interviews. Using a construct from a social theory allowed me to see influences in the choices of ALCs that I might not have otherwise, such as the influences of the healthcare industry and government/regulations. By keeping the social fields in sight, I was also able to see the agility of the individual moving among pressures from these social fields. Curiously, with this open-ended approach I was able to see relationships among variables that circled back to concepts such as institutional entrepreneurship, boundary spanning, tacit expectations and institutional logics. Qualitative methods focusing on cognitive processes are underutilized in the study of institutions. My research suggests an approach that can expand and deepen understanding of the value of individual initiative as well as the influence of the family on changing social norms and values.

Limitations

The observations in this study, like those that examine the outcomes of leadership consulting, are self-reports of ALCs. I used qualitative methods that focus on cognitive/emotional statements by consultants. I used these statements to represent the cognitive process of ALCs. I designed the study to take a closer look at the cognition and behavior of the leadership consultant. This was an attempt to
focus on the expressed thoughts about behaviors as an observation of the practice of leadership consulting by psychotherapists.

A planned limitation in this study includes the potential bias in the convenience sampling method. While this study was not intended to provide a sample from which generalizations could be drawn, the participants belonging to the same age cohort. This narrowed the population of ALCs in the study. The findings relating to pioneerism and entrepreneurship may be linked directly to this accidental cohort.

Another sampling bias is the author's personal relationship with several participants. The primary potential bias is that of shared assumptions that would limit the interviewer’s and the participants’ thoroughness in asking, probing and answering questions. This is particularly important considering the focus on comparisons related to implicit and explicit expression of ideas. The strength of this sample is that the introductions and communication necessary to put an elite interviewee at ease were unnecessary (Gill, 2015; Harvey, 2011; Hertz & Imber, 1993).

The author brings a bias in respect to personal experience as both a psychotherapist and leadership consultant coming from a family not friendly to Business. While self-disclosure provides transparency for this bias, it is likely to shape the query, the observations and the analysis. For example, even though I had framed by research inquiry in respect to concepts from both Psychotherapy and Business domains, when I probed I was thinking of eliciting the Human Behavior
concept. I experienced both surprise and enthusiasm for my findings because my biases at the outset had prevented me from anticipating the depth of integrity that this group of ALCs brings to their work.

Another potential source of bias is my deep study and practice of Bowen Family Systems Theory as a psychotherapist and organizational consultant. This lens led to a unique perspective of the influence of family experience on the boundary spanning behaviors of ALCs. When the family factors caught my attention during the coding process, I went to the effort of conducting second interviews to verify that my observation had merit in this selection of ALCs.

Significance

Improvements in the education and supervision of leadership industry workers. Findings from this study indicate that experienced ALCs employ principles from various conceptual frameworks. Even those ALCs whose business practices were most closely aligned with one Human Behavioral theory, varied in how they applied principles derived from that theory in their business practices. Each ALC had a way of thinking about the differences between the field of professional psychotherapy practice, the norms and values encoded in Healthcare industry practices and the Government/Regulation of psychotherapists and the for-profit Business sector.

Although these experienced ALCs had a high level of self-awareness most of them are not accustomed to articulating the concepts underlying their choice of business practices. Furthermore, recitation of a concept or formula is not a direct
indicator of self-awareness or professional integrity. These experienced ALCs were most explicit when reporting applications of conceptual frameworks derived from the field of practice that they were describing, Psychotherapy or Business. However, this was not a direct reflection of internal alignment with a particular conceptual framework. Their work requires a sensitivity and responsiveness to the client and conditions of the client’s challenge, thereby necessitating flexibility in the application of principles. Sometimes conceptual integrity for the ALC requires deviation from practices that are customary for the individual ALC, the individual client and the corporate client, or the domain. Furthermore, these ALCs varied in their allegiance to the value of alignment with a conceptual framework. Some ALCs think that optimal outcomes depend on the application of theoretically-derived principles of practice. Others expressed the conviction that optimal outcomes depend on finding the best approach to the challenge at hand and value possession of a menu of conceptual frameworks.

The implication is that education, training and supervision of LCs should include the following:

1) Education about the norms associated with the social domains that the LC is traversing:
   a. the service origins of the Professions,
   b. norms and values of the field from which the LC derives authority,
   c. the norms and values of the client and his/her industry.
2) Introduction to the regular practice of self-examination with the goal of heightened and continual awareness of the principles underlying practice choices of the LC. This practice might include examination of:

a. Alignment of principles with conceptual frameworks of clients or consultation goals,

b. Alterations in practices to avoid challenging norms,

c. Experiences in the work of the LC leading to change and refinements in the underlying principles; and

d. Contextual variables in the client workplace that contribute to changes or variation in business practices.

Professional organizations and educational institutions may recommend best practices for coaches and leadership consultants. However, supervision of LCs is either voluntary or a condition of employment if the LC is employed in a corporate HR department or in a management consulting firm. The work of LCs is based on the transmission of knowledge and relationship skills in an elite, confidential setting that is not readily observable and is outside the bounds of professional regulation. The insights gained through the intimate conversations that comprise this study may illuminate both best practices and those that pose a risk. These insights may be useful in the development of a strong standard of ethical practice (Kampa-Kokesch & Anderson, 2001).

**Methodological contributions.** The collection and analysis of expressed concepts pilot a method for the study of how tacit expectations convey institutional
logics, both within a domain and across domains. While many organizations, groups or individuals comply with and perpetuate established practices (Fogarty & Rogers, 2005), some alter the model and create new structures and practices based on differing beliefs and values. Conflict between underlying or tacit assumptions, beliefs and values held by different players is one way of understanding organizational tensions and change dynamics.

The in-depth semi-structured interview format of data collection produces consistency that allows for valid comparisons. The second follow up interview provides an opportunity to explore emerging themes at a deeper level. By keeping the query iterative and as open as possible, fewer tacit assumptions obscure the discovery of unanticipated features salient to the query.

Future Directions for Research

Impact of the healthcare industry and government regulation on the business practices and choices of ALCs. In this study, constraints from the Healthcare industry, i.e. insurance and managed care, shaped the decisions and initiative of psychotherapists who travel into the private or Business sector as leadership consultants. Coming from families who value the independence of small business values, these ALCs either rejected or embraced participation in health insurance and managed care networks. The three ALCs who manage full practices of psychotherapy as insurance network providers value the referral stream and access to a diverse population of clients. Three ALCs left the practice of psychotherapy for leadership consulting in part to be free of the constraints on practice from the
Healthcare industry and Government/Regulation of professional practice. Three require payment directly from clients and provide information as out-of-network providers to clients who bill and collect insurance reimbursement directly. One does not carry a license that qualifies for insurance reimbursement. In sum, six ALCs migrated to leadership consulting in order to gain freedom in their work and income potential.

What role has the advent of managed care played in the growth of the leadership industry? How do the practices of insurance companies and government regulation impact career choices of younger cohorts of psychotherapists and psychologically educated professionals employed in the corporate leadership development industry?

**The role of entrepreneurship of psychology professionals in developing the field of executive coaching and the leadership industry.** In a review of the different forms of coaching in management, Baek-Kyoo (Brian) Joo states that, “Executive coaching emerged as an outgrowth of leadership development programs in the early 1980’s and was being offered by many traditional Human Resource consulting firms by 1990.”(Joo, Sushko, & McLean, 2012)(p. 31). This statement implies that the leadership consulting industry was created within the Human Resources departments of corporations who initiated executive coaching as a resource development strategy. The current study suggests a different trajectory. Seven of the ten ALCs in this study reported initiating their work as leadership consultants and making the first contact with the HR department or a business
leader. The others were invited by a department head, a manager in a family enterprise firm and a training company to provide consulting or coaching services.

A study of the leaders and pioneers in the field of leadership consulting could shed light on how new roles in organizations and workgroups emerge. Is it an initiative developed within the organization or is it an initiative introduced from outside the organization? David et al. (2013) describe this distinction as the difference between entrepreneurship and institutional entrepreneurship. Pursuit of this question could follow two lines of inquiry. The first would be directed at exploration of factors that contribute to a type of change that conserves the status quo versus the factors that lead to change that disrupts the status quo. With this information, leaders would be able to craft strategies appropriate to the type of change they seek. The second could make an empirical contribution to the understanding of institutional entrepreneurship in the context of the development of institutional theory.

**Influence of family factors on the career development of institutional entrepreneurs.** The ALCs in this study are innovators. They have navigated their careers as creative entrepreneurs, developing a new field of work that spans the formerly disparate worlds of psychotherapy and business. The influence of family occupational background in career choice has focused on the imitative instance of career replication, sons of doctors who become doctors. This study expands the lens on the impact of family occupational background as contributing values in career development.
In addition, these ALCs experienced extreme loss as children or young adults. Most lost both a parent to death and an intact family life through divorce. The link between creativity and early life experience of loss and isolation has been broached in other research (Calhoun, Conley, and others). The role of family in supporting entrepreneurship (Mathias, Williams, & Smith, 2015) is under study. An expansion of these inquiries would be to explore further how this personal experience of the ALC has influenced the institutional entrepreneurial nature of their careers.
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APPENDIX A
Glossary of Terms

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<td>Domain</td>
<td>Service sector Professions Human Behavior study Psychotherapy</td>
<td>For-profit sector Commerce Market Marketplace Business</td>
<td>Government Regulation</td>
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<td>Concepts</td>
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Advisor Leadership Consultant or ALC – A leadership consultant with a professional background in medicine, psychology, social work, counseling, or the ministry.

Business – When capitalized, this term refers to either a Domain or a Conceptual Framework

business – In lowercase, this term refers to the structures and procedures the ALC follows in the administration of their own practices. These include marketing, referral, scheduling, billing, payment, location of service delivery, and services offered.

Government/Regulations or REG - This domain regulates professional practice usually at the state level. State governmental laws and regulations and determine
eligibility to practice psychotherapy as well as specific practices such as payment structures, contractual conditions, confidentiality measures, location of practice, continuing education requirements, etc. Professional organizations determine Codes of Ethics and advocate for exclusive licensing practices.

Health Care Industry or HC - A hybrid of the for-profit sector and the public sector that umbrellas the health insurance industry, managed care companies that determine how psychotherapists deliver and bill for services, and for-profit and nonprofit hospitals and healthcare facilities.

Leadership Consulting Industry or LC – When capitalized this term refers to an industry sector that is a subspecialty of management consulting, focusing on the functioning of leaders and the development of leadership skills.

leadership consulting - In lowercase this term refers to the consulting practice of an individual.

Professions – When capitalized this term refers to the institution or social sector of the professions.

professions – In lowercase, this term refers to individual professions or the work specialty of an individual.

Psychotherapy – When capitalized this term refers to a field of practice, a specialty of the Professions domain.

psychotherapy – In lowercase, this term refers to structures and procedures the ALC follows in the administration of their own psychotherapy practices. These
include marketing, referral, scheduling, billing, payment, location of service delivery, and services offered.
APPENDIX B
REFERENCE REQUEST EMAIL

Dear [Kathy],

[I hope this email finds you well. Your presentations at the Family Center are so appealing to me. About to undertake my dissertation research, my current schedule precludes my attendance.]

I write to ask a favor. Perhaps you can suggest candidates for participation in my research. I am studying the use of theory by leadership consultants. My goal is to interview 8 - 10 leadership consultants trained, licensed and experienced as psychotherapists.

Do you have any suggestions? I have attached a Research Statement and Criteria. My request is for one two-hour face-to-face interview, a possible follow-up telephone interview and review of the final report for accuracy. I plan to travel to a setting convenient to the participant.

I would appreciate it if you would introduce me as a researcher and share the attached Research Statement to any of your colleagues who are also trained and credentialed as psychotherapists working as leadership consultants. They may contact me directly if they are interested in participating in this study.

If you have any suggestions, I would love to talk with you at your convenience. Thank you for entertaining my request!

Best regards,

Mercy Burton Russell (formerly Hyde)
(802) 233-1142

Referral Sources:

Kathy Wiseman, MBA
Priscilla Friesen, MSW
Victoria Harrison, MSW
Kathleen Kerr, M.S.N.
Michael Kerr, M.D.
Dan Papero, M.S.W., Ph.D.
Ann Bunting, Ph.D.
Erik Thompson, M.A.
Roberta Gilbert, M.D.

Gordon Petersen, M.S.W.
John Cammack, M.B.A.
Andrea Schara
Michael Gilman, M.S.W.
Kevin Gallagher, M.S.
Chuck Bunting, Ed.D.
Kathleen Kott, Ph.D.
Katherine Baker, Ph.D.
Peter Titelman, M.S.W.
John Engels, M.Div.
Carolyn Jacobs, Psy.D.
Robert Noone, Ph.D.
Selden Illick, M.S.W.
Kent Webb, M.S.W.

Emily Morrow, J.D.
Margaret Downs, M.B.A.
Jim Hooton, M.A.
Leslye Kornegey, Ed.D.
APPENDIX C
RESEARCH PROPOSAL, GOALS AND PROCEDURES

Mercy Burton Russell, MSW
University of Vermont
Educational Policy and Leadership Studies
April 16, 2015

THE EMERGING PROFESSION OF LEADERSHIP CONSULTING:
AN INSTITUTIONAL STUDY OF BOUNDARY SPANNING

Research Proposal, Goals and Procedures

Research Proposal and Goals

This study aims to provide a description of how leadership consultants trained in the behavioral sciences think about their work in respect to their theoretical orientation. While much has been written to define leadership and methods used by consultants to improve leadership skills of their clients, little is known about how psychologically trained leadership consultants think about the transfer of principles used in work in a clinical practice to work in a business setting. This research aims to explore the transfer of theory to practice in this population.

Research Procedures

In-depth Interviews with Leadership Consultants

This qualitative study will consist of in-depth two-hour interviews with 6-10 leadership consultants with professional degrees in psychology, social work, or counseling. An initial 15-minute telephone conversation to find out if the potential participant meets study criteria. If the participant meets the study criteria, they will also be asked to provide a current copy of their C. V.

An appointment will be made for the in-depth interview at a location of the participant’s choice similar to one in which they work. Leadership consultants will be asked to describe:
1) Theoretical orientation,
2) Consulting practices regarding contracts, compensation, setting, relationship management,
3) Principles that guide their consulting practices, and
4) Influences on their choice of consulting practices.
They will be asked to be available for a follow-up telephone contact for clarification, if necessary, and to review any final reports of their interviews for accuracy. Transcripts of these interviews will be analyzed with narrative inquiry methods.

The time requested of participants for inclusion in this study.
1) 30 minute screening telephone conversation to determine eligibility for participation.
2) Two-hour in-person interview at location determined by participant.
3) (Optional) 30-minute follow-up telephone conversation for the purpose of clarification of interview responses.
4) (Optional) 30-minute review of research report of interview and results.

Procedures will be followed to ensure anonymity in the transcription, analysis and reporting of C.V. and interview materials. The data will be stored securely in a locked safe. C.V. documents, interview transcripts and recordings will be destroyed at no later than 18 months after completion of the study.

Data Analysis

Interviews will be transcribed verbatim and then analyzed using the qualitative analysis methodology of narrative inquiry. Themes will be identified in an attempt to address the study’s research questions. A description of themes with pertinent quotes from study participants will comprise the final report.

CONTACT INFORMATION

For any questions, you may contact the Principal Investigator, Mercy Burton Russell, MSW at (802) 233-1142 or mercy.hyde@uvm.edu or the Faculty Advisor, Kieran Killeen, Ph.D. at (802) 233-5131 or Kieran.killeen@uvm.edu.
APPENDIX D
Informed Consent Form for Leadership Consultant Study
Consent to Participate in Research

Title of Research Project: THE EMERGING PROFESSION OF LEADERSHIP CONSULTING: AN INSTITUTIONAL STUDY OF BOUNDARY SPANNING

Principal Investigator: Mercy Burton Russell, MSW
Faculty Advisor: Kieran M. Killeen, Ph.D., Educational Leadership and Policy Studies

Introduction
You are being invited to participate in this study because of your professional background and role as a leadership consultant.

Why is This Research Study Being Conducted?
The purpose of this study is to examine how psychotherapists who work as leadership consultants use theory, concepts and principles in the structure of their consulting work practices.

How Many People Will Take Part In The Study?
About 10 people will take part in this study.

What Is Involved In The Study?
Study participation will take a total of 2-4 hours. Leadership consultants will be asked to participate in the following way.

1) Submission of a current C.V. The purpose of collecting a current C.V. as part of the data file is two-fold:
   A) The (C.V.) of each participant will provide basic demographic information about the participant’s work history and documentation that the participant meets selection criteria. In addition, the C.V. is an efficient narrative that portrays the participant’s transition from working in clinical settings to working in business settings.
   B) Review of the C.V. reduces the time commitment of the participant by providing details of education and professional experience. The face-to-face interview time can be used to maximize in-depth exploration of the participant’s thinking about the use of theory and other influences in choices about the structure of leadership consulting practice.
2) An audiotaped interview (2 hours). If possible this interview will take place in person in a setting similar to that of the consultant's usual work setting.
3) Possible review of data analysis or research findings for verification purposes. (1-2 hours)

4) Two possible questions could be:
   a) What is the conceptual basis of your work as a leadership consultant?
   b) I would like you to describe, in detail, a specific representative engagement with an individual or organizational client as a case example. Please include the referral process, initial contact, contract and payment arrangements, locations, and range of activities with clients, etc.

All study procedures will take place at a location of your choosing, if possible a setting similar to one in which you work. Follow up conversations may take place by telephone.

If you decide to participate in this study, we will include the answers that we collected from your interview in your research record.

**What Are The Benefits of Participating In The Study?**
Your participation in this study will give you an opportunity to reflect on your practice as a leadership consultant and increase your understanding of your professional functioning. In addition, the results of this research have the potential to improve understanding of how theory may or may not be useful in training for leadership consulting practice.

**What Are The Risks and Discomforts Of The Study?**

The primary potential harm to participants is loss of anonymity of the leadership consultant and their clients, and loss of confidentiality of potentially sensitive material in the disclosure of consultant-client relationships. In addition, effectiveness of the leadership consultant is in part linked to expert knowledge, not only of the client’s domain, but also in the management of the consultant-client relationship. Some consultants rely on the authority of special knowledge for attracting and keeping clients, as well as for effective service delivery. Exposure of the internal thought process of the consultant could appear to place the consultant’s reputation and authority at risk. Likewise, the clientele of leadership consultants are elite members of society who can wield influence over the lives of others, i.e. employees, peers, organizations and industry. Any risk of damage to reputation and public perception increases with the social position and power of the client. Consultants rely on networking and referrals from former clients to gain access to new elite clients and to build their reputation. Therefore, confidentiality is critical. Please see measures that will be taken to protect Confidentiality below.
Your participation in this study does not involve any physical or emotional risk to you beyond that of everyday life.

**Are There Any Costs?**
The primary cost associated with study participation is the donation of your time.

**What Is the Compensation?**
You will not be paid to participate in this study.

**Can You Withdraw or Be Withdrawn From This Study?**
You may discontinue your participation in this study at any time by informing the Principal Investigator of your decision to withdraw. The researcher may discontinue your participation in this study at any time.

In either instance, audio and word processing files will be deleted and paper data collected will be shredded and discarded.

**What About Confidentiality?**
Your study data will be handled as confidentially as possible.

In consideration of the sensitive nature of the leadership consultant’s work, procedures will be used to ensure anonymity and confidentiality of both the consultant and their clients. The following steps will be taken to protect privacy of the research participant.

1) Anonymity will be maintained with the use of a code name for the consultant chosen by the consultant at the time of the telephone interview for screening.
2) Research records will be identified by the code name. Because the research records will contain identifying information, they will be stored in a locked file cabinet in the researcher’s home office.
3) A master list will provide a key to the code names. This list will be kept in a separate location: a locked cabinet in the researcher’s UVM advisor’s (Kieran Killeen) office.
4) The content of the advising/coaching relationship between consultants and their clients is often highly confidential. Therefore, consultants will be directed to use a pseudonym for any clients they discuss.
5) No identifying information will be included in the final report.
6) Email communications will be retained with a print copy in the secure data files. The email file will be deleted. At completion of the study, these print copies will be discarded and shredded.
7) Participants will be asked to review the final report for identification of concerns about anonymity, confidentiality and sensitivity.
8) Any coding of employment or sensitive issues, such as referral for leadership
coaching by client’s superior for performance concerns will be reported in aggregate to minimize identification of individuals.

If results of this study are published or presented, individual names and other personally identifiable information will not be used.

To minimize the risks to confidentiality, we will keep audiotapes and written materials in a locked file cabinet. Audio and word processing files will be stored securely in encrypted files.

The advisor and the PI’s dissertation committee will be granted direct access to your original research records for verification of research procedures and/or data. Please note that email communication is neither private nor secure. Though we are taking precautions to protect your privacy, you should be aware that a third party could read information sent through e-mail.

Audio recordings and word processing files will be deleted and paper data collected will be shredded and discarded within 36 months following the collection of the data.

Contact Information

You may contact Mercy Burton Russell, MSW the Investigator in charge of this study or Kieran M. Killeen, Ph.D., the Investigator’s Doctoral Advisor, for more information about this study. If you have any questions about your rights as a participant in a research project or for more information on how to proceed should you believe that you have been harmed as a result of your participation in this study you should contact the Director of the Research Protections Office at the University of Vermont at 802-656-5040.

Statement of Consent

You have been given and have read or have had read to you a summary of this research study. Should you have any further questions about the research, you may contact the person conducting the study at the address and telephone number given below. Your participation is voluntary and you may refuse to participate or withdraw at any time without penalty or prejudice.

You agree to participate in this study and you understand that you will receive a signed copy of this form.

__________________________________________
Signature of Subject (18 years of age or older)  Date
This form is valid only if the Committees on Human Research’s current stamp of approval is present below.

**Researcher Signature**

Signature of Principal Investigator or Designee

Date

Name of Principal Investigator or Designee Printed

Name of Principal Investigator: Mercy Burton Russell, M.S.W.
Address: 35 Cherry Street, Unit 702, Burlington, VT 05401
Telephone Number: (802) 233-1142

Name of Faculty Sponsor: Kieran M. Killeen, Ph.D.
Address: University of Vermont, College of Education & Social Services, 445 Waterman Hall, 85 So. Prospect Street, Burlington, 05401-0160
Telephone Number: (802) 656-2936
APPENDIX E

PARTICIPANT QUALIFICATION QUESTIONS

ALC criteria questions:

1. Are you trained and credentialed in one of the following professions: psychology, social work, counseling, or psychiatry? Which profession?

2. How many years have you practiced this profession?

3. Would you describe yourself as a leadership consultant or executive coach?

4. Have you consulted to clients who are employed in a for-profit enterprise?

5. Are you willing to share your C. V. with me?

6. Are you available to meet with me in person at a typical consultation setting of your choosing for a two (2) hour interview?

7. Would you agree to the possibility of a follow-up telephone interview? (optional)

8. Would you agree to review final reports for accuracy? (optional)

9. Do you have any questions for me?
APPENDIX F

INTERVIEW QUESTIONS

1. Please describe your professional background, including the course of your training and study of human behavior, your professional credentials and your experience as a psychotherapist.

2. What was the nature of your professional practice before working as a leadership consultant? Please describe a typical engagement with a professional client, including the referral process, initial contact, contract and payment arrangements, locations, and range of activities with clients, etc.

3. What is the conceptual basis of your work as a clinician?

4. Please describe your entry into the field of leadership consulting and your qualifications to be a leadership consultant.

5. What is the nature of your practice as a leadership consultant? Please describe a typical engagement with a leadership consulting client, including the referral process, initial contact, contract and payment arrangements, locations, range of activities with clients, etc.
6. Do you have any other comments to make about the conceptual basis of your practice?

7. Do you have questions for me?
# APPENDIX G

## PRIMARY CODES

*Italics: Added during primary coding process*

<table>
<thead>
<tr>
<th>COGNITIVE PROCESSES</th>
<th>Leadership Consulting</th>
<th>Psychotherapy</th>
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| **MANAGEMENT OF CONFLICT**  
(Arena HB/HC/Bus) | CPLC:CM | CPP:CM |
| **Principles** |  |  |
| **Boundary Issues** |  |  |
| **EMOTIONAL LANGUAGE**  
EMO |  |  |
| **CONCEPT**  
Internally Held :Int |  |  |
| External Reference :Ext |  |  |
**DOMAIN**

*Human Behavior* : HB  
*Healthcare Industry* : HC  
*Business* : Bus

**AWARENESS**

- **Spontaneous:** On tip of tongue, Practiced  
  - ALC:Sp  
  - AP:Sp

- **Nominative:** Use of concept language w/o evidence of self-awareness  
  - ALC:N  
  - AP:N

- **Summoned:** Response to direct probe  
  - ALC:Su  
  - AP:Su

- **Tacit:** Implicit  
  - ALC:T  
  - AP:T

**PROFESSIONAL BIOGRAPHY**

**Initiation of Interest**  
- Academic: B.A.  
  - PBLC:I  
  - PBP:I  
  - PBLC:I:A  
  - PBP:I:A

- Work Experience  
  - PBLC:I:W  
  - PBP:I:W

- Personal (Was always interested...)  
  - PBLC:I:P  
  - PBP:I:P

- Practice  
  - PBLC:CN  
  - PBP:C

  - Training – Graduate Study  
    - PBLC:CN:A  
    - PBP:C:T

  - Training – Formal (Certificate)  
    - PBLC:CN:FT

  - Training – Other Training  
    - PBLC:CN:T

  - Employment  
    - PBLC:CN:E  
    - PBP:C:E

  - Post Grad Studies  
    - PBLC:CN:Pge

  - Work Experience  
    - PBLC:CN:W

  - Motivation  
    - PBLC:CN:M  
    - PBP:C:M

**Crossover Experiences**  
- X:LC  
- X:P

**Divergent Career Pathway**

**Divergent Educational Pathway**

**PRACTICES**

**REFERRALS**

- Insurance Company  
  - PRLC:R

- Employers  
  - PRLC:R:E  
  - PBP:R:E

- Ot Prof: MD, JD, colleagues  
  - PRLC:R:Ot  
  - PBP:R:Ot

- Advertising  
  - PRLC:R:A  
  - PBP:R:A

- Web  
  - PRLC:R:W  
  - PBP:R:W

- Client  
  - PRLC:R:C  
  - PBP:R:C

- Word of Mouth  
  - PRLC:R:WOM  
  - PBP:R:WOM
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APPENDIX H

THEMATIC CODES

Psychotherapy                                    Leadership Consulting

CONFLICT MANAGEMENT
Management (How I manage)
Consultation:Domain                              CMLC:CONS:MGMT:HBXBUS
                                                 CMLC:CONS:MGMT:HBXHB
                                                 CMLC:CONS:MGMT:HBXLI
                                                 Practice:Domain                              CMLC:P:MGMT:BUSXREG
                                                 CMP:P:MGMT:HBXREG
                                                 CMP:P:MGMT:HCXBUS
                                                 CMP:P:MGMT:HCXREG
                                                 Conflict in Conceptual Framework
                                                 Consultation:Domain                          CMP:CONS:CFLXCF:HBXHB
                                                 CMP:CONS:CFLXCF:HBXHB
                                                 CMP:CONS:CFLXCF:HBXPROF
                                                 Practice:Domain                              CMP:P:CFLXCF:HBXHB
                                                 CMLC:CONS:MGMT:HBXBUS
                                                 CMLC:CONS:MGMT:HBXHB
                                                 CMP:P:MGMT:HBXBUS
                                                 CMP:P:MGMT:HBXHC
                                                 CMP:P:MGMT:HBXREG
                                                 CMP:P:MGMT:HCXBUS
                                                 CMP:P:MGMT:HCXREG

DOMAIN ALIGNMENT
Domain                                           ALIGNBFST
Bowen Family Systems Theory:Practice              ALIGNBUSPX
Business Praxis ("how it's done")                ALIGNHB
Human Behavior Field                             ALIGNHC
Healthcare Industry                              ALIGNLI
Leadership Industry                              ALIGNPROF
Professional                                      
Government Regulation  
Practice  
General Practice  
Consultation  
Contact with Others  
Contract  
Education  
Location  
Payment  
Referral  

ALIGNREG  
P  
CONS  
COT  
Contract  
EDUC  
LOC  
PAY  
REF  

DIVERGENT  
Leadership Consulting  
Psychotherapy  
PATHWAYS  
CAREERPATH:P:DIVERGENT  
EDUCPATHWAYLP:DIVERGENT  

ENTREPRENEURSHIP  
Creativity  
Consultation  
CREATLP:CONS:NEWWAY  
Practice  
CREATLP:P:NEWWAY  

Innovation  
Consultation:Conflict:Domain  
INNOVLC:CONS:CFLXCF:HBOXHB  
INNOVLC:CONS:CFLXCF:HBOXHB  
INNOVLC:CONS:TRANSFER:HB2BUS  
INNOVLC:CONS:TRANSFER:BUS2HB  
INNOVLP:CONS:TRANSFER:BUS2HB  
Practice:Conflict:Domain  
INNOVLP:CFLXCF:HBOXBUS  
INNOVLP:CFLXCF:HBOXHC
INNOVP:P:CFLXCF:HCXBUS
INNOVP:P:CFLXCF:HBXHB
Practice:Transfer:Domain
INNOVP:P:TRANSFER:BUS2LC
INNOVLC:P:TRANSFER:BUS2HB
INNOVLC:P:TRANSFER:HB2BUS
INNOVLC:P:TRANSFER:BUS2HB

Self-Starting
ELC:SelfStarting

Bricolage (constructing something new out of pieces of the old)
ELC:CONS:BRICOLAGE
EP:CONS:BRICOLAGE

ENTREPRENEUR – PRIOR INFLUENCES

Friends/Family
ELCI:FAMILY
EPI:FAMILY
Prior Work
ELCI:PRIOR WORK
EPI:PRIOR WORK
Technology/Hobby(Personal Therapy)
ELCI:TECH/ENVIRON/HOBBY/PERSTX EPI:TECHENVIRONPERSTX

:EMO Emotional Statement
:o Creating Opportunity
APPENDIX I

FOLLOW-UP INTERVIEW FORM

1. Multigenerational family occupational history: parents, grandparents, aunts and uncles.

2. Untimely nodal events in MG family before age of 35.

3. Primary Motivation? What has interested you the most/excited you about your practices of psychotherapy and leadership consulting?

4. Primary Influence? What has influenced you the most as you have developed your practices of psychotherapy and leadership consulting?

5. Primary Challenge? What aspect of building your career has been the greatest challenge for you?
APPENDIX J

PERSONAL RELEVANCE OF RESEARCH TOPIC ON LEADERSHIP CONSULTANTS

My primary interest in this topic is to learn more about effective human functioning, in particular how I can help others improve their experiences in their lives and work.

My excitement about my career is the opportunity it has given me to explore the inner life of emotion and thought in others. I practice managing myself calmly in challenging situations while remaining expressive and authentic. It has been important to me to establish myself as an intellectual professional, i.e. neutral, objective, not self-serving and appreciated for my intelligence. I have enjoyed the many different roles I played as a therapist and the continual expansion of my field of practice and skills.

The advent of managed health care in psychiatry in southern California in the early 1980s coincided with my entrance into a career as a clinical social worker. The promise of a well-remunerated profession was broken by insurance company limits on compensation. As a result, the search to maintain some financial stability and personal needs for proximity to family dictated my early professional pathway. In the early 1990s, as a single self-employed mother, I moved to my hometown in northeastern Vermont. Throughout my career I have been frustrated by how little I earned in private practice and by the low salaries available at agencies.
In the early 1990s I considered transferring to another profession linked to psychotherapy, but had no idea how to make the leap. In collaboration with friends, I ran an Employment Assistance Program (EAP) business, worked for a national EAP company and was invited to join a statewide EAP practice. I enjoyed learning about workplace dynamics and exercising my group and systems skills in the workplace. However I felt pressure from the EAP industry to practice in a way that wasn’t in line with my principles. At the time I was learning Bowen Family Systems Theory (BFST) and was committed to using this theory to guide my practice. In line with a narrow focus on this orientation, I eschewed the use of assessments, personality metrics, career counseling and other popular tools in the field of leadership consulting.

When I re-married in 1997 and had a second child at the age of 44, I stopped thinking strategically about my career. At the same time I was angry and frustrated that I had been compensated so poorly when I saw how much my husband and his colleagues earned in the financial industry. My counsel to him on managing relationship issues as they arose in his firm, to a close friend in her career negotiations as a faculty member at UVM and in my occasional consulting work was fun and greatly appreciated, yet under-compensated. At this time, I met a leadership consultant in the BFST network with a Masters in Divinity who billed an hourly rate over five times that of my national psychotherapy colleagues. I was intrigued by how he used BFST in his leadership consulting firm and received compensation that seemed much more commensurate with the value he offered and the larger field of
executive coaching. Intellectually, I was restless and bored with individual therapy. I had developed my participation in the local and national BFST professional groups and was looking for expansion of my capacity to apply BFST in complex organizations.

Given the opportunity, I shadowed the leadership consultant, at a personal expense of over $10,000, for a year in his leadership training program. While maintaining a calm collegial relationship I had the opportunity to observe his practice closely. I took note of both the value he brought to his clients from his knowledge of Bowen theory, as well as deviations from practices that I had considered to be essential to application of the theory in any advising role.

While this colleague valued my insights about his own family and my command of BFST, the message I received was that I didn’t “read well” to a business audience. My understanding was that my shortcomings were cultural and personality-based. Interestingly, we retain a warm relationship. Whenever we meet he speaks of how I changed his life with my insights about his family. I have felt conflicted about this. If I am so valuable to a highly paid consultant, how can I be paid for that high value? And is there a way to bridge the cultural gap of business and my professional orientation?

When I began to supervise and train organizational consultants in BFST, I witnessed ways in which social pressures of the business milieu influence the professional independence of these consultants. Many of their work practices, such as consulting with clients at a restaurant while drinking wine, seemed incompatible
with maintaining an appropriate professional stance. As my colleagues began working as leadership consultants I was disturbed by how some used BFST to understand and consult in work systems. For example, leaders in hierarchical work settings often focus on other individuals as the problem in a workplace dilemma. A systems view holds the group responsible for problems and understands the leader to be the individual with the greatest influence in any group dynamic. My impression was that leadership consultants often align themselves with those in higher positions of authority and join in scapegoating individual employees. While this serves the self-interest of both the leader and the consultant, it violates the principle of lack of self-interest and objective authority of the consultant. And it is not a systems approach to a problem.

In addition, I had seen the pull of the workplace emotional system when working with another colleague who was financially invested enough in company contracts to feel pressured to join in blaming or scapegoating instead of addressing the chronic anxiety in the system about change. This consultant and I were able to use a systems perspective to enhance our consultation. His experience and training with BFST in the workplace complemented my financial independence from an ongoing relationship with the company.

This conflict was familiar from the experience and culture of my extended family. My father and grandfathers were physicians, ministers and professors. As professionals they openly denied self-interest to the point of being financially irresponsible to their families. They framed “business” as self-interested,
exploitative of others and often cited examples among their patients and parishioners. Yet, none of them ever aimed to provide financially for future generations, or even their widows.

I came to see this pattern more clearly in the contrast with my second husband’s family. His grandfathers were business owners and did their best to build security for their families and grandchildren, as did my husband. I experienced the benefits of this security directly and profoundly. In the course of tackling marital dynamics around money, I learned more about taking responsibility for my financial security.

Concluding that my prospects would be better outside the business world, I returned to an earlier life goal to earn a doctorate. Perhaps I was better suited to a professional field that valued my intellectual strengths. Also, in developing my research and writing skills, I would be better equipped to bring BFST to a broader audience.

During my doctoral studies, I was confronted by several challenges. My second husband and I separated and divorced. My confidence in BFST was seriously challenged. I had used BFST principles to function well in this marriage for over 15 years and to optimize a life path. The “canon” of BFST maintains that divorce reflects an inability to manage oneself in the stream of acute and chronic anxiety in the multigenerational family. Yet I concluded that this development in my marriage was a positive result of the work I had done to become more differentiated as an individual in my family and marriage. My conflict wasn’t with the theory, but
with I began to see a belief system embedded in the use of this theory. I still see BFST as a valid step toward a “scientific” theory of human functioning and a powerful tool for complex relationship systems and for understanding mental, emotional and social symptoms in the individual. However, now I am more aware of ways in which I used it to obscure important facts.

In the doctoral program I pursued my interests in BFST in academia. When I wrote about BFST as a way to understand organizational networks and broad societal trends I received little to no feedback or interest beyond “well done”. I was commended when I stopped talking about BFST. I decided that I would develop my work from the framework of BFST without trying to teach or sell it. I became more interested in how the ideas can be embedded and conveyed in language and activities without the use of jargon or marketing.

My personal conflict has been how to maintain my alignment with a professional value system while establishing my credibility with business clientele. As always, I want to deliver technical expertise and be as free as possible from bias in my thinking about relationship system dynamics while working with colleagues and clients.

In the past year, I have participated in a group with a daily practice of listening, identifying rather than comparing, and putting aside patterns of thinking about management of self. I have been practicing “not knowing”. Through this practice I have had insights into my own behavior that puzzled me before. I aimed to listen to participants talk about how they thought about decisions they make in how
they structure their consulting practices and manage their relationships with clients. I came with some emotional baggage about both fields of practice. I believe that this baggage prevents me from acting more freely and effectively as a professional and a consultant. My goal with this dissertation research project has been to drop as many preconceptions as I can in order to see something I haven’t seen in the past about the crossover of clinical practice and business consulting. Perhaps the experience of this effort will enhance my ability to serve clients in the future.