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Running Head: LEADERSHIP DEVELOPMENT

LEADERSHIP DEVELOPMENT: CONTINUOUS IMPROVEMENT
THROUGH CHARACTER ASSESSMENT

DISSERTATION

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ABSTRACT

One of the keys to personal development is self-awareness as assessed by instruments such as the Myers-Briggs Type Indicator (MBTI) and the NEO PI-R, both of which are widely accepted reliable and valid indicators and measures of personality type. However, assessing the part of personality known as *character* presents challenges that are not adequately addressed by today's popular instruments leaving information needed for development incomplete or unavailable. An instrument that provides a reliable and valid assessment of character for leadership and personal development purposes could be very valuable.

Qualitative methods were used for this study to investigate leaders' perceptions of the utility of using an existing instrument, the Temperament and Character Inventory (TCI), to enhance character awareness for the purposes of personal and professional growth and improving leadership skills. This study demonstrates that the TCI can be useful for enhancing such skills and development by helping leaders improve their self-awareness through character assessment.

This study included two groups of respondents, the seven member executive group and the three member coaching group. The executive group completed the TCI, received feedback and assistance in developing an action plan, and each participant was interviewed to determine to what extent the TCI and this process was useful to them for improving self-awareness of character and for identifying ways they desired to improve their personal and professional skills. The coaching group participated by both completing their personal TCI process, and by working with selected executive group

participants and the researcher in interpreting the executive participants' TCI results and advising on action plans. The coaching participants were interviewed to determine their perceptions of the extent to which the TCI and this process were useful to them personally and useful to the executive participants they coached. Additionally, the coaching group was asked to recommend specific training approaches, methods and improvements to make the overall process more effective.

This study demonstrated that the TCI and the methods used in the study can be useful for leadership development to those committed to professional and personal growth by using character assessment as part of a personal continuous improvement program. Some participants qualified their endorsement of the TCI and the process used for the study by suggesting changes.

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Dedication Page

This work is dedicated to Sharon Kathleen Clark, with love and many thanks for your understanding and your encouragement.

Acknowledgements

My heartfelt appreciation to all who contributed to this study, beginning with the faculty and staff at the University of San Diego who work so diligently to make the academic experience of students a meaningful and memorable one while maintaining the rigorous academic standards essential for growth. My experiences in the doctoral program have been among my best.

To the participants in the study, thank you for your trust and confidence. Without your many hours of time and effort and your willingness to share many of the deep, intimate and very personal parts of yourselves, this study could not have been possible. I will always be grateful.

To Dr. Robert Cloninger and colleagues at Washington University, St. Louis, MO, developers of the Temperament and Character Inventory (TCI), thank you for your permission to use the TCI for this study and for your support and encouragement.

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Chapter I: The Problem

Background of the Study

Interest in improving our understanding of others and ourselves by classifying and sorting people into different personality, temperament, and character categories has a long and rich history. Early practitioners included the ancient Chinese who assessed individuals for civil service positions (Piedmont, 1998), early astrologers who used trigons corresponding to the four elements of water, air, earth, and fire to classify character (Sharp, 1987), and Hippocrates in the fourth century B.C., who proposed that certain humors were combined within an individual to determine that individual's health and character (Hall, Gardner, & Campbell, 1998).

Late in the first millennium the Enneagram, an ancient typology with a strong spiritual dimension, was used to assess personality (Riso, 1995). Today, popular instruments such as the Myers-Briggs Type Indicator (Myers, McCaulley, Quenk, & Hammer, 1998) and the NEO PI-R (Hall et al., 1998) are used to assess personality. According to DeRoche and Williams (2001), school systems are using a variety of assessment instruments to evaluate students' caring about others, self-discipline, responsibility, and tolerance as part of character education programs.

The term character is often used interchangeably with personality (Hall et al., 1998). For the purpose of this study, however, the definition of character has been adopted from the work of Cloninger and colleagues (Cloninger, Svrakic, Przbeck, &

Wetzel, 1994). According to Cloninger et al. (1994), character is a component of personality and is defined as:

. . .[the] self-concepts and individual differences in goals and values that influence voluntary choices, intentions, and the meaning of what is experienced in life.

Differences in character are moderately influenced by sociocultural learning and mature in progressive steps throughout life. (p. 9)

Cloninger's definition of character has notable similarities to the description of character offered by Hogan and Sinclair (1997): "Character is, in large part, a developmental construct – people develop character over time, primarily through socialization" (p. 260).

Cloninger and colleagues (1994), at Washington University in St. Louis, Missouri, have developed an instrument, the Temperament and Character Inventory, to assess what they have identified as the three dimensions of character: self-directedness, cooperativeness, and self-transcendence. This instrument plays a key role in this exploratory study and will later be discussed in detail.

According to Josephson and Hanson (1998), a person's character is revealed in everything the person does and says. This has profound implications for leadership.

According to Bennis (as cited in Josephson & Hanson, 1998): "Successful leadership . . . is about having a particular set of attributes – which all leaders, male and female, seem to share. And chief among these attributes is character" (p. 143). According to Bennis (as cited in Josephson & Hanson, 1998), leadership is character in action demonstrated by meaningful vision, determined purpose, sustained trustworthiness and a bias toward action.

Most instruments used today to develop leadership skills, including the Myers-Briggs Type Indicator (Sharp, 1987) and the NEO PI-R (Piedmont, 1998) do not attempt to directly measure character. However, according to Sperry (1997), corporate clients: “. . . tend to be quite receptive to typologies and assessment systems that focus on the positive and healthy aspects of character, as well as to systems that describe positive as well as negative aspects of character” (p. 274). Instruments that have been normed primarily on nonclinical populations continue to be valuable in the work environment (Sperry, 1997). This exploratory study is designed to investigate the usefulness of the Temperament and Character Inventory, which was normed using a sample from the general population, to help business executives and senior administrators increase their self-awareness of their characters and to help them develop a plan for continued healthy improvement in this area of personal and professional development. A valid and reliable instrument that assists leaders in achieving such self-awareness could be very useful for both personal development and leadership development purposes.

Cloninger’s instrument, The Temperament and Character Inventory (TCI), was developed to serve a unique purpose and population (Cloninger et al., 1994). Though normed using data from the general population, the TCI was developed for the purpose of diagnosing personality disorders. From the results of this study, we now know that for some leaders it can be an effective tool for the purpose of enhancing leadership skills and personal development by helping to improve self-awareness through character assessment. The focus of this exploratory study was to investigate whether or not the TCI would be perceived to be effective for this purpose. Emphasis throughout this study

was on the aspirational aspects of healthy character development through continuous improvement, rather than on deficiencies.

Statement of the Problem

Corporate consultant Len Sperry (1999), points out that some corporate clients are requesting consultants to help them answer difficult questions about candidates for executive positions, such as will there be a good fit and will sound judgment be demonstrated by the candidate when under duress on the job? Furthermore, is the initial favorable impression made by the candidate simply a result of effective impression management or will it be sustained over time? The reason for these concerns is the high rate of derailment of executives in corporate America. Some of these derailments are due to perceived character disorders (Hogan & Sinclair, 1997). However, character disorders are frequently expressed in clinical terms that make many executives and consultants uncomfortable when describing healthy, adaptive workplace functioning (Sperry, 1997). Nevertheless, according to Sperry (1997), corporate clients have a strong interest in identifying healthy character structure in individuals.

Those who participated in this study became interested due to their recognition that they may have a form of blindness regarding some aspects of their character. According to Saporito (1996), one of the myths of the executive suite is that senior executives do not need development because they would not be where they are if they were not well-developed individuals. The reality is that the higher one ascends in the organization, the more difficult it is to obtain unbiased feedback. Therefore, senior executives tend to become isolated and may suffer from blind spots as to the impact of their leadership practices (Saporito, 1996). Additionally, self-serving bias may work to

perpetuate this blindness when executives attribute their failures to external causes rather than to internal causes (Robbins, 2000).

A useful tool for examining this form of blindness is the Johari Window, depicted in Fig. 1.

Figure 1 The Johari Window

	Known to Self	Unknown to Self
Known to Others	A	B
Unknown to Others	C	D

According to Yalom (1995), the Johari Window is a personality paradigm that clarifies the function of feedback and self-disclosure. The “window” has four cells, each cell representing one of four combinations of what we know about ourselves or what we do not know about ourselves and what others know about us or do not know about us. Cell A is the public self that is both known to self and known to others. Cell B represents our blind spots, what is known to others but unknown to self. Cell C is our private area, what is known to self but unknown to others. Finally, Cell D is the unconscious self, known neither to self nor to others (Yalom, 1995). Cell B can be very valuable for the individual in that learning what we previously did not know about ourselves may lead to insights that would not otherwise have been available to us (Carroll, Bates, & Johnson, 1997). A key part of this study was the exploration of whether or not the TCI could be useful for helping executives identify blind spots they may have regarding their characters.

In the mid-1990s, researchers Jean Brittain Leslie and Ellen Van Velsor from the Center for Creative Leadership (CCL) reviewed the research conducted by CCL from the

early 1980s on the subject of executive career derailment. They defined the derailed manager as:

one who, having reached at least the general manager level, either leaves the organization nonvoluntarily (through [being asked for their] resignation, being fired, or [forced into] retiring early) or is plateaued as a result of a perceived lack of fit between personal characteristics and skills and the demands of the job (Leslie & Velsor, 1996, p. 1).

According to Leslie and Velsor (1996), some of the factors that contribute to many executive derailments are poor working relations, excessive ambition and excessive authoritarianism. These factors are in Cloninger's character dimensions. The factors of poor working relations and excessive authoritarianism are found in the character dimensions of cooperativeness and self-transcendence. The factor of excessive ambition is found in the character dimension of self-directedness.

An instrument, such as the TCI, that is effective in assisting executives to improve their characters by seeing themselves in a new light, may help to prevent some executive career derailments as well as contribute to the desired leadership development mentioned by Sperry and Saporito.

Purpose of the Study

The purpose of this exploratory study is to investigate participants' perceptions of the utility of using an existing instrument, the Temperament and Character Inventory (TCI), to enhance their awareness of their characters for the purposes of personal growth and improving their leadership skills. This study also investigated a method to assist

participants to use the TCI to enhance their self-awareness and approaches executive coaches can use to effectively facilitate the process.

Research Questions

This research was guided by the following research questions:

1. How do leaders, such as corporate executives, perceive the TCI as an effective instrument for enhancing their characters for the purposes of personal and professional growth?
2. In what ways does the TCI assist corporate executives in enhancing their self-awareness?
3. In what ways is the TCI an effective instrument for improving the leadership skills of corporate executives?

Terminology

One of the challenges for personality researchers is the use of terminology. The terms character and temperament are often used interchangeably with personality (Hall et al., 1998). Personality has several different definitions. Piedmont (1998) defines personality as “the intrinsic organization of an individual’s mental world that is stable over time and consistent over situations” (p. 2). Robbins (2000) believes that “personality is the sum total of ways in which an individual reacts and interacts with others” (p. 636). Allport defines personality as “. . . the dynamic organization within the individual of those psychophysical systems that determine his unique adjustments to his environment” (Hall et al., 1998, p. 274).

Hall et al. (1998), express the difficulty of defining personality in a way that would have wide acceptance:

It is our conviction that no substantive definition of personality can be applied with any generality. . . . Thus, we submit that personality is defined by the particular empirical concepts that are a part of the theory of personality employed by the observer. Personality consists concretely of a set of scores or descriptive terms that describe the individual being studied in terms of the variables or dimensions that occupy a central position within the particular theory. (p. 9)

Defining character presents problems similar to those of defining personality.

According to Allport (cited in Hall et al., 1998):

character is the aspect of personality that engenders stability and dependability, that is responsible for sustained effort in the face of obstacles, or works for remote ends rather than those that are nearer in time but of less worth....Character enters the situation only when this personal effort is judged from the standpoint of some code. (p. 122)

Johnson (1985), states, "In psychoanalytic terms, character consists of the stable ways in which the ego reconciles the inevitable conflicts among the internal psychic structures and between those structures and the demands of the environment" (p. 23).

Sperry (1997) says simply, "...character refers to the learned, psychosocial influences on personality" (p. 268).

Given that the work of Cloninger et al. (1994) plays a prominent role in this study, their definition of character will be used for this study and therefore merits repeating:

Character refers to self-concepts and individual differences in goals and values that influence voluntary choices, intentions, and the meaning of what is

experienced in life. Differences in character are moderately influenced by sociocultural learning and mature in progressive steps throughout life. The three measured character dimensions are self-directedness, cooperativeness, and self-transcendence. (p. 9)

Various researchers, likewise, define temperament, differently. According to Hall et al. (1998):

Temperament ordinarily refers to those dispositions that are closely linked to biological or physiological determinants and that consequently show relatively little modification with development. The role of heredity is naturally somewhat greater here than in the case of some other aspects of personality. Temperament is the raw material along with intelligence and physique out of which personality is fashioned. (p. 275)

Keirsey (1998) defines temperament by contrasting it with character:

There are two sides to personality, one of which is temperament and the other character. Temperament is a configuration of inclinations, while character is a configuration of habits. Character is disposition, temperament pre-disposition . . . [and] . . . our brain is a sort of computer, which has temperament for its hardware and character for its software. The hardware is the physical base from which character emerges, placing an identifiable fingerprint on each individual's attitudes and actions. . . . Thus, temperament is the inborn form of human nature; character the emergent form, which develops through the interaction of temperament and environment. (p. 20)

Cloninger et al. (1994), define temperament as the “. . . automatic emotional responses to experience that are moderately heritable and stable throughout life; the four measured temperament dimensions are novelty seeking, harm avoidance, reward dependence, and persistence” (p. 9). Cloninger (1998), contrasts temperament and character as follows: “. . . temperament can be defined as the automatic associative responses to basic emotional stimuli that determine habits and skills, whereas character refers to the self-aware concepts that influence our voluntary intentions and attitudes” (p. 64).

Several of the foregoing definitions indicate that for any given individual, there is a relationship among character, personality, temperament, biological makeup, socialization and environmental influences. Some of the research on these relationships is discussed in the section on psychobiology and personality included in Chapter II, Review of the Literature.

Definitions of Key Terms

Various researchers of personality have developed different definitions of some of the key terms that will be used in this study. For clarity, the following definitions will apply to this study. The definitions of character and temperament are those of Cloninger and colleagues (Cloninger et al., 1994).

Character: The self-concepts and individual differences in goals and values that influence voluntary choices, intentions, and the meaning of what is experienced in life. Differences in character are moderately influenced by sociocultural learning and mature in progressive steps throughout life. The three measured character dimensions are self-directedness, cooperativeness, and self-transcendence (Cloninger et al., 1994).

Character (short definition): The self-aware concepts that influence our voluntary intentions and attitudes (Cloninger, 1998).

Temperament: The automatic emotional responses to experience that are moderately heritable and stable throughout life; the four measured temperament dimensions are novelty seeking, harm avoidance, reward dependence, and persistence (Cloninger et al., 1994).

Temperament (short definition): The automatic associative responses to basic emotional stimuli that determine habits and skills (Cloninger, 1998).

Performance: The extent to which success is achieved in meeting the requirements of the various stakeholders in the outcomes of the activities or processes undertaken by the performer as defined by performance evaluators.

Executive/Administrator: A person whose function is to provide leadership for and to manage or administer the affairs of, an organization at a senior level.

Executive Coach: One who assists in equipping people with the tools, knowledge, and opportunities they need to develop themselves and become more effective within the context of their situation (Whitworth, Kimsey-House, & Sandahl, 1998).

Summary of Chapter I

The rich history of character and personality assessment dates at least to the ancient Chinese and the early Greeks, followed late in the first millennium by Muslim Sufis with their form of typology known today as the Enneagram. Today, assessment instruments such as the Myers-Briggs Type Indicator and the NEO PI-R are used for this purpose and school systems are using assessment instruments to evaluate students as part of character education programs.

Due to psychological blind spots, it is often difficult for leaders, such as executives and senior administrators, to obtain useful information about themselves that allows them to identify shortcomings in their characters. An assessment instrument such as the Temperament and Character Inventory (TCI) may be useful for helping individuals become more self-aware regarding dimensions of their character and to identify ways to improve. The purpose of this exploratory study was to investigate if the TCI is a useful tool for achieving this self-awareness.

Chapter II: Review of the Literature

A review of the literature provided the researcher with an opportunity to obtain a deep understanding of, and appreciation for, the historical efforts to assess human character, personality and temperament. The results of this review are summarized below. This is followed by a brief description of the psychobiology of personality, which is important for understanding the construct of character that is the focus of this exploratory study. The literature review section closes with a discussion of the background and process of executive coaching and its significance for executive leadership and personal development. The role of coaches in this exploratory study is also discussed.

History of Assessment

As early as 2200 B.C. the Chinese were assessing individual differences as part of the selection process for civil service positions (Piedmont, 1998). Among the earliest known practitioners were the oriental astrologers who classified character in terms of four trigons that correspond to the four elements of water, air, earth and fire. The air trigon in the horoscope is made up of the three aerial signs of the zodiac, Aquarius, Gemini and Libra. The fire trigon consists of Aries, Leo and Sagittarius. Those born under these signs are said to share in their aerial or fiery nature and have corresponding temperaments and fates. The water and earth signs have their own descriptions. Astrology as practiced today retains many of these ancient traditions (Sharp, 1987).

Hippocrates in the fourth century B.C. described four humors consisting of blood, phlegm, black bile and yellow bile. These humors were reflections of the four cosmic elements of earth, water, air and fire. Each had a particular quality, cold for air, heat for fire, moist for water, and dry for earth. Hippocrates proposed that the manner in which these humors are combined within an individual determined that individual's health and character. Galen, the Greek physician and writer, in the second century A.D. expanded on this model, arguing that an excess of any humor was responsible for an individual's distinctive emotional qualities. The temperament of the sanguine person, always full of enthusiasm, is due to the strength of the blood. The sadness of the melancholic was due to an excess of black bile. An overabundance of yellow bile caused irritability of the choleric. The phlegmatic individual's slowness and apathy could be traced to the phlegm (Hall et al., 1998).

The influence of these ancient assessment efforts continues to have significance today. Cloninger et al. (1994) include in their manual for administering the Temperament and Character Inventory a reference to the ancient four temperaments, comparing them to the four-factor TCI model of temperament. Meloncholic is matched with the TCI dimension of harm avoidance, choleric with novelty seeking, sanguine with reward dependence and phlegmatic with persistence.

The Enneagram, an ancient personality typology with a strong spiritual dimension, was little known in the West until the 1970's, having been taught only orally for many centuries. The Enneagram is included in this literature review due to its contemporary popularity among users who find it valuable for self-discovery and understanding others. Additionally, studies to compare the results of the Enneagram with

results from modern day instruments such as the Myers Briggs Type Indicator, the Millon-Illinois Self-Report Scale and the Minnesota Multiphasic Personality Inventory indicate the interest in the Enneagram by serious researchers. These studies typically show partial correlations between the Enneagram and the modern instruments (Palmer, 1988). Furthermore, its popularity today is evidenced by the thousands of websites featuring the Enneagram, and its being taught in schools and religious institutions.

The Enneagram was introduced to the West by the Russian spiritual teacher George Ivanovitch Gurdjieff in approximately 1900 and was further developed by the Bolivian mystic Oscar Ichazo in the 1960s. Claudio Naranjo, a psychiatrist and student of Ichazo, brought the Enneagram to the U.S. in 1970 (Riso, 1995).

The Enneagram is thought to have its roots in the practices of Muslim Sufis beginning a few hundred years after the death of Muhammad in the seventh century. The Enneagram consists of a circle with nine points, numbered clockwise from 1 to 9, shown in Figure 2. These nine points of the Enneagram (from the Greek ennea – nine, and gramma – letter) represent nine models or types of people. Each type is described in detail, including that type's gifts and needs (Rohr & Ebert, 1990).

Figure 2. Enneagram

Riso (1995) has developed a 144-question assessment, the Riso-Hudson Enneagram Type Indicator, to help people determine their type. He has assigned the

following labels to the nine Enneagram types: (1) the Reformer, (2) the Helper, (3) the Motivator, (4) the Artist, (5) the Thinker, (6) the Loyalist, (7) the Generalist, (8) the Leader and (9) the Peacemaker. For each type, a spectrum of traits has been assigned, ranging from unhealthy to average to healthy. Other authors have assigned different names to the various types, though the essential meanings are retained.

Some attempts within the past century and a half to assess character seem bizarre by contemporary standards. However, they help us appreciate the progress made in recent years. A popular method for evaluating and classifying people used until early in the twentieth century was physiognomy. Detailed reference books were written that describe the character traits of an individual through facial shape and features. John Quincy Adams, for example, was described as a strong character, a cast of his head exhibiting “. . . one of the largest developments of Self-Esteem, Firmness, and Conscientiousness among all our statesmen.” (Wells, 1876, p. 707).

Ernest Kretschmer, in the first half of the twentieth century, investigated the links between body build and psychological problems. The pyknic or stocky build was linked to manic depression. The leptosomatic or thin build was associated with schizophrenia and his athletic build with epilepsy (Rohr & Ebert, 1990).

A need for the efficient assessment of individual differences in large groups was identified at the outbreak of World War I. Instruments such as the Woodworth Personal Data Sheet and the Army Alpha Test provided standardized sets of items that allowed quantitative comparisons among people. These instruments are historically significant in that they provided genuine breakthroughs in assessment technology (Piedmont, 1998).

Carl Jung's theory of psychological types has a prominent place in the history of the contemporary practice of identifying people as certain types. His model is concerned with the movement of psychic energy and the way in which a person habitually, or by preference, orients himself or herself in the world. Jung identified eight typological groups consisting of two personality attitudes and four functions or modes of orientation. His two attitudes are extraversion and introversion. His four functions or modes of orientation are thinking, sensation, intuition and feeling, each of which may operate in an extraverted or introverted manner (Sharp, 1987). Jung described his attitudes and functions not as the basis of a typology, but as potentialities that exist in everyone to varying degrees. His theory is that in order to move toward self-realization, these potentialities must all be developed. Jung's model does suggest a typology, however, and several attempts have been made to develop pencil and paper tests to scale people based on Jung's theory (Hall et al., 1998).

The best-known attempt to create an assessment instrument based on Jung's theories is the Myers-Briggs Type Indicator (MBTI). Isabel Briggs Myers developed the MBTI over a period of many years, inspired by the research of Jung's theories by her mother, Katharine Briggs. Myers' work on the indicator began in the 1940's and continued until her death in 1980. Her motivation to develop the indicator was prompted in part by World War II and her belief that helping people to understand each other could contribute to world peace (McCaulley, 1980).

Myers and Briggs addressed two related goals in the development and application of the MBTI. The first was to identify the basic preferences on each of the four dichotomies specified or implicit in Jung's theory. The second was the identification and

description of the sixteen distinctive personality types that result from interactions among the preferences. A given type consists of a preference for either extraversion (E) or introversion (I), sensing (S) or intuition (N), thinking (T) or feeling (F), and perceiving (P) or judging (J). Therefore, a person having a preference for introversion, intuition, thinking and judging, as those terms are defined by Myers, would have a type referred to as INTJ. The MBTI is the most widely used personality instrument in the world, with approximately two million being administered each year (Myers et al., 1998).

In recent years, one of the major developments in personality assessment is the emergence of the Big Five Factors of Personality. This model forms the conceptual foundation for much of the personality work being done today. Though several versions of the Big Five exist, Robert McCrae and Paul Costa developed one of the most popular in the late 1980s, referred to as the NEO-PI. The labels assigned for the domains used for the Big Five Factors as measured by the NEO-PI are neuroticism, extraversion, agreeableness, conscientiousness, and openness. A revision was published in the early 1990s, referred to as the NEO PI-R (Hall et al., 1998).

Each of the domains of the NEO PI-R consists of six facets. The facets for each of the domains are (Costa & McCrae, 1992):

Neuroticism - anxiety, angry hostility, depression, self-consciousness, impulsiveness, and vulnerability.

Extraversion - warmth, gregariousness, assertiveness, activity, excitement seeking, and positive emotions.

Openness - fantasy, aesthetics, feelings, actions, ideas, and values.

Agreeableness - trust, straightforwardness, altruism, compliance, modesty, and

tender-mindedness.

Conscientiousness - competence, order, dutifulness, achievement striving, self discipline, and deliberation. (p. 14)

The 240 questions on the NEO PI-R were selected to assess a person's fundamental temperaments. These are the qualities that drive, direct and select behaviors. According to Big Five researchers, scores on this type of scale are likely not to change much over time and across situations (Piedmont, 1998).

There are many more instruments used to assess personality. Many of these are unpublished and known to practitioners only through references in professional journals. Goldman, Mitchell, & Egelson (1974-1997), identified many of these unpublished instruments by reviewing dozens of professional journals containing instruments of value to researchers in education, psychology and sociology. Brief descriptions of these unpublished instruments are included in a seven-volume work entitled the *Directory of Unpublished Experimental Mental Measures*, compiled from 1974 through 1997.

The manner in which character develops in individuals as they mature has long been a subject of interest. In the U.S., the education system has traditionally been expected to play a major role in this development, evidenced by the efforts of schools to incorporate character education into their curricula. The following is a brief history of the U.S. character education movement.

The Character Education Movement

Examples of the recognition of the importance of moral instruction of the young are found throughout history. The first recorded use of the word *character* in literature is attributed to an Egyptian sage of the twenty-seventh century B.C., Ptah-hotep, who

wrote: "Precious to a man is the virtue of his son, and good character is a thing remembered" (Brooks & Goble, 1997). In the fifth century B.C., Confucius reportedly said: "Men possess a moral nature; but if they are well fed, warmly clad, and comfortably lodged without at the same time being instructed, they become like unto beasts" (Lippmann, as cited in Brooks and Goble, 1997, p. 6). Aristotle in the fourth century B.C. explained that the moral virtues are acquired by training and practice (Pojman, 1993).

According to Nash (1997), early American schools were called on to teach civic virtues rooted in religious and moral instruction, as a way of developing democratic ideals. The first school law in Massachusetts, the Old Deluder Satan Act of 1647, required students to be taught how to avoid Satan's snares. In 1808 the Boston public schools adopted readers such as *The Boston Primer*, *Child's Companion* and *Beauties of the Bible* that emphasized the virtues of religious devotion and deference to authority. The moralistic McGuffey Readers, first published in 1836, were used by millions of school children until the 1940s (Nash, 1997). In the 1960s an approach to ethical education referred to as Values Clarification or Moral Values Education gained much attention. Advocates of values clarification were more concerned with how values were developed than they were with which values were developed. The assumption was that there are no inherently right or wrong values, and that only values discovered by students and adopted as their own, free of impositions by others, have any validity (Brooks & Goble, 1997).

In the 1970s, Lawrence Kohlberg's work on moral development became widely studied. Kohlberg identified six stages of moral growth, each stage determined by how

people thought about moral problems. Stage I is based on physical and material power, Stage II on satisfying one's own personal needs, Stage III on social conformity and what pleases others, Stage IV on rules, laws or codes for guidance, Stage V on social contracts and Stage VI on universal principles such as justice. Later, Kohlberg concluded that so few people attained Stage VI that it is more theoretical than real (Sprinthall, Sprinthall, & Oja, 1998).

Kohlberg's work was based on longitudinal studies of subjects and their moral development from early childhood until approximately age thirty. He found that all individuals pass through all stages of development, with Stage I demonstrated more often in early years and Stages IV and V more frequently demonstrated in later years. Though Kohlberg's findings have been challenged as being gender biased, subsequent research has supported his theories as applying to both sexes as well as being cross-cultural (Sprinthall et al., 1998).

Beginning in the late 1980s and early 1990s, the character education movement gained momentum, due in part to the rising rate of juvenile crime, tragic violence in schools across the nation and everyday events reported in the press. Changing family life, high geographic mobility, the instability of children's environments, and the influence of the media have significantly reduced the impact of the home and church on the character development of children (Brooks & Goble, 1997). The result is that civic leaders and educators have been prompted to revisit the issue of character education in our schools. The character education movement is growing rapidly, evidenced by the number of college student character development programs (Clearinghouse, 2003) and the establishment of organizations such as The Character Education Partnership and The

International Center for Character Education (ICCE) at the University of San Diego (USD).

The ICCE sponsors conferences at USD attended by educators from across the U.S and around the world. During these conferences, attendees network with other educators to discuss the character education experience at their schools and attend presentations by nationally known guest speakers on a variety of character related topics. Many of the speakers are nationally known, such as Kevin Ryan, who, at the time of the 1999 conference, was Director of the Center for the Advancement of Character and Ethics and Professor at Boston University, and President of The Character Education Partnership. The theme of his presentation was that schools should return to their traditional role of being a key source of character education for children and that unfortunately, some character education programs have children adopting the "right view" or simply teaching civility, rather than a deep and rich understanding of virtue (ICCE, 1999).

The co-founders of the ICCE, Dr. Ed DeRoche and Dr. Mary Williams, are the authors of *Educating Hearts and Minds, A Comprehensive Character Education Framework*. Included in the book are descriptions of a variety of established character education programs. Also described are the efforts of state legislatures, communities, school districts and private organizations to address the deficiencies in the character building experiences of students. DeRoche and Williams (2001) also offer specific guidance to educators who may be contemplating starting a program. This guidance is based on their experiences as educators and as consultants on character education programs throughout the country.

According to DeRoche and Williams (2001), school systems are using assessment instruments to evaluate students' character. Qualities such as caring about others, self-discipline, responsibility, and tolerance are typical of the items assessed by such instruments. One of the main purposes for these student assessments is to evaluate the effectiveness of character education programs (DeRoche & Williams, 2001).

The Joseph & Edna Josephson Institute of Ethics coordinates a project known as the Character Counts! Coalition, which has over 250 members and reaches millions of young people. The Coalition promotes ethical values through "Six Pillars of Character": trustworthiness, respect, responsibility, fairness, caring and citizenship. Nearly one thousand school districts, cities, counties and chambers of commerce plus the White House and Congress have endorsed the project. Communities across the country celebrate the third week in October as Character Counts! Week (Josephson & Hanson, 1998).

Tom Lickona of the State University of New York has written extensively on the subject of character education. In his book, *Educating for Character*, Lickona (1991) acknowledges how difficult it can be to stay focused on the concrete and offers many practical suggestions on the teaching of character in schools. His history of the decline of character during the past decades traces the beginning of the decline in teaching values in schools during the 1950s. During the 1960s, "personalism", the celebration of the individual, became popular. Later, books with titles such as *Looking Out for Number 1* became best sellers. Values clarification became the topic in schools. This was not teaching values, but rather, helping students to clarify their own values, often leading to confusion on the student's part. The results of the decline, according to Lickona (1991),

have been tremendous increases in crime, discipline problems in schools and unhappy people.

Lickona (1991), offers a view of character as consisting of operative values. He says, “We progress in our character as a value becomes a virtue, a reliable inner disposition to respond to situations in a morally good way” (p. 51). This conception of character has three interrelated parts: moral knowing, moral feeling, and moral behavior. Therefore, according to Lickona (1991), good character consists of knowing the good, desiring the good, and doing the good.

Kevin Ryan and Karen Bohlin, both of the Center for the Advancement of Ethics and Character at Boston University, make many points about the importance of teachers’ work in developing character in their book, *Building Character in Schools*. They remind us that though teachers are usually thought of as helping students to better understand the world around them, they are also responsible for pointing students in the right direction, or turning them around. According to Ryan and Bohlin (1999), this was realized at least as far back as the time of Socrates. As recounted in Plato’s *Republic*:

...education is the craft concerned with doing this very thing, this turning around, and with how the soul can most easily and effectively be made to do it. It isn’t the craft of putting sight into the soul. Education takes for granted that sight is there but that it isn’t turned the right way or looking where it ought to look, and it tries to redirect it appropriately. (p. 140)

To help us remember the teaching dimensions of this soul turning, Ryan and Bohlin (1999) have devised what they call the Six Es of Soul Turning: example,

explanation, the ethical environment (ethos), experience, exhortation, and expectations of excellence.

Students observe what teachers do and say. The person, rather than the teacher, is who makes the lasting impression and teachers should reflect often on the cues given to students. Students need explanations of what good habits are and why they are important, derived from engaging conversations about human nature. Establishing a fair and civil school setting will help students achieve their ethical potential and foster relationships built on trust and mutual respect. “Students need to be moral actors, not just moral talkers,” according to Ryan and Bohlin (1999, p. 146). Providing constructive alternatives to the influence of TV and video games is an important function of teachers and schools. Students need inspiration and being an example of the adage “great teachers inspire”, should be the aspiration of every teacher. Establishing high expectations coupled with support and guidance provides students with the foundation of high achievement (Ryan & Bohlin, 1999).

Another collection of ideas for facilitating character development in schools comes from Howard Kirschenbaum, in his book *100 Ways to Enhance Values and Morality in Schools and Youth Settings*. His 100 methods are organized under five headings: inculcating values and morality, modeling values and morality, facilitating values and morality, skills for value development and moral literacy, and implementing a values education program. Kirschenbaum (1995), contrasts inculcation with indoctrination, arguing that if rewards and punishments offer little choice such as “Accept our way or die,” this is indoctrination. However, inculcation is a humane and respectful approach to values education (Kirschenbaum, 1995)

Kirschenbaum (1995) tells of a teacher in an urban high school who experimented with having his students read one of the Horatio Alger books that were popular at the turn of the twentieth century. The teacher had to visit antiquarian bookstores to find enough copies for his students. Some of the titles included *Strong and Steady*, *Mark Mason's Victory*, *Shifting for Himself*, and *Andy Grant's Pluck*. Approximately half of the books contained personal inscriptions such as "To Foster, from Aunt Hannah and Uncle Frank, Dec. 25, '07" and "Merry Christmas to Lauren from Grandma and Grandpa, 1909." Many of these books had been given to young people as presents for the purpose of improving their character and influencing their values and moral development (Kirschenbaum, 1995).

Given the growing interest in character education and our current understanding that character is influenced by learning, a more detailed discussion of the relationship between the biological and the environmental components of character may be useful. The following highlights recent thinking by some researchers on this subject and its role in this study.

Psychobiology and Personality

Genetics and physiology have played a major role in the effort to describe personality characteristics. However, the significance of heredity relative to influences such as environmental factors and developmental experiences is an ongoing debate (Hall et al., 1998). Researchers Costa and McCrae, advocates of the Big Five Factors and developers of the NEO PI-R instrument, claim there is evidence indicating that some genotypic structure exists that organizes who we are and the goals we pursue, though this structure may change over time, perhaps due to phenotypic influences, until we reach the

age of thirty. After age thirty, according to Costa and McCrae (as cited in Piedmont, 1998), personality domains stabilize over time. Advocates of the Big-Five Factors do not seem to embrace the separation of temperament and character as the two main components of personality. Therefore, one might ask if Costa and McCrae may be looking at the character dimension of personality, though not recognizing it, when seeing the change up to age thirty; character may be well formed by the age of thirty and scores would tend to stabilize for administrations of a personality instrument such as the NEO PI-R after that age. This is confirmed by Svrakic, Whitehead, Przybeck and Cloninger (1993), who reported that:

. . . when character and temperament variables are distinguished . . . character development during adulthood may be substantial, as supported by extensive longitudinal research work with personality disorders and character traits. The best longitudinal studies of personality disorder concern antisocial personality disorder; these studies show that such individuals often become more self-directed and cooperative between ages 25 and 35 years, even though their temperament changes little. (p. 998)

However, we have an indication that individual character often improves over time. According to Cloninger et al. (1994), the sample from the general population used to norm the Temperament and Character Inventory ranged in age from eighteen to ninety one. Scores increased for older age groups when compared with younger age groups for nearly all of the dimensions of character. Though this data is far from conclusive given that these scores only indicate differences among age groups and do not indicate changes

for individuals over time, they may, nevertheless, indicate that as individuals age, character improves, perhaps throughout life, at least as measured by the TCI.

Cloninger (1998) has developed a theory of the biological basis of personality that includes identifying the areas of the human brain that determine temperament type. For example, the anterior temporal lobe of the brain is specialized to decode social signals, such as facial images and social gestures. Individuals who are high in the temperament dimension Cloninger labels *reward dependence*, tend to be particularly sensitive in their social communication versus those low in reward dependence who tend to be socially aloof.

According to Cloninger (1998), the dissociation of the major brain systems for procedural versus propositional memory and learning corresponds to the distinction between temperament and character. Temperament is related to procedural or habit learning and character is related to the higher cognitive processes, such as self-concept and relations with others. Additional details about Cloninger's theories are included later in this study.

Returning to the earlier description of character by Hogan and Sinclair (1997), that character is a developmental construct, acquired through socialization and developed over time, the parallels with Cloninger's theory of character development are apparent. These are reinforced by Sperry (1999) who views character as:

...that dimension of personality that describes how individuals conduct themselves in interpersonal and organizational situations and is shaped through the simultaneous development of self-identity and self-regulation. When this learning or socialization process is reasonably adequate and without significant

developmental arrests, adaptive, creative, and socially responsible or virtuous behavior – called “good character” – can be expected. (p. 213)

The important point being made by Hogan and Sinclair (1997), Cloninger (1998), and Sperry (1999) is that character is a result of development. Individuals are able to develop their character and this exploratory study investigated the usefulness of the TCI as a tool to facilitate this development.

The Challenge of Assessment

From the era of the ancient Chinese and Greek philosophers, through the development of the Enneagram and up to modern developments such as the Myers-Briggs Type Indicator and the NEO PI-R, methods to assess personality have been a focus of considerable attention, as mentioned earlier. However, even with all of this history and diligent work, frustration with the assessment process is evident. As mentioned earlier, according to Sperry (1999), some corporate clients of consultants are seeking help with character related issues among some executives. The reason is that a significant number of executives in corporate America will fail, due to character disorders (Hogan & Sinclair, 1997).

According to Hogan and Sinclair (1997), negative personality qualities often co-exist with well-developed social skills and are difficult to detect during an interview. This ability to manifest multiple personas in response to the circumstances of the moment has been called post-modern identity by Gergin, (as cited in Sperry, 1999). This phenomenon is also referred to as impression management.

According to Rosenfeld, Giacalone, and Riordan (1995): “...impression management is a broad phenomenon in which we try to influence the perceptions and

behaviors of others by controlling the information they receive” (p. 7). Though impression management is a relatively new area of study within the field of social psychology, several assessment instruments have been developed to measure it. The instruments discussed by Rosenfeld et al. (1995) include the Self-Monitoring Scale, the Balanced Inventory of Desirable Responding, the Self-Presentation Scale and the Measure of Ingratiation Behaviors in Organizations Settings Scale. The practice of impression management is universal and not inherently negative or positive. Postmodern psychologists maintain that we contain many selves and that the proper response to the suggestion ‘Get in touch with yourself’ is, ‘which one?’.

As Sperry (1999) says: “...unfortunately, success in the art of master of impression management is highly regarded by some in corporate America....[However], [a]n individual with a mature character would presumably not be a master of impression management but instead present a consistent style of being.” (p. 213)

In 1931, an article written by B.W. Walker Watson appeared in the English publication, *The Journal of the Institute of Public Administration*. The title was Character Assessment in State Service. Watson artfully summarized the status of the assessment process in the British Civil Service and proceeded to offer suggestions for improvement. The essence of his thesis is that the “Service” should be measuring the full character of a man (the only mention of women in the article is in a note at the end by Sir Stanley Leathes) rather than the partial man that had been the practice since the early nineteen-twenties. He critiqued the existing system in detail and then offered his own criteria consisting of ten complementary pairs: appearance and manner, health and energy, zeal and conduct, intelligence and initiative, general culture and self-expression,

departmental experience and knowledge, output and quality of work, judgment and courage, organization and execution and control and supervision (Watson, 1931).

Watson (1931) included an explanation of each of his suggested categories. For example on “judgment and courage”, he said:

Judgment without courage means non-committalism or inability to issue decisions; courage without judgment is mere irresponsibility; but judgment with courage is the sound heart of character. Unfortunately, the Service atmosphere tends to sap the courage of conviction. Those who have it not discourage it in those who have, and this attitude breeds a policy of “safety first” which easily degenerates into undue cautiousness, then into nervousness and finally into a blind acceptance of precedent. To exalt courageous judgment as a desirable feature in departmental life would be to drive a breath of tonic air down the corridors and into the pigeon-holes of the Service. This heading therefore needs no apology. (p. 308)

We are not told if the Service adopted Watson’s suggestions. However, for this work he won the Haldane Essay Competition for 1930-1931. Watson’s nomination for the prize came from Sir Stanley Leathes, K.C.B., who, with permission from the Journal editor, appended a note to the article which read: “. . . I must take the opportunity of saying that I trust that the suggestions made therein will receive the most careful attention of the authorities. I consider the analysis masterly and I specially applaud the pairing of qualities which balance, correct, and complete each other” (p. 311). Sir Stanley went on to comment as to the difficulty in assessing people and the need for reflective judgment, concluding that: “After all, a human being is one and indivisible. The analysis is only a

means to the end, which is the just estimation of each man or woman as a whole (Watson, 1931).

Two measures of an assessment instrument are its reliability and validity. An instrument is reliable if the data are consistent. Reliability has three basic forms that can be framed as questions related to consistency: Are the results essentially the same in subsequent administrations? To what extent do the individual items in the instrument consistently measure the same underlying characteristic? Among the ratings of a group of raters, to what extent is there consistency? These forms of reliability are frequently referred to as test-retest, alternate forms, and internal consistency reliability respectively (Huck & Cormier, 1996).

An instrument is valid if it actually measures what it was designed to measure. According to Huck and Cormier (1996), the word *accuracy* best describes validity. Three forms of validity referred to frequently are content, criterion-related, and construct validity. Content validity consists of subject matter experts reviewing the instrument and offering their professional opinion as to whether or not the content of the instrument accurately covers the claimed domain. An instrument is said to have criterion-related validity if scores correlate favorably with scores of a relevant criterion variable. To establish construct validity, scores should correlate favorably with certain measured variables and should not correlate with other variables, relative differences among groups can be predicted prior to administering the instrument, and/or factor analysis can be performed on scores from the instrument. Reliability is a necessary but not sufficient condition of validity (Huck & Cormier, 1996).

In the above example of the evaluation instrument being used by the British Civil Service, it seems that Watson and Sir Stanley were primarily concerned with the validity of the instrument being used at the time the journal article was written.

It is clear that historical attempts to assess character have been difficult and frustrating. However, significant progress seems to have been made by Cloninger and his team with the development of the Temperament and Character Inventory. According to Sperry (1999):

One very promising line of research that may have significant implications and applications to the field of consulting psychology is [Cloninger's] three dimensions of character – self [directedness], cooperativeness, and self-transcendence [that are] incorporated into Cloninger's seven-factor model of temperament and character and are measured by the Temperament and Character Inventory. (p. 214)

Sperry (1999) also states that:

When the three components of self-responsibility, cooperativeness, and self-transcendence are reasonably well developed in executives, I would contend that such executives will act with integrity and manifest good judgment in all situations and circumstances, even when under considerable duress or temptation or when doing the right thing is not in their best interest. (p. 213)

However, it is interesting that, to date, the only effort to use the TCI for the purpose of facilitating personal growth within organizations such as corporations, has occurred in Europe, according to one of the developers of the TCI, T.R. Przybeck, (personal communication, August 22, 2000).

Cloninger's Theories of Temperament and Character

The emphasis of Cloninger's work is mostly in the realm of pathology. His numerous journal articles reflect the biologically based research he and his colleagues have performed at the Center for Psychobiology of Personality at Washington University, St. Louis, Missouri. Cloninger began work on the structure of personality in the mid-1980s with the objective of developing a general model to explain the differences between patients with Briquet's Syndrome (somatization disorder) and generalized anxiety disorder. His observations that patients with somatic anxiety had impulsive aggressive personality traits, whereas patients with generalized cognitive anxiety had obsessive-compulsive personality traits, led him to seek a general model that applied to both normal and abnormal personality. To guide the rational development of descriptors for temperament, Cloninger developed a neurobiologically based operant learning model. The resulting temperament dimensions became known as Novelty Seeking, Harm Avoidance and Reward Dependence. Each of these had four subscales, including Persistence as a subscale of Reward Dependence. Later, he concluded through factor analysis, that Persistence should be separated and established as the fourth dimension of temperament (Cloninger et al., 1994). From this early work, an assessment instrument was developed by Cloninger and his group, referred to as the Tridimensional Personality Questionnaire (TPQ). The TPQ has been used by investigators both in the U.S. and in other countries, having been translated into several languages (Cloninger et al., 1994). According to Cloninger et al. (1994), validation studies have been published in Japanese, Czech, Serbian, Italian and Austrian and the temperament dimensions of the TPQ for all countries studied have been shown to be robust.

The model represented by the TPQ proved to work well in describing traditional subtypes of personality disorder. However, it was unable to distinguish whether someone had any personality disorder. With the help of studies comparing the TPQ to other personality inventories, additional aspects of personality not accounted for by its temperament dimensions were identified. Included in these were measures of mature self-directed behavior, cooperativeness, and self-transcendence (Cloninger et al., 1994). These three became the character dimensions in the succeeding instrument, The Temperament and Character Inventory.

According to Cloninger et al. (1994), the differences in the automatic emotional reactions and habits of the temperaments contrast with the individual differences in self-concepts about goals and values of the character dimensions. These characterological self-concepts modify the significance or meaning of what is experienced, thereby also changing emotional reactions. Therefore, the three character dimensions involve both an intellectual perspective about self/non-self boundaries as well as an emotional perspective.

The descriptive terms used for individuals scoring high on the character dimension of self-directedness include responsible, purposeful, resourceful, self-accepting, and disciplined; descriptors for those scoring low on this dimension include blaming, aimless, inept, vain, and undisciplined. Descriptors for high scorers on the cooperativeness dimension include tenderhearted, empathic, helpful, compassionate, and principled; for low scorers, intolerant, insensitive, hostile, revengeful, and opportunistic. Those scoring high on self-transcendence are described as self-forgetful, transpersonal,

spiritual, enlightened, and idealistic, while low scorers are unimaginative, controlling, materialistic, possessive, and practical (Cloninger, 1998).

According to Cloninger et al. (1994):

self-directedness is based on the concept of the self as an autonomous individual; from this self-concept are derived feelings of personal integrity, honor, self-esteem, effectiveness, leadership, and hope. Likewise, cooperativeness is based on the concept of the self as an integral part of humanity or society; from this self-concept are derived feelings of community, compassion, conscience, and charity. Furthermore, self-transcendence is based on the concept of self as an integral part of the universe and its source; from this self-concept are derived feelings of mystical participation, religious faith, and unconditional equanimity and patience.

(p. 16)

Of all the definitions the researcher has discovered for the term character, the definitions from Cloninger et al. (1994) are more appropriate for this study than the others. All of the terms the researcher usually associates with character, such as integrity, compassion, humility, trustworthiness and courage, are included in Cloninger's definitions, either directly or as synonyms, although the use of non-traditional terminology to describe character resulted in some confusion by some participants in this study, as will be discussed in Chapter 4, Data Collection and Analysis.

Cloninger and his group have created five versions of the Temperament and Character Inventory. These are the TPQ and the TCI discussed above, the TCI 125 which is a short form of the 240 item TCI, the Temperament and Character Structured Interview, (TCSI), and the Junior Temperament & Character Inventory. Table 1

summarizes the various versions of the inventory as well as the scope, age group, and respondent for each version (Cloninger et al., 1994).

Table 1

Different Versions of the Temperament and Character Inventory

<u>Title</u>	<u>Scope</u>	<u>Age Group</u>	<u>Respondent</u>
Tridimensional Personality Questionnaire	Temperament (Only)	15+	Self
Temperament and Character Inventory	Temperament and Character	15+	Self/Informant
Temperament and Character Inventory 125	Temperament and Character	15+	Self/Informant
Temperament and Character Structured Interview	Temperament and Character Interview	15+	Interviewer
Junior Temperament and Character Inventory	Temperament and Character	7-14	Self

The TCI has been tested with college students, general population groups and groups of clinical inpatients and outpatients. The sample from the general population included 150 women and 150 men. The results for the temperament dimensions were similar to those from a national area probability sample of 1,019 adults, suggesting that the sample was representative of the general adult population. Those who administered the TCI and those who recruited participants were blind to the personality model measured by the TCI. The mean age of the sample was 34.1 years, with a standard deviation of 12.9 and a range of 18 – 91. The ethnic mix was 114 whites, consisting of 62 men and 52 women, and 186 nonwhites, consisting of 88 men and 98 women. The internal consistency for the temperament dimensions were .76 to .86 and for the character dimensions .84 to .89 (Strack & Lorr, 1994).

According to Cloninger and Svrakic in their chapter in Strack and Lorr's book, *Differentiating Normal and Abnormal Personality* (1994), construct validity was shown using factor analysis on both the temperament and character dimensions. This analysis identified seven factors, with percents of variance of 14.2, 12.0, 10.1, 9.0, 7.6, 6.0 and 5.7, accounting for 65.0% of the total variance. The derived seven-factor solution corresponded closely with the temperament and character dimensions (Strack & Lorr, 1994).

Figure 3 depicts a schematic of Cloninger's model of the seven dimensions of personality. Table 2 and Table 3 show the summaries of the descriptors of high and low scorers on the temperament and character dimensions.

Figure 3 The Seven-Factor Model of Human Temperament and Character (Cloninger, 1998)

Table 2

Descriptors Of Individuals Who Score High And LowOn The Four Temperament Dimensions of the TCI

Temperament	<u>Descriptors Of Extreme Variants</u>	
<u>Dimension</u>	<u>High</u>	<u>Low</u>
Harm Avoidance	Pessimistic	Optimistic
	Fearful	Daring
	Shy	Outgoing
	Fatigable	Energetic
Novelty Seeking	Exploratory	Reserved
	Impulsive	Rigid
	Extravagant	Frugal
	Irritable	Stoic
Reward Dependence	Sentimental	Critical
	Open	Aloof
	Warm	Detached
	Sympathetic	Independent
Persistence	Industrious	Lazy
	Determined	Spoiled
	Ambitious	Underachieving
	Perfectionistic	Pragmatic

Table 3

Descriptors Of Individuals Who Score High And Low

On The Three Character Dimensions of the TCI

Character	<u>Descriptors Of Extreme Variants</u>	
<u>Dimension</u>	<u>High</u>	<u>Low</u>
Self-Directedness	Responsible	Irresponsible
	Purposeful	Aimless
	Resourceful	Ineffective
	Self-Accepting	Pretender
	Self-Disciplined	Self-Defeating
Cooperativeness	Accepting	Intolerant
	Empathetic	Insensitive
	Helpful	Self-Centered
	Compassionate	Revengeful
	Principled	Opportunistic
Self-Transcendent	Self-Forgetful	Self-Conscious
	Transpersonal	Controlling
	Spiritual	Materialistic
	Enlightened	Possessive
	Idealistic	Practical

During the 1990s, Cloninger and his colleagues continued to further develop the theories that resulted in the seven-factor TCI. Among these developments is their quantitative characterization of the normal personality as a complex adaptive system. A comprehensive model of personality development has been identified consisting of fifteen specific steps, including interactions among the five components of each of the three dimensions of character. These developmental steps are compared with the stages of development identified earlier by Piaget, Freud and Erikson, and are summarized in Table 4 (Cloninger, Svrakic, & Svrakic, 1997).

Several doctoral dissertations have incorporated the work of Cloninger and his colleagues. Examples include a study by James Upton that compared the NEO PI-R instrument with several other instruments, including Cloninger's Temperament and Character Inventory (Upton, 1998), a study by Claudia Sannibale that evaluated Cloninger's typology of alcohol abuse as predicted by the Temperament and Character Inventory (Sannibale, 1995), and a study by Sarah Deitsch that reconceptualized the dimensions of the Temperament and Character Inventory in terms of the Five Factor model to perform a comparative analysis (Deitsch, 1996).

The Study of Effective and Successful Managers

In the late 1980s, Fred Luthans, of the University of Nebraska, and two colleagues, Richard Hodgetts and Stuart Rosenkrantz, studied approximately 300 managers from a variety of organizations in an attempt to determine the true nature of managerial work. The study led them to identify four main activities performed by managers: communication, traditional management, networking and human resource

Table 4

Comparison of Different Descriptions of Personality Development

<u>TCI Development Step</u>	<u>Piaget</u>	<u>Freud</u>	<u>Erikson</u>
1) Trust	Sensorimotor (Reflexive)	Oral (Passive)	Trust
2) Confidence	Sensorimotor (Enactive)	Anal (Negativistic)	Autonomy
3) Obedience	Self-Object Differentiation	Early Phallic	
4) Purposefulness	Intuitive	Late Phallic (Exploratory)	Initiative
5) Empathy	Operational (Concrete)	Latency (Conforming)	
6) Conscientiousness	Operational (Abstract)	Early Genital (Conscientious Work)	Identity
7) Resourcefulness			
8) Generosity		Later Genital (Social Maturity)	Intimacy
9) Spirituality			
10) Humility			
11) Compassion			Generativity
12) Enlightenment/Joy			
13) Integrity/Peace			Integrity (table continues)

Comparison of Different Descriptions of Personality Development

<u>TCI Development Step</u>	<u>Piaget</u>	<u>Freud</u>	<u>Erikson</u>
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14) Wisdom/Pure Love			
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15) Creativity/Goodness			
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management. Different managers devoted different amounts of their time to these activities and a key part of the study was to identify these differences (Luthans, 1988).

An additional key part of the study by Luthans (1988) was to relate the data to performance problems in organizations. The approach used to accomplish this was to identify “successful” managers, those who were achieving rapid career success and “effective” managers, those who were achieving high quantity and quality through the people in their organizations and to compare how individuals in these two groups spent their time. The results were quite interesting in that the successful managers spent a far greater amount of time networking and much less time communicating and performing human resource activities than the effective managers. The percentages are shown in Table 5 (Robbins, 2000).

However, Luthans et al. found that a relatively small amount, less than 10%, of the managers in their sample were both among the top third of successful managers and the top third of effective managers. These managers used a fairly balanced approach in terms of their activities. It appears that managers who can strike a balance between all four activities may be able to meet the criteria for both effective and successful managers (Luthans, 1988)

According to Luthans (1988), the implications of their study are that the traditional view that promotions are based on performance, as the management textbooks and company policy manuals would have us believe, may be false in many instances. The cynics may be correct in stating that for many managers, social and political skills are the key to advancing in organizations and that the ability to provide quality and

quantity work and keep staff members motivated and committed is typically not appropriately encouraged and rewarded.

Table 5

Time Allocation of Average, Successful and Effective Managers

	<u>Traditional</u>	<u>Communication</u>	<u>Human Resource</u>	<u>Networking</u>
	<u>Management</u>		<u>Management</u>	
Average Managers	32%	29%	20%	19%
Successful Managers	13%	28%	11%	48%
Effective Managers	19%	44%	26%	11%

Luthans et al. (1988) offer the traditional suggestions of modifying the reward structure by implementing a performance-based appraisal system. They also suggest that if organizations are sincerely interested in improvement, they should develop cultural values that support and reward effective performance, not only successful socializing and politicking.

However, the method of changing an organization's culture is not addressed by the Luthans study. Perhaps addressing the individual character issues and their relationship to effective leadership within organizations is at the heart of the solution to most organizational problems. A commitment by the organization to placing individual character first in the selection and promotion processes and in personal development programs may make the greatest contribution to establishing an organizational character that consistently encourages effective behavior as it has been defined by Luthans and his colleagues. To explore this matter further, the following is a brief review of some of the literature on the relationship between character and leadership. This literature confirms the importance of paying attention to character issues in leadership selection and development.

Character and Leader Performance

The relationship between character and leadership has been recognized from at least the time of the ancient Greeks. Plato wrote in the *Republic*, that character is the defining qualification of the ruling class, (as cited in Hunter, 2000), stating:

... the community suffers nothing very terrible if its cobblers are bad and become degenerate and pretentious; but if the Guardians of the laws and state, who alone

have the opportunity to bring it good government and prosperity become a mere sham, then clearly it is completely ruined. (p. 5)

Similarly, Proverbs 29:2 (National Edition), states: “When the righteous are in authority, the people rejoice: but when the wicked beareth rule, the people mourn.” Montesquieu reasoned in 1748 (as cited in Hunter, 2000), that the essential component of true justice is virtue and its absence in monarchs or despotic governments leads to catastrophe.

Adam Smith, (as cited in Covey, 1991), proclaimed in his book *Moral Sentiments* that: “If we ignore the moral foundation and allow economic systems to operate without moral foundation . . . , we will soon create an amoral, if not immoral, society and business” (p. 90).

Much of contemporary literature on ethics and morality in business attempts to highlight the importance of incorporating ethics into everyday business decisions. To emphasize this importance, Costa (1998) cites several examples of unethical behavior by organizations: Swiss banks colluding with the Nazis in the handling of assets stolen from Holocaust victims, Nike’s brutalization of workers in the sweatshops of its subcontractors, and Microsoft’s unfair domination of the market. Among Costa’s suggestions for companies’ boards is to address the question of “What are the ‘character’ components in evaluations for CEO succession?” (Costa, 1998).

A study by Brown, Hartman and Trevino (2000), of senior executives and ethics officers explored attitudes about ethics in organizations. The executives they spoke with said that ethical leadership is good for business and helps reduce turnover of employees by providing a place where people enjoy working. The executives in this study recognized the importance of role modeling by ethical leaders and the value of the

imitative behavior by others in the organization. Brown et al. (2000) also pointed out the practical aspect of ethical behavior in that it saves on legal fees.

According to management consultant H. Skipton Leonard, managers with faulty characters may have difficulty managing their feelings, drives and impulses, rendering them unable to use their talents and skills at critical times. Though others see the dysfunctionality in these managers, the managers themselves typically do not see it. This frequently results in a lack of trust from subordinates, peers and superiors that the managers will act appropriately and with integrity under difficult circumstances (Leonard, 1997).

A particularly interesting aspect of the relationship between leaders' character and the success of their organizations is provided by Jim Collins, who sought to determine how companies transform from being good companies to being great companies. Collins' team of researchers reviewed 1,435 companies that appeared in the *Fortune* 500 from 1965 to 1995 from which they selected eleven that met the team's criteria of having made the leap from good-to-great, based on the performance of the companies' share price over a period of fifteen years. They then read thousands of articles on these companies and interviewed numerous company executives to analyze strategy, structure, and management issues. The results were synthesized to identify the determining factors of good-to-great transformations. Among the conclusions of the study was that all eleven companies had been led during the transformation by people whose characteristics included a combination of personal humility and tremendous professional will (Collins, 2001).

Comparing the results of Collins' study with Cloninger's dimensions of character, it is easy to find the quality of humility in Cloninger's character dimensions of cooperativeness and self-transcendence and the quality of professional will in the dimension of self-directedness. Collins (2001), acknowledges that the results of his study are counterintuitive and countercultural given the widely held perception that western companies experiencing significant transformations are frequently lead by larger-than-life personalities rather than by people who prefer to avoid the spotlight. If Collins' conclusions are accurate, perhaps the formal study of executive character may lead to the selection and training of executives that could benefit many organizations.

Executive Coaching

A key part of this exploratory study was the investigation of the training required for coaches to ensure the proper use of the TCI. The researcher teamed with three executive coaches during this study to work with executive participants. Activities included the administration of the TCI, discussions of results with the executive respondents and development and implementation of action plans. Toward the conclusion of the study, the coaches and executive participants were interviewed to obtain their views on the usefulness of the TCI and for their suggestions to improve the various steps in the process.

An article in Fortune magazine states that if ever stressed-out corporate America could use the services of good coaches, it is now (Morris, 2000). According to Kilberg (2000), the pace in modern organizations is unrelenting and the people in those organizations are under constant pressure, challenging the physical and emotional resources of those at all levels.

According to Morris (2000), trust in big companies is at an all-time low, with baby boomers having been burned and generation X not expecting companies to take care of them. For many companies, the practice of management has changed, from the traditional role of coach and mentor to one where direction comes down by e-mail. However, regardless of how much the work world has changed, people continue to need meaningful interaction and if they cannot find it within the organization, they will likely outsource it (Morris, 2000).

Enter the executive coach. Some individual coaching is performed at the request of organizations. Kiel, Rimmer, Williams and Doyle (1996), report that among the individual clients of their consulting firm for whom they provide coaching services, approximately one fourth of their clients have been identified as candidates for advancement, half are seen as solid senior players and the final fourth have been identified as in trouble and are possible derailment candidates.

Kilberg (1996), has defined executive coaching as follows:

... executive coaching is ... a helping relationship formed between a client who has managerial authority and responsibility in an organization and a consultant who uses a wide variety of behavioral techniques and methods to help the client achieve a mutually identified set of goals to improve his or her professional performance and personal satisfaction and, consequently, to improve the effectiveness of the client's organization within a formally defined coaching agreement. (p. 142)

According to Kilberg (1996), some of the typical goals of executive coaching are to increase the range, flexibility and effectiveness of the client's behavioral tools, the

client's capacity to manage an organization, the clients ability to manage the tensions between work, family, community, and personal needs and demands and to improve the client's self-awareness, self-management, and social competencies as well as the effectiveness of the organization or team.

Coaching strategies vary with the individual consultant and consulting organization. However, some of the strategies and techniques that are common to many executive coaches include forming a relationship with the individual client, using assessment instruments such as the Myers-Briggs Type Indicator or the NEO PI-R, using a multi-rater system of feedback to gain a broad base of feedback about behaviors and effectiveness, counseling the client on those areas where development is needed based on the feedback, helping the client develop the discipline needed to practice new competencies and facilitating the support structure within the organization to ensure success (Peterson, 1996).

Given the traditional role of executive coaching according to Kiel, et al. (1995), Kilberg (1996), and Peterson (1996), the researcher suggests that having a tool available for the purpose of increasing the self-awareness of executives' characters could add significant value to the coaching process. This study has shown that the TCI provides a basic tool to meet this requirement.

Coach Training

The growing popularity of coaching has resulted in an effort to establish professional standards for those in the practice. One organization promoting certification of executive coaches is The International Coach Federation, headquartered in Washington, DC. The Federation currently has 148 chapters in 31 countries and for those

not located near an existing chapter, the Federation offers a virtual chapter on its website (Federation, 2001)

Training may be obtained from organizations such as Coach U, the Coaches Training Institute, and others. Coach U offers classes conducted by e-mail and teleconferencing (Vilas, 2000). The Coaches Training Institute is located in San Rafael, California and offers courses worldwide. Attending classes through the World Wide Web is an option offered by many organizations that train coaches. The Coaches Training Institute is claimed to be the largest nonprofit educational institution for the profession of coaching, with programs delivered nationwide (Whitworth et al., 1998).

Approximately 2,400 members belong to the International Coach Federation, which estimates that the total number of coaches is approximately 10,000. Most coaches develop business by means of referrals. Once a relationship is formed with a client, compensation for three or four thirty to sixty minute phone conversations can range from \$600 to \$2,000 per month on an ongoing basis, with some coaches charging as much as \$400 per hour (Morris, 2000).

According to Vilas (2000) and Whitworth et al. (1998), training for coaches has become a prominent part of professional practice. By investigating the nature of the training that is required for coaches to ensure the proper and effective use of the TCI, and by demonstrating the usefulness of the TCI process for leadership development, this study has likely provided an additional set of skills for and has expanded the knowledge base available to, coaches regarding Cloninger's theories of character assessment.

Clearly, the field of executive coaching is growing and offers the opportunity for trained people to make a valuable contribution to the growth of others and make a

comfortable living in the process. A key part of the training of executive coaches is recognizing when the nature of the client's issues call for professional therapy and that a referral to a trained psychotherapist is appropriate (Kilburg, 2000).

Summary of Chapter II

During at least the past four millennia there are many examples of efforts to sort and categorize people by character type. These include using astrological signs and analyzing various parts of human anatomy.

Modern researchers draw from the fields of psychology and biology in their studies of human character, temperament and personality. One construct that has emerged from these modern studies is that character is acquired through socialization and develops over time. Therefore, individuals, including leaders in organizations, are able to further develop their characters.

Those interested in furthering the development of their character may find it helpful to have a tool that allows them to become more aware of their character for the purpose of helping them identify which character dimensions they might like to improve. Specifically, they may find the instrument that was used for this study, the Temperament and Character Inventory (TCI), or a variant, useful for this purpose. The TCI was developed by Robert Cloninger and colleagues at the Center for Psychobiology of Personality at Washington University, St. Louis, Missouri. Though developed for clinical use, the TCI was normed using samples from the general adult population.

Using two respondent groups, one consisting of executives, the other consisting of executive coaches, this exploratory study investigated how leaders, such as corporate executives, perceive the TCI as an effective instrument for enhancing their awareness of

their characters for the purposes of personal and professional growth and improving their leadership skills. The following chapter describes the details of the research design and methodology used for this study.

Chapter III: Research Design and Methodology

This study was designed to explore the following research questions:

1. How do leaders, such as corporate executives, perceive the TCI as an effective instrument for enhancing their characters for the purposes of personal and professional growth?
2. In what ways does the TCI assist corporate executives in enhancing their self-awareness?
3. In what ways is the TCI an effective instrument for improving the leadership skills of corporate executives?

This study included two groups of respondents. One group is referred to as the executive group, consisting of seven members who are senior administrators and executives who desire to continue their personal development by improving the level of their personal character awareness. The executive group consented in writing to the requirements of the study, using the form entitled *Consent Form, Executive Group*, included as Appendix A. In signing this form, members of the executive group acknowledged their having been informed that they would be completing the TCI instrument, receiving their scores, have the opportunity to develop an action plan and be interviewed by the researcher to determine their perceptions of the usefulness of the process for improving self-awareness of their character and improving their personal and professional skills. The consent form also informed them that the study may lead to an

enhanced understanding of the relationship between character and leadership development.

The other group is the coaching group, consisting of three coaches who advise executives and senior administrators on personal development issues. The coaching group consented in writing to the requirements of the study using the form entitled *Consent Form, Coaching Group*, included as Appendix B. By signing this form, members of the coaching group acknowledged their having been informed of the requirements of their participation in the same manner as were the executive group with the additional requirements of working with their assigned executive group participants in providing those participants their TCI results and assisting them in developing their action plans, while maintaining the confidentiality of the executive group information. The individuals in the coaching group worked many hours as part of their participation in this study. In addition to completing their own TCI process, each coach worked with two or three executive participants, meeting with them personally and by phone to discuss the executive participant's TCI results and to facilitate the development of the participant's action plan.

The TCI was administered to all participants in this study. A copy of the TCI is included as Appendix C. Each participant's TCI was scored and the results summarized and interpreted, using software designed for this purpose by the developers of the TCI. These scores, summaries and interpretations were shared with individual participants as part of a working session that included the participant, the assigned coach and the researcher. At the option of the participant, any character dimensions the participant identified for improvement were highlighted and with the help of an assigned coach and

the researcher, an action plan was created and implemented. Afterward, the executive participants shared their perceptions of their experience to determine the usefulness of the TCI and the coaching process. These perceptions were captured during interviews conducted by the researcher, described in greater detail later in this chapter.

Concurrently with obtaining the perceptions from the executive group, coaches involved in the administration and interpretation of the TCI shared their perceptions of their experience and recommended specific training methods and procedures to improve the effectiveness of the overall process. These perceptions by the coaching group were captured during interviews conducted by the researcher, described later in this chapter.

To provide training for the coaches participating in this study, the researcher provided individualized instruction consisting of background material on Cloninger's theories, directions for administering the TCI, and scoring procedures. In order for the coaches to better understand the process, prior to participating in this study the coaches were required to complete the TCI and undergo the same process experienced by the executive participants.

Assumptions

An assumption of the study is that the TCI is an appropriate instrument for the purpose of assessing character. The TCI was normed using the general adult population. The reliability and validity of the TCI has been demonstrated for clinical use by researchers from the Center for Psychobiology of Personality located at Washington University, St. Louis, Missouri (Cloninger et al., 1994), though its use with executive populations for other than clinical purposes was not assessed prior to this study.

Another assumption of the study is that executive respondents were identified who met the qualifications, and were willing to participate honestly in the study.

Similarly, the assumption was made that coaching respondents were identified who met the qualifications, were willing to participate in the study, and willingly underwent the required training in the use of the TCI.

An additional and overarching assumption of this study is that character indeed matters and that the development of character is important for leadership development.

Selecting Respondents

A combination of approaches was used to select respondents for the executive group. One approach was to invite individuals to participate in this study who are known to the researcher to be current or former executives or senior administrators interested in personal growth issues. The main reason for selecting known individuals is to minimize the risk of selecting participants who may not have had a sincere desire to pursue personal growth and further develop their leadership skills through enhanced personal character awareness.

Selection Criteria

The specific criteria for selection to the executive group is that individuals must have had a minimum of five years experience in executive or senior administrator positions, an interest in furthering the development of their leadership skills through enhanced personal character awareness, and must have been willing to participate in the study. The minimum of five years experience seems to the researcher a reasonable amount of time to insure that the respondents had adequate exposure to the type of issues executives and senior administrators encounter in the course of their duties. From this

pool of potential participants, a group of seven respondents for the executive group was selected.

Participants for the coaching group were identified and invited to participate from among coaches who advise executives and senior administrators on personal and professional development issues. Coaches in organizations such as The Krohne Connection, the Center for Creative Leadership, Blanchard Training and Development, Inc. and the Professional Coaches and Mentors Association (PCMA) were contacted to determine their interest in participating in the study. The result was that of the three coaches who participated in this study, one was enrolled through contact with the PCMA and two coaches were enrolled through a personal connection with the researcher.

The specific selection criteria for the coaching group included a minimum of three years experience in the field of executive coaching, an interest in assisting executives to further develop their leadership skills through character development, and a willingness to participate in the study, including dedicating the time required to complete their own TCI process as well as the time required to work with several executive participants. The minimum of three years experience seemed to the researcher to be a reasonable amount of time for coaches to have had exposure to a variety of client-related personal and professional development issues that were similar to those anticipated in this study. These include providing assessment results to clients and developing action plans for improvement.

Administering the Instrument

The Temperament and Character Inventory is a paper and pencil assessment instrument containing 240 questions in a true or false format. The cover sheet instructs

the participant to read the statements and decide which choices best describe her or him and to describe the way he or she usually or generally acts and feels, not how they are feeling at the time they are completing the instrument. Respondents were also instructed to read each statement carefully, to not spend too much time selecting an answer, and to answer all questions.

Once the TCI was completed, it was scored by the researcher in accordance with the TCI Manual and specialized software provided by the developers of the TCI. For the coaching group the results were then presented by the researcher. For the executive group the results were presented by both the researcher and the assigned coach. The results included the participant's raw scores, T scores and percentile scores on the various temperament and character dimensions as well as a description of the significance of the scores.

The developers of the TCI included validity scales for the purpose of identifying manipulation, inaccuracy or inattentiveness by the person completing the instrument, particularly in circumstances where participants have incentives to misrepresent themselves (Cloninger et al., 1994). However, for the purposes for this study, the researcher elected to not include the data from the TCI validity scales as part of the results provided to the study participants. There are three reasons for this decision. The first is the motivation of the participants to take advantage of the opportunity to see themselves in a new way through their TCI results. A key assumption of this study is that participants' results reflect honest self-perception. The second reason is the concern that participants may focus on the validity scales results at the expense of the self-report data. The third reason is the controversy associated with the accuracy of validity scales in

general. According to Piedmont (1988), though defensiveness, faking and social desirability may limit the usefulness of self-reports, there is considerable evidence supporting the trustworthiness of self-report data and notably, the NEO PI-R, an instrument used widely to assess personality, does not include validity scales. Finally, Cloninger et al. (1994), recommend not interpreting the TCI validity results with patients except under prescribed therapeutic conditions.

An example of TCI results is included as Appendix D. At the option of the participant, character dimensions identified by the participant for improvement were discussed in more detail and the participant, the coach and the researcher collaboratively created an action plan, described in greater detail below.

Action Plan

The researcher and the assigned coach worked as a team in discussing the results of the assessment with the participant. The emphasis during these discussions was on aspirations the participant may have to reach a higher level of development. As further described below, at the option of the participant, an action plan was developed to address how the participant could achieve her or his developmental goals. This plan was a collaborative effort involving the participant, the coach and the researcher. All of the coaches and six of the seven executive participants opted to create an action plan. The action plan feature of this study is a unique application of using the results of the TCI, and is not part of the TCI process as designed by the developers of the TCI.

Though each plan was customized for the individual participant, all plans included the same categories of information. As suggested by Lombardo and Eichinger (2000), this included descriptions of the specific areas the participant identified for

improvement, the desired level of development after completion of the actions, the likely causes of the current level of development identified by the participant, specific changes and adjustments, and recommendations for continuous improvement, including study material (Lombardo & Eichinger, 2000). An example of the action plan format is included as Appendix E.

The researcher remained in touch with all coaching and executive participants after the action plan part of the study was completed to encourage participants to focus on personal and professional development they may have experienced as a result of their participation in the study. This was done to encourage reflection on their experience prior to the next part of the study, which was the interview with each participant.

Interview Approach

Within a few months after discussing the TCI results with participants, each was interviewed by the researcher. These interviews were unstructured, open-ended and informal and were tape recorded and transcribed by the researcher. According to Schwandt (1997), this form of interviewing is used extensively in qualitative studies as it allows the most flexibility and responsiveness to emerging issues. Phrasing questions in an open-ended manner helps in understanding what respondents are thinking before beginning the process of focusing the questioning (Rubin & Rubin, 1995). It has become increasingly common in this type of study to view the interview as a form of discourse between two or more speakers in which the meanings of questions and responses are contextually grounded and jointly constructed by interviewer and respondent (Schwandt, 1997). The guiding questions for the executive group are included in Appendix F.

To determine the perceptions of the coaches who participated in this study, the researcher interviewed the individual members of the coaching group who were involved in interpreting the TCI and helping clients develop action plans for continued personal development. These interviews were unstructured and used open-ended questions to explore the process of interpreting the TCI and to ask for suggestions on ways to best use the results. These interviews were tape recorded and transcribed as described earlier for the executive group. The guiding questions for the coaching group are included in Appendix G.

Data Analysis

According to Merriam (1988), data analysis is the process of consolidating, reducing and to some extent interpreting, the data collected during a study with the goal of coming to reasonable conclusions and generalizations. This study consisted of seven cases of executive participants and three cases of coaching participants. The data from the study consists primarily of the responses to the interview questions and the ensuing discussion with each participant in the study.

Data from the interviews were coded after transcriptions were complete. To assist in this process, a software package, The Ethnograph v5.0, was used to search the text and identify key words. After all of the data was collected, an analysis was performed leading to summary data for each case that was used for a cross-case comparison. The results of these analyses are included in Chapter 4, the summary, conclusions and recommendations in Chapter 5, and Appendices H and J.

Sources and dates were recorded for all interviews. Pseudonyms were assigned to all interview participants to maintain confidentiality. Though the coaches knew the

identity of executive participants, they agreed to maintain these identities in confidence. All data related to the study that contained confidential information was retained in a secure area by the researcher who was the only person with access to it. All confidential material, including tapes of interviews, will be destroyed one year after completion of the study. All written work is in accordance with the Publication Manual of the American Psychological Association, Fourth Edition (Davis & Parker, 1997).

Management of Work

As recommended by Davis and Parker (1997) the researcher maintained a journal in which the various work tasks were recorded. Work performed and decisions made were noted and suggestions from the researcher's advisor and committee members were recorded.

The schedule for the data gathering phase of this study began with approval from the USD Committee on the Protection of Human Subjects and continued for a period of approximately fifteen months.

Limitations of the Study

One limitation of the study is that participants in the executive group were selected in part for their willingness to participate in the study. This is a strength of the study in that these participants are people who were motivated to increase their self-awareness through character assessment. This is also a limitation in that these executive participants were not representative of all senior administrators and executives in the general population. Therefore, there are limitations on the generalizability of the results.

Variations in interventions due to the individualized action plans resulted in varied outcomes. This affected generalizability and is another limitation of the study.

An additional limitation is that respondents' answers to the questions on the TCI may reflect self-serving bias rather than actual character as determined by the TCI. To minimize this limitation, respondents were reminded that their responses to the questions on the instrument must be honest in order to obtain the most useful results.

Researcher bias may have additionally limited the generalizability of the study. This bias may have been reflected in the selection of the participants for both respondent groups in the study. It may also have affected the emphasis placed on various sections of action plans that were developed with the executive respondents. An effort was made to limit the effect of researcher bias by soliciting comments from the researcher's dissertation committee chair and committee members on decisions made and actions taken by the researcher during the course of the study. Additionally, since the study consisted of close involvement by the researcher and the executive and coach participants, they played a role in mitigating researcher bias through comments and suggestions during the ongoing dialogue.

An over-arching limitation of this study is the reliance on an instrument that uses words to convey meaning. According to Jacques Derrida (as cited in Roderick, 1993), all words are metaphorical. Participants may differ among themselves and may differ with the developers of the instrument as to the metaphorical meaning assigned to a given word, which may limit the usefulness of the results. To minimize this limitation, communication was as concise as possible and terms were defined.

Significance of the Study

The research questions for this study asked how an instrument known as the Temperament and Character Inventory may be perceived by leaders, such as corporate executives, as an effective tool to enhance their self-awareness of their characters for the purposes of their personal and professional growth and improving their leadership skills.

This study was significant in that participants enhanced their self-awareness of their personal character and developed, reflected on and for nine out of the ten participants who developed an action plan, began to act on their plans for improvement.

The executive group benefited directly, given that it was their self-awareness that was increased. The coaching group benefited both directly and indirectly. The direct benefit came from their experience in completing the TCI, reviewing the results, and working through their personal action plan. The indirect benefit came from learning that the TCI may be helpful to current and future clients who may benefit from such self-awareness.

To the extent the completed study demonstrated that self-awareness is increased through character assessment using the TCI and the processes, procedures and methods developed during this study, then by extension, this study may benefit anyone interested in increasing their self-awareness through personal character assessment using this instrument and these processes.

Summary of Chapter III

To answer the research questions, two groups of respondents were selected to participate in the study. One group, consisting of seven participants, are senior executives and administrators who completed the instrument, participated in the

development of an optional action plan and provided information on their experience.

The other group, consisting of three members, are professional executive coaches who, after experiencing the TCI assessment process, participated in the TCI results presentation to the executive participants, coached them in the development of their action plans and then evaluated their own experience as well as the experience of the executive participants, and provided suggestions for improvement to the process. The experiential information from both groups was captured through interviews by the researcher.

Among the assumptions made for this study were that the TCI is an appropriate instrument for assessing the character of participants and that participants could be identified who were qualified and willing to be part of the study.

This study has several limitations. These included selection of exceptionally motivated participants for the executive group who were not representative of all executives and administrators, variations of the responses from the various respondents, the possibility of misinterpretation of terms, and researcher bias in the selection of respondents. These limitations have affected the generalizability of the results of this study.

This study was significant for both the participating groups and perhaps others. The executive group benefited from the enhanced level of self-awareness and improvements to their character achieved through their participation in the study. The coaching group benefited in the same way as the executive group and gained an additional benefit through their understanding of the process developed during the study and how it may be applied in work with clients. Additionally, anyone interested in

increasing their self-awareness through personal character assessment may benefit given that the completed study shows that self-awareness is increased through character assessment using the TCI and the process developed during the study.

Chapter IV: Data Collection and Analysis

Self knowledge is central to being a successful leader (Bennis, Spreitzer, & Cummings, 2001). Trusted leaders all have one thing in common, they know themselves very well (Drapeau & Galford, 2002). This study investigated leaders' perceptions of the utility of using an existing instrument, the Temperament and Character Inventory, to enhance self awareness of aspects of personal character for the purposes of personal and professional growth and improving leadership skills.

Using assessment instruments for enhancing self-awareness as part of personal development programs is popular today. A variety of instruments are in use to enhance self-awareness of personality traits. However, according to Sperry (1997), though the theoretical and clinical literature on the part of personality known as character is extensive, empirical literature is not. As a result, information needed by individuals to facilitate development of this part of their personalities is frequently incomplete or not available.

Data Collection

This study used qualitative methods to investigate leaders' perceptions of the utility of using the TCI to enhance awareness of aspects of character for the purposes of personal and professional growth and improving leadership skills. Using the research methodology described in Chapter III, this study explored the following research questions:

1. How do leaders, such as corporate executives, perceive the TCI as an effective instrument for enhancing their characters for the purposes of personal and professional growth?
2. In what ways does the TCI assist corporate executives in enhancing their self-awareness?
3. In what ways is the TCI an effective instrument for improving the leadership skills of corporate executives?

The ten participants in this study completed the TCI and received their results. Nine of the ten participants created an optional action plan for improvement. Seven participants were in a group referred to as the executive group. Three of the ten participants were in a group referred to as the coaching group. Each member of the coaching group was assigned to perform executive coaching for two or three members of the executive group. Coaching was initiated at the time the executive participants received their TCI results and continued through the time the participant created the optional action plan.

Prior to starting their coaching assignments, each coach completed his or her own TCI assessment process, including completing the TCI, receiving the results from the researcher, and completing an action plan. Completion of the process served to prepare the coaches for their work with the executive participants by providing insight as to the strengths and weaknesses of the TCI and how it might be used to enhance personal character awareness for the purpose of leadership development. The coaches were able to evaluate their own TCI results to determine what personal benefits could be identified.

Each participant had the requisite experience, interest and willingness to participate as a member of his or her assigned group. All members of the executive group had a minimum of five years of leadership experience as an executive or senior administrator. They each expressed their interest in furthering the development of their leadership skills through enhanced personal character awareness, were willing to participate in the study, and agreed to the executive group consent form, an example of which is included as Appendix A.

Prior to their participation in the study, all members of the coaching group had a minimum of three years of coaching experience working with executives and senior administrators. Each coaching participant expressed interest in enhancing their personal character awareness and helping their assigned executive participants interpret their TCI results and construct action plans based on those results. All coaching participants agreed to the coaching group consent form, an example of which is included as Appendix B.

All participants were assigned pseudonyms and the descriptions of their backgrounds have been altered to maintain confidentiality.

Interviews with the executive participants were conducted to explore their perceptions of their experience with the TCI assessment process, including completing the TCI, reviewing results, developing their action plans, working with their coach, and noting any changes in their awareness of their personal character and how that awareness relates to their development as a leader. The guiding interview questions for the executive group are included as Appendix F.

Interviews with the coaching participants were conducted to determine their perceptions of their experience working with the TCI, their action plans and the action

plans of the executive participants they coached during the study. Additionally, the interviews were designed to explore the coaching participants' perceptions of the TCI and the assessment process as a useful coaching tool for the purpose of furthering leadership development. The guiding interview questions for the coaching group are included as Appendix G.

The following section introduces the participants in the study and discusses their experience with the TCI assessment process based on their interviews with the researcher. Pseudonyms have been used to preserve confidentiality. The participants' TCI scores appear in Tables H1 through H10 of Appendix H.

The Executive Group

Donald Newstead

Donald worked for nearly thirty years in marketing and manufacturing in Europe, the U.S. and Central America before retiring as a vice president of operations in the early 1990s. His high scores for each of the three character dimensions presented a challenge for Donald in creating an action plan for improvement. However, after considerable reflection, he created a plan based on those areas of his results that he found to be most interesting.

For Donald the TCI describes human character very well, encompassing what he describes as the three levels of self. The first level is the basic self, revealed by the dimension of self-directedness. The second is self as related to community or society, revealed by the dimension of cooperativeness. Finally, the third level is the self that is related to the universe or cosmic wholeness, revealed by the dimension of self-transcendence. For Donald, the TCI and Cloninger's theory of personality are unusual.

In Donald's experience a common practice in leadership writing and training is to focus on the individual or the relationship between leaders and society. It is uncommon to go beyond these and focus on the facets of self-forgetfulness, transpersonal identification and spiritual acceptance, as Cloninger has with his character dimension of self-transcendence, which for Donald, is the most interesting of the character dimensions.

According to Donald, cooperativeness is the most important dimension for personal professional success in a workplace context in western culture. However, he would like self-transcendence to be the most important and points out that it may be the most important in eastern cultures, agreeing with Cloninger et al. (1994) that character dimensions valued in the east may be considered naïve in the west, particularly those that emphasize spiritual values at the expense of material wealth.

Though he believes the TCI assessment process is effective, scoring high on all character dimensions presented a challenge for Donald in developing a plan for improvement. However, after careful reflection, he created a plan that focused on the character dimensions of self-transcendence and cooperativeness, plus the temperament dimension of harm avoidance.

Donald heartily recommends that friends and family undergo the TCI process that he experienced as a participant in this study. His one concern is maintaining confidentiality, particularly if the process occurs in an organizational setting. If a 360-degree process is used and input is solicited from various people including peers, direct reports and bosses, Donald believes that an action plan should be entirely personal. If a boss has input to an action plan, there may be an inclination to impose changes not of the participants choosing, compromising the value for the participant.

Donald's TCI scores were high for all of the character dimensions. Therefore, he felt he had more latitude in his selection of areas on which to work. He selected the lower scored sub-dimensions of cooperativeness and self-transcendence, which he felt he could do something about. Under cooperativeness he focused on ways to be less judgmental and critical of himself and others. Under self-transcendence he focused on being more patient and less self-conscious.

Donald also focused on the sub-dimension of worrying, which is under the temperament dimension of harm avoidance. By focusing on the what he believes are the reasons for his worrying, he expects to worry less.

During his long career as a corporate executive, Donald has been involved in many training programs, including leadership training. Reflecting on these experiences, he now sees that the emphasis of these programs was in skill training, and that topics such as character were virtually never mentioned. According to Donald, during this skill training there seemed to be an understanding that character would be present when needed, that either a person had well developed character or they did not have it and that people developed character on their own. There was never discussion of character as part of leadership development.

Donald found the TCI assessment process to be useful for furthering his own personal development and leadership skills and believes it would be useful to others. However, he agrees with Cloninger et al. (1994), that cultural biases may work against the development of character as this term is used with the TCI. According to Cloninger et al. (1994), "... individuals high in self-transcendence may be criticized for what

appears in Western society to be naiveté, magical thinking, and subjective idealism, which may interfere with the acquisition of material wealth and power” (p. 27).

Donald’s suggestion for improving the TCI assessment process as applied in this study, is to make the handout material describing the various temperament and character dimensions consistent with each other. This material was provided to all study participants in three levels of detail. The least of these consisted of a one page, high-level summary, which was intended to appeal to participants who desire only a quick, brief explanation of the dimensions. The next level of detail consisted of a four-page brief summary intended for those participants who desired to see the big picture but without all the detail. The most detailed material consisted of the complete descriptions of the temperament and character dimensions, and was provided for those desiring a comprehensive and detailed description of the dimensions, included as Appendix I. Donald’s TCI scores are shown in Appendix H, Table 1.

Kennith Stofer

For nearly two decades Kennith has been in senior management in a services organization, currently as a vice president. After completing his TCI and receiving his results, Kennith completed an extensive action plan that focused on career issues as well as his desire to further develop his spirituality. He immediately followed up with a commitment to begin working on both areas.

The TCI identifies the major dimensions of human character according to Kennith. However, he questions whether the TCI accurately reveals all of the character dimensions. He doesn’t agree completely with his TCI scores. However, he spent considerable time reflecting on his TCI results and creating an action plan, which he

discussed in detail with his coach and the researcher. One of the areas on which he focused was the compassion sub-dimension of the cooperativeness dimension. He also chose to focus on the general area of spiritual awareness using the descriptive literature of the self-transcendence dimension, which he found to be the most interesting of the character dimensions.

Kennith spent several weeks contemplating the development of his plan. He desired to find constructive ways to dramatically improve his working and personal relationships. He acknowledges that some of his attitudes and practices have hindered his success in these areas. He challenged himself to explore and further develop his spirituality and developed a planned approach for exploring career alternatives that may lead to a more fulfilling career.

Kennith selected empathy as one of the facets of the cooperativeness dimension he wants to work on to improve his leadership skills, having identified the dimension of cooperativeness as the most important for leadership. He also identified spiritual awareness and growth as important for leadership development.

The TCI assessment process was effective for Kennith by prompting him to seriously start his plan for personal change. Though he did not agree with all of his TCI scores, he did agree with much of it and when asked if he would recommend the TCI process as he experienced it in this study, Kennith responded enthusiastically that he would recommend it and reported that he had recently discussed his experience with a good friend, who expressed an interest in undergoing the process himself. Kennith believes that people who truly care about their spiritualism and character would very likely be interested in a process such as this.

In his plan, Kenneth identified the exploration of new career paths as one of his action items. During his interview with the researcher, he mentioned that much of his inspiration to seriously initiate his career search was due to his participation in the study.

Kenneth strongly believes the TCI assessment process is appropriate for leadership development. He points out that though a person may not agree with all of her or his TCI results, the process stimulates reflection on the material and an opportunity to focus on those areas the participant identifies for improvement.

Kenneth's suggestion for improving the TCI assessment process is to incorporate additional interaction among the participant, the researcher, and the coach. For several weeks after he received his TCI results, Kenneth resisted writing his plan, apparently conflicted as to how to address some difficult issues. However, due in part to the prodding from the researcher and his coach, Kenneth initiated his plan, focused on his low scores and developed specific steps he would take to achieve his desired state. As he looked back on his participation in the study, he realized he needed the supportive pressure from his coach and the researcher to get him moving in the direction he had identified. He would have appreciated additional pressure had it been available.

Kenneth's TCI scores appear in Appendix H, Table H2.

Kathryn Cadwaller

Kathryn is a business consultant helping organizations with a variety of human resource and general business issues. During her twenty plus year career, she has held positions in operations, general management and human resources in the fields of law and high tech manufacturing. Kathryn's action plan was unusual in that she focused on her high score for the character dimension of cooperativeness as a liability rather than an

asset, viewing it as causing difficulties for her in her consulting practice by being too obliging when clients ask for favors at low or no cost.

Kathryn found that the TCI captures the definition of human character, though she likely would not have chosen the same categories selected by the developers of the instrument. The most interesting character dimension to Kathryn is self-transcendence. This is due to the difficulty she had with the inclusion of spirituality as a component of character and the idea that it is important for leadership in business organizations.

The most important character dimension for personal, professional success in Kathryn's view is self-directedness. She believes it is this dimension that reveals the qualities that are essential for leadership success. These include the sub-dimensions of responsibility, purposefulness, resourcefulness, self-acceptance and congruence between behavior and values.

Kathryn saw in her TCI results an opportunity to explore how a high TCI score on a character dimension usually perceived to be an asset, can also be a liability. In Kathryn's case, the dimension is cooperativeness, which is composed of the facets of social acceptance, empathy, helpfulness, compassion and pure-heartedness. Kathryn is concerned that she may occasionally be perceived by some of her clients as too cooperative, which may cause her to lose money and perhaps credibility due to clients discounting the value of her services. An example is her rearranging her schedule on short notice in order to respond to a client's needs without appropriate recognition and remuneration from the client. She recognizes that she has a tendency to want to be helpful and to feel needed when a client asks for special favors. Her desired state resulting from her action plan is to develop a sense of awareness of what triggers these

overly cooperative reactions on her part and to be able to stop and evaluate the situation before committing herself. Kathryn views success in this area as contributing to her leadership skills of demonstrating greater confidence as a valued professional.

Kathryn found the process used in this study to be effective in preparing the participants for completing the TCI, evaluating the results and working on actions for improvement. However, she suggests that it may have been useful and certainly would have been much more efficient, to conduct a group orientation to present the program and review the abundant material provided by the researcher to prepare participants for their TCI experience. She recognizes that such group orientations would be counter to the requirement for confidentiality, but suggests that this may be offset by the benefits resulting from improved efficiency. Additionally, Kathryn strongly believes that the researcher incorporated too many follow-up sessions during the phase of the study when the action plan was being developed. She feels that she would have been able to proceed quite capably without the level of assistance provided by her coach and the researcher, preferring to have the option of additional follow-up sessions rather than having such sessions required.

In general, Kathryn does not believe the TCI is useful for leadership development, primarily due to the inclusion of the self-transcendence dimension, which she does not see as necessary for success. Consequently, she would not recommend the TCI assessment process to others for the purpose of leadership development. However, she does believe that it could be interesting and perhaps useful to others as another tool for generally enhancing self-awareness, adding that she found the temperament dimensions interesting as well as the character dimensions.

Kathryn's action plan focused on her perceived need to be less cooperative in her business relations with clients. From her participation in the study, she became aware that she tends to be overly cooperative when her clients ask for special favors at no or reduced cost. She identified types of situations where she found herself agreeing to provide valuable services without proper compensation. Now, when these situations arise, she is better prepared to resist the temptation to be overly cooperative and is able to insist on being properly paid. As a result of her new awareness, Kathryn expects her business to be more profitable. Kathryn's TCI scores are included in Appendix H, Table H3.

Deborah Neves

Deborah devoted over twenty years to the business world prior to becoming a college professor. Most of her business career was spent in senior financial management and human resources positions. As an educator, Deborah has been active in faculty leadership. Her high scores on the TCI presented a challenge in developing an action plan. The plan she created focused on applying her highly developed self-directedness in constructive ways.

In Deborah's opinion, the descriptive literature for the TCI assessment process does not emphasize some of the traditional vocabulary associated with character. A notable example is the word integrity, which does not appear anywhere in the text descriptions of the three character dimensions. She points out that the traditional view of character usually includes attention to moral and ethical values. Though these are mentioned in the descriptive text for cooperativeness/pure-heartedness, they are not emphasized in the TCI literature. However, in general, Deborah believes that the TCI is a

good tool, though subject to the same limitations typical of many instruments, such as the limitations imposed by the time, place and emotional state contexts of the individual completing the TCI.

Due to her high TCI scores, Deborah was challenged to identify opportunities for improvement while creating her action plan. However, she found some useful information in the descriptive text for self-directedness and she was able to apply this in her plan. Being very active as a faculty and student advocate in dealing with the senior administrators of her school, she knows that she may be among those viewed as a rebellious troublemaker. With this in mind, Deborah's action plan addresses the need to maintain constructive approaches when she provides critical commentary on organizational issues.

Deborah believes that the least interesting character dimension of the TCI is self-directedness, commenting that it seems to be the most linear. The dimension of cooperativeness was interesting to her because it seemed to be an unusual way to describe character. Given the description of the cooperativeness dimension, the word cooperativeness did not seem to be an adequate choice, according to Deborah.

Deborah believes that no single character dimension is more important than the others for personal success in her professional area. All three dimensions are important. Forming a vision, bringing people in and maintaining a spiritual foundation through it all, require the presence of all character dimensions.

Deborah found the TCI assessment process effective in that she appreciated the descriptive text on the various character dimensions that accompanied her results and on which she relied while creating her action plan. The action plan itself was valuable for

establishing commitment as it required her to focus on issues and then record her plan for action. The instrument required more time than she had anticipated, likely due to her returning to earlier skipped questions.

While Deborah believes a study of character and leadership is very important in these times of organizational scandal and international terrorism, she hesitates to recommend the TCI assessment process to others because it is a self-report and does not include input from others. Some years ago she participated in a development program based on a multi-rater review of her performance. She was very impressed with the effectiveness of such a program and suggests that the TCI assessment process would benefit from a similar approach. Deborah believes that including the temperament dimensions would add interest to assessments.

Deborah feels comfortable with her TCI results, having scored high on all dimensions, and does not see any significant areas on which to work. However, she recognizes that it is easy to lose one's focus during day-to-day activities within organizational life and to fall prey to the temptations of compromise in the interest of expediency. Deborah believes that her experience with the TCI assessment process may help her to maintain her focus during trying times and to stay in the zone where she is comfortable with herself and with what she believes.

According to Deborah, people interested in developing themselves, including developing their character, should seek a variety of sources and should do so over time, given that changes do occur. She has participated in multiple assessments of the Myer-Briggs Type Indicator over a period of years and reports some inconsistency in her results. Deborah found the TCI assessment process to be useful for her particular

purposes and therefore, with the qualifier that it should be combined with other information, Deborah believes that the TCI is very appropriate for use in leadership development.

Deborah did not have any suggestions for improving the TCI assessment process. Given her high scores on the character dimensions, she did not find any major areas on which to work. However, from her reflection on her scores and the descriptions of the character dimensions, she did identify an area on which to focus for her action plan. The section in the descriptive material that grabbed her attention is: “When a self-directed individual is required to follow the orders of others in authority, they may be viewed as a rebellious troublemaker because they challenge the goals and values of those in authority.” (Cloninger et al., 1994). Deborah identified with this statement in that she frequently contends with work-related situations where she is compelled to speak out on issues about which she has strong feelings. However, to bolster her influence as a force for constructive change, it is necessary for her to temper her inclinations at critical times. Deborah’s TCI scores appear in Appendix H, Table H4.

Reavis Gardner

Reavis owns and operates his own company in a service industry. He has worked in this industry for virtually all of his adult life and has been quite successful. He believes his TCI results describe him very well. His action plan focused on several of the sub-dimensions of cooperativeness as well as the detachment sub-dimension of the temperament dimension of reward dependence. Reavis believes the TCI assessment process does identify the major dimensions of human character and found cooperativeness to be the most interesting of the character dimensions. He also believes

cooperativeness is the most important character dimension for personal success in his professional area due to the importance of the practice of cooperating in the workplace. The least important dimension for Reavis is self-transcendence. Though he acknowledges that this is an area needing his attention, he laughingly states he will avoid doing so at all costs.

The TCI assessment process was effective for Reavis, and he felt it was convenient to participate in the study. He appreciated the small conveniences, such as having self-addressed, stamped envelopes to return material to the researcher.

Reavis believes that others, such as some family members, friends and employees, would benefit from the TCI assessment process. This is particularly true for people in their mid-twenties, if they are mature enough to understand the questions in the TCI as well as the significance of the results.

Reavis recognizes there are areas revealed by his TCI scores where he could benefit from some work. However, he has reservations about making changes at this stage of his life. In his action plan, Reavis identified detachment as an area for improvement. In Cloninger's definitions, detachment is described as part of sentimentality, which is under the temperament dimension of reward dependence. Reavis told of some difficult early childhood experiences that may partially explain his tendency to be detached and his efforts in dealing with this and credits his participation in the study for his gaining additional insights that may someday help him achieve his desired changes.

Reavis has many years of experience hiring and placing people within the various organizations he has owned and managed and recognizes there are situations where a

person's personality is an important variable for achieving a good match. He sees the TCI assessment process as a possible tool to help accomplish such a match and offered two examples. A position that requires hard-nosed cost cutting might be best matched with someone with a high self-directedness score. However, the best match for a marketing position may be someone with high cooperativeness scores.

Reavis also believes that some members of his own family could benefit from the TCI assessment process by enhancing their awareness of aspects of their character. According to Reavis, the value of experiencing the TCI assessment process is the opportunity to become more aware of one's character. What is done with the information is an important next step, but without first achieving awareness, positive growth is not likely. Reavis emphasizes that in order for the process to be effective, it should be voluntary and based on a strong desire for enhanced self-awareness.

Reavis believes the TCI assessment process could be improved by clarifying for new participants the purpose of the TCI. Early in the study he received, as did all the participants, an orientation package from the researcher. However, he wasn't certain what was expected of him and what the study was intended to accomplish. He admitted that he read very little of this orientation material.

Reavis also feels that some executive participants may be somewhat intimidated by having their TCI results presented to them in the company of a coach they do not know well and with whom they may not yet feel comfortable. He suggested that a way be found to establish a relationship between the participant and the coach before they work closely on the executive participant's results and action plan. Reavis' TCI scores are included in Appendix H, Table H5.

Collette Geyer

As the director of a satellite facility of a higher education institution, Collette is currently responsible for operations that serve the educational needs of thousands of students. Her earlier career experience included positions in marketing and operations in both private and public sector organizations as well as classroom teaching. Collette's TCI scores were high on all of the character dimensions, which she interpreted as confirmation that she has been on the right track in her personal development efforts. Her action plan focused on the character dimensions related to developing the ability to constructively provide negative feedback to staff.

Collette believes that the TCI assessment process defines character well. For Collette, the most interesting character dimension is self-directedness, due to her having scored quite high in this area. However, she also finds the temperament dimension of reward dependence interesting in that it describes high scorers as "dependent", which initially disturbed her, though after she re-read the descriptive text for this dimension, she concluded that it does not have the traditional negative connotation for women and is a word that accurately describes her.

The most important character dimension for success in her professional area to Collette is self-transcendence. This dimension is important for both personal and professional purposes in that it describes the whole belief system of a person. Collette also found the temperament dimension of persistence important for success, citing her experience in graduate school where she learned what her advisor meant when he told her

that earning a graduate degree may not be so much an indicator of intelligence as it is an indicator of persistence.

On the topic of effectiveness, Collette believes the TCI assessment process could be effective for those who are willing to act on the results in areas where they see a need to improve. However, from her experience in observing people, changes in the areas identified by the TCI are often not sustained. Nonetheless, Collette would very much recommend the TCI assessment experience to others, and believes that some members of her staff could benefit significantly if they answered the TCI questions honestly. She believes that many people do not know who they are and that the TCI could contribute toward enhancing their self-awareness.

Collette scored very high on the TCI for all character dimensions. In explaining these high scores, she credits her work during much of her life on her program of personal development, which included becoming involved in a religious faith though it was not part of her family tradition.

As a result of her participation in this study, Collette has developed an enhanced appreciation for the differences among people. This appreciation comes from her realization of the number of different combinations possible in answering the questions in the TCI. Collette is now more aware of her uniqueness and of the uniqueness of others. She also feels comfortable with the person described by her TCI. An interesting question for Collette is which temperament and character types are best suited for one another in personal and working relationships.

Collette believes strongly that the TCI assessment process is very appropriate for leadership development. She found it personally useful in that it helped to confirm she is

on her preferred path. She would like to have her workplace staff experience the process and facetiously asked the researcher to administer the TCI to them. Collette is very curious as to which of the character types would be most compatible when combined for the purpose of a work team or even a marriage and recommended research be done in this area.

Areas for improvement of the process recommended by Collette include providing a more clearly stated summary of the study for participants at the beginning of the study and more visibly specifying the level of commitment required of participants. Additionally, she would have preferred the interview to be scheduled approximately one week after completion of the action plan. Collette's TCI scores appear in Appendix H, Table H6.

Thomas Preston

Thomas was educated to be an engineer and later earned an MBA with an emphasis in finance. He has been in supervisory and management positions for more than twenty-five years and currently manages a specialty production facility. He recognizes that his engineering background and its emphasis on quantification, has influenced his leadership style in the direction of being more analytical and less emotional than some other leaders. Thomas elected to not develop an action plan, which was his option under the study guidelines, though he believes he will likely develop one in the near future.

Thomas expected the character dimensions of the TCI to relate to the integrity and ethics of dealing with people rather than pragmatic qualities such as rationality and responsibility, which he sees as the focus of the TCI. The most interesting and important

of the character dimensions to Thomas is cooperativeness, due to its usefulness in describing a person's place in the community. This dimension, he believes, is more aligned with leadership issues than the other character dimensions of self-directedness and self-transcendence. According to Thomas, the cooperativeness dimension reveals how one aligns the different operational styles of individuals and the level of understanding of what motivates people that makes possible the creative and cooperative environment necessary for organizational effectiveness.

Though Thomas elected to not develop an action plan at the time of the study, he believes that a well executed action plan based on the results of the TCI could have a very positive influence on an individual's leadership style. He believes the TCI assessment process has been effective for him by encouraging him to reflect on issues that came out of his assessment. Though he scored high average on self-directedness, which includes being goal-directed, Thomas realizes that he could benefit by thinking more long-term and resisting being caught up in day-to-day activities.

Thomas was most influenced by his TCI score for purposefulness, a sub-dimension of the character dimension of self-directedness. According to Cloninger et al. (1994), "...low scorers on the purposefulness subscale are uncertain about long-term goals, and thus feel driven to react to current circumstances and immediate needs".

Thomas knew prior to his participation in this study that he tends to remain focused on the near term at the expense of long term planning. His experience with the TCI has enhanced his awareness of his emphasis on short-term goals for the employees under his direction, typically a period of six months to one year. As a result, he has begun to focus

on developing people, including himself, with the long term in mind as a way to build a sustainable, productive organization.

The part of the TCI assessment process that would be useful for leadership development according to Thomas is the development of an action plan. Though he elected to not create an action plan, he recognizes that a plan that is well developed and executed based on the results of the TCI could have a very positive influence on an individual's leadership style and activities.

Thomas did not have any significant suggestions for improvement to the process. He did say that the various parts of the process, including the administration of the TCI, the presentation of his results and follow-up discussions regarding creating an action plan, were done well. In acknowledging his not creating an action plan, he recognized that he probably did not benefit from the study as much as he may have, had he created a plan. He mentioned that he had been in a slump during the portion of the study when the plan would have been created and that it was likely he would work on his plan at a future time.

As to recommending the TCI assessment process to others, Thomas is hesitant to recommend it for everyone, commenting that probably only those who are motivated to act on the results of the process would realize any significant benefit. He believes that the TCI, as with most self-reporting tools, tells people what they already know about themselves. However, the TCI assessment process may be valuable to those who, though they know the areas on which they need to work, will be motivated once they read their results and develop an action plan. The TCI scores for Thomas are included in Appendix H, Table H7.

The Coaching GroupRocco Laramore

Rocco has over thirty years of human resource management experience, mostly in large organizations. He is currently vice president of human resources for a large company, consults and teaches human resource management topics as part of a university extension program, and is a member of several boards. Rocco has coached numerous executives during his career and recognizes the important role character plays within organizations and the impact that a leader's character may have on organizational success. During this study he coached two executive participants. His action plan focused on the TCI character dimension of self-transcendence and the sub-dimensions of self-forgetfulness and spiritual acceptance.

Rocco is positive about the purpose of the study and sees the TCI assessment process as having significant potential to address some of the leadership development issues he has dealt with during his extensive career in the field of human resource management. He currently knows of no instrument that attempts to address character issues in the way he believes is required. Rocco has been observing the growth in executive coaching during recent years and believes that coaches could be much more effective if they had access to an instrument that provides the type of information revealed by the TCI and a process as was utilized for this study.

However, Rocco believes that the TCI instrument needs to be revised from its current academic orientation to one with a more practical approach to leadership issues.

Rocco believes there is no question that the TCI assessment process brings out areas associated with character that can provide new insights to individuals. However, he

believes that it is not enough to focus on only the character dimensions and that temperament should also be included. Rocco's extensive coaching experience has led to his firm belief in the importance of looking at the whole person, including the dimensions of temperament and character as defined by Cloninger. According to Rocco, the process can only be effective for those who see themselves in the results.

Rocco believes that the information from the process provides participants with insights they may not have had prior to completing the TCI. However, according to Rocco, the process can only be effective to the extent the subject chooses to reflect on her or his results followed by a plan for action. Rocco is among those study participants who believe that temperament should be included in the process as a way to more fully view the total person.

Rocco's main suggestion for improvement is to supplement the action plan with a process for tracking progress toward achieving the desired state(s) identified in the plan. The criteria for tracking such progress could include the perceived extent that enhanced awareness of given issues has led to changed behavior.

To adequately prepare coaches to use the TCI for leadership development, Rocco believes that additional training is needed beyond that used for this study. Additionally, he firmly believes the process should be less academic in tone and vocabulary and more practical by incorporating case studies, allowing subjects to relate to the material by studying the experiences of earlier participants. Of course, he realizes that this would require a historical database not yet available given the novel application of the TCI in this study. Rocco's TCI scores appear in Appendix H, Table H8.

Bridget Kaufman

Bridget is vice president of administration of a non-profit teaching organization. Her previous position was director of human resources for a non-profit educational foundation. Bridget has counseled and coached numerous faculty and staff leaders during her career. For this study she coached two executive participants. Her action plan focused on continued development of the character dimensions of cooperativeness and self-transcendence, particularly the sub-dimensions of social acceptance, empathy, self-forgetfulness and transpersonal identification.

Bridget points out that recent business scandals prominently reported in the press such as fraudulent accounting at Worldcom and other companies, should raise the awareness of those in leadership positions as to the need to be attentive to issues of personal character. She believes that the process used for this study, such as the action plan, is useful for leadership development. Bridget believes that the focus in recent years on continuous improvement in many different business areas could make the process relatively easy to sell to clients.

However, Bridget suggests that the TCI needs to be revised to deemphasize the area of spirituality. According to Bridget, including spirituality clouded the issue of leadership, which she believes to be people to people, and does not have a focus on the relationship between people and a spiritual being.

Bridget was pleased with the way the researcher approached the phase of the study when the participant's results were presented. However, she observed that one of the executive participants she coached seemed somewhat puzzled as to how to proceed after receiving the results. To address this, Bridget suggests that the steps following the

presentation of results be mapped out and the relationship of the various steps more clearly stated.

Bridget believes the TCI assessment process both confirms what people know about themselves and it identifies some of the areas where people are lopsided and can benefit from development. Compared with other instruments such as the Myers-Briggs Type Indicator, she believes the TCI reveals more deeply the dimensions of human character. However, she also believes that the effectiveness of the TCI in helping individuals enhance their awareness of their character depends strongly on the degree to which they see themselves in their assessment results.

According to Bridget, the TCI assessment process was effective for her by connecting the dimension of transpersonal identification with character. She found the exploration of this connection as well as others, to be very valuable.

Bridget was pleased with the various parts of the process and did not have any specific suggestions for improvement. Perhaps as a way to encourage more of the same, Bridget highlighted the importance of an inviting presentation of the study materials, timely return of assessment results to participants and the need to present the results with sensitivity.

Bridget has a novel approach to making the TCI assessment process more effective for leadership development. She suggests that a way be found to assess corporate leaders who have been convicted of wrongdoing and show the correlation of their behavior to their TCI results. This should be followed with coaching, an action plan and development of an ongoing program of continuous improvement. A 360-degree or multi-rater assessment process may be useful for such a process assuming the raters were

well-developed people and not pursuing their own agenda. Bridget's TCI scores appear in Appendix H, Table H9.

Anthony Jurgensen

For most of his approximately thirty-year career, Anthony has been an internationally known personal and professional development trainer. He was coaching executives in the early nineteen nineties, before the practice of executive coaching became the popular phenomenon it is today. He has worked with clients in Europe, South Africa and the U.S. Anthony coached three executive participants as part of this study. His personal action plan emphasized improvements in the character sub-dimension of transpersonal identification, with a focus on developing a greater awareness of his connection to nature.

Anthony has strong feelings on the subject of profiles and assessments in general. He believes that they can become ends unto themselves and the intended purpose is often displaced by a focus on the instrument rather than constructively dealing with the results. According to Anthony, instruments such as the TCI are simply a tool that allows a coach or mentor to lead people forward to assess where they are contextually, and to apply insights gained from the assessment to what is happening at the moment. He emphasizes the importance of acting on the information and was impressed with the action plan portion of the study. One of the executive participants coached by Anthony was reluctant to start developing an action plan, requiring time and patience by Anthony and the researcher to coax the plan along. However, once started, the plan developed nicely and the experience seemed to very useful to the participant.

Anthony is interested in using the TCI and the process in his coaching practice. However, he believes the TCI should be simplified and made more user friendly by incorporating graphics into the results presentation. If the TCI incorporated graphics in lieu of some of the words that are currently used, it would be perceived more favorably, according to Anthony. With these changes and perhaps others, he sees a potential market for the TCI and would be interested in experimenting with it in his coaching practice.

Anthony believes that the TCI is effective in helping individuals enhance their awareness of their character, though his reason is unique. He points out that the terms self-directedness, cooperativeness and self-transcendence, selected by the developers of the TCI to describe the major dimensions of character, are unusual terms and not likely to be in common use by participants. As participants seek to understand the significance of their TCI results, Anthony believes they may reflect more deeply on the meaning of the terms than if more familiar terms had been used. The additional insight achieved from this reflection may contribute significantly to the effectiveness of the TCI assessment process.

Anthony believes the process is effective, though it would be more effective if some changes were made. According to Anthony, a key requirement for effectiveness is a motivated researcher or coach who keeps participants focused on areas identified in their TCI results as needing improvement. He cited the example of the participant in this study who was reluctant to start creating his action plan. Due in major part to the researcher persistently but gently prodding him, the participant eventually wrote a plan that demonstrated considerable insight and showed promise of his achieving constructive outcomes.

Among the improvements Anthony would make to the process is that of having coaches work directly with their executive participants while completing their action plan. He has learned from his coaching experience that when people are engaged in activities of this type by themselves, they tend to intellectualize their work rather than dig deeply to uncover underlying issues that can lead to insight. In his coaching practice, Anthony has achieved better results by leading people through processes rather than leaving them on their own. He points out that working closely with people in this way creates an opportunity to listen to them and the experience of being listened to enhances the experience for the participant. This is part of the coaching process for Anthony and he believes that using instruments such as the TCI as a coaching tool rather than an assessment tool improves the focus on areas needing work and the commitment to see it through.

Additional improvements Anthony would make include simplifying the TCI instrument and making it more user friendly. He believes the process, particularly the results, would be easier to understand and relate to if presented in a way that relies less on words and more on visual representations using graphics. Recognizing that the TCI was designed for clinical applications rather than as a tool for use with executive leaders, Anthony suggests that an experienced assessment designer be consulted with the objective of making the TCI more marketable as a professional coaching tool.

Anthony's ideas on the training, methods, strategies and models that coaches and consultants need to effectively use the TCI process include a high level of commitment by the coach to the growth of the participant, which can be demonstrated by authentic attention and the practice of listening, as mentioned above. Additionally, the time

interval between providing the TCI results and the creation of the action plan should be kept to no more than one week in order to maintain the participant's attention. Anthony's TCI scores appear in Table H10.

Discussion and Interpretation of Findings

Cross Case Comparison

What does the data from this study reveal in how it addresses the three research questions? The study explored the perceptions of ten participants of their experience with the TCI assessment process. Seven participants are experienced leaders and three are experienced coaches and leaders in their own right. Each participant has experienced success in her or his professional career and each brought her or his unique combination of personal qualities to the study. Each answered the same 240 true or false questions in the TCI in a way that revealed her or his individual character according to the criteria determined by the developers of the TCI.

The following summarizes the interview responses of the participants to the guiding questions associated with each research question to show similarities and differences. Table summaries of all responses to the guiding questions are included in Appendix J.

Research Question 1

The first research question was designed to explore leaders' perceptions of the TCI as an effective instrument for enhancing their characters for the purposes of personal and professional growth. Topics explored included the extent to which the TCI identifies the major dimensions of human character, the character dimensions participants found most interesting and those found most important for professional success, as well as the

effectiveness of the process used for the study and whether or not the executive participants would recommend the TCI assessment process to others. The coaching group discussed their interest in offering the TCI assessment process to clients as part of clients' personal development programs.

Most of the seven executive participants believe the TCI identifies human character. Some believe it simply identifies human character while others believe it does it well. One participant noted the TCI somewhat identifies human character, though she would not have applied the labels used by the developers of the TCI for the various character dimensions. Some found that the TCI poorly identifies character due to the use of terms such as cooperativeness and self-transcendence to identify the dimensions of character, preferring instead terms such as trust and integrity.

Several executive participants found self-transcendence to be the most interesting character dimension. For one participant this was due to the dimension's relationship with self, community and the universe and the uniqueness of this dimension in its application to leadership development. For another, it was interesting because of the emphasis on spirituality. Yet another found it interesting simply due to its presence in the TCI assessment process.

The character dimension of cooperativeness was the most interesting to several of the executive participants. For one, it was simply the term itself and its unusual application in describing a part of human character that made it interesting. For another it was interesting due to its importance for business success and for another, it was interesting due to its usefulness in describing a person's place in the community.

Cooperativeness was the most important character dimension for professional success according to several of the executive participants. Reasons included a western cultural orientation toward being cooperative, the inclusion of empathy among the sub-dimensions of cooperativeness, and the importance of a cooperative environment to achieve organizational effectiveness.

All executive participants believe the TCI assessment process is effective. Comments from participants addressed matters such as the challenge that high scores presented when selecting areas for improvement, the amount of time required to complete the TCI being greater than expected and the observation that the process is effective due to its having been administered in a manner that was convenient for participants. The process was effective for one participant simply due to the unique opportunity to reflect on his TCI results.

Most of the executive participants either recommend or highly recommend the TCI assessment process. One would not recommend it unless the character dimension of self-transcendence is deleted, though she commented that the process could be useful as a supplemental method for improving self-awareness. Another hesitates to recommend the process due to it being a self-report process rather than a multi-rater process, thus being subject to self-serving bias. Yet another hesitates to recommend the process unless the participant is motivated to act on the results.

All of the coaches are interested in offering the TCI assessment process to clients. However, they all want to see changes such as lessening the academic orientation of the process and deleting the dimension of self-transcendence due to the inclusion of spirituality. One coach observed that the process may be useful primarily as a dialogue

starter. This same coach would also like to see greater use of graphics in the material used to provide the TCI results to participants.

Research Question 2

The second research question explored ways the TCI assists corporate executives in enhancing their self-awareness. The executive participants described their actual or anticipated improvements in their characters or their organizations resulting from implementation of their personal action plans. The coaching participants shared their views on the effectiveness of the TCI in helping individuals to become more aware of the dimensions of their character.

Responses by the executive participants were quite varied. One focused on his cooperativeness scores in seeing himself being less judgmental and critical of himself and others. His self-transcendence scores led him to focus on being more patient and less self-conscious. Another focused on his self-directedness scores and though his score was not low on this dimension, launched a serious career search as a result of his TCI experience, a task he had been postponing for some time. Yet another realized that her tendency to be overly cooperative has been costly in her work with consulting clients and she resolved to be more attentive in the way she reacts to requests for special favors at reduced or no cost. One of the participants, satisfied with her TCI scores, saw in her TCI results the basis for renewed resolve to persist in her efforts to not be lured into quick fixes to difficult leadership problems. Focusing on the temperament dimension of attachment in lieu of character dimensions was the choice of one participant who used his scores to gain additional insight into his tendency to be detached and avoid intimacy. Another saw in her high TCI scores confirmation that her personal development efforts

during much of her life had been worthwhile and the value she saw in her TCI experience was an enhanced appreciation of the differences among people given the possible combinations of TCI outcomes. Focusing on his self-directedness score, one participant explored his tendency to focus on short-term goals, for both himself and those he supervises at his workplace, and resolved to pay greater attention to longer term planning.

The coaches all found the TCI assessment process to be effective in enhancing the character awareness of the executive participants they coached during the study. One coach strongly believes that awareness is enhanced, having worked with an executive participant who was particularly insightful and reflective in evaluating his TCI results and constructing his action plan. Another believes that the process both confirms self-understanding and helps to identify opportunities for improvement. One coach found the process to be effective through his observation that the unusual terms used by the developers of the TCI to describe character may contribute to its effectiveness by stimulating participants to be more attentive to the underlying definitions.

Research Question 3

The third research question explored ways the TCI is effective as an instrument for improving the leadership skills of corporate executives. Executive participants discussed the appropriateness of using the TCI for leadership development, both for themselves and others and recommended improvements to the process. The coaching participants shared their perceptions of the effectiveness of the TCI assessment process and offered suggestions for improvements. Additionally, the coaching group made recommendations for training, processes, strategies and models that executive coaches and consultants could use to effectively apply the process.

Most of the executive group found the TCI assessment process appropriate for leadership development, though some qualified their endorsement. However, one stated it was not appropriate unless the character dimension of self-transcendence was deleted, observing that in her opinion, self-transcendence is not part of leadership. In the experience of one of the executive participants, most leadership training programs focus on skill training, not on character development, making the TCI process particularly appropriate. Another commented that the process is appropriate, though participants may not agree with all of their TCI results. A particularly strong endorsement came from one participant who would like her entire workplace staff to participate in the process to enhance their understanding and appreciation of others. Combining the TCI with other developmental tools would make the process appropriate for leadership development according to one participant, implying that used in isolation, it may not be particularly effective. Another believes the process is appropriate if the action plan is pursued seriously.

Suggestions by members of the executive group for improvement to the TCI assessment process include ensuring the materials explaining the process are consistent, conducting orientations with executive participants as a group to improve efficiency, and providing more information to participants at the beginning of the process as a way of clarifying expectations and improving understanding of the whole process. One wants to see more interaction time between executive participants and coaches to encourage additional reflection on the TCI results and improved action plans. However, one participant wants less interaction time, observing that she would have felt more comfortable if allowed to work more independently.

All members of the coaching group found the TCI assessment process to be effective, though two coaches emphasized that effectiveness is determined by the extent to which participants are committed to continuous improvement, including reflecting on and acting on their action plans.

Suggestions for improvement by the coaching participants include adding a process for tracking progress toward goals included in action plans, mapping the TCI assessment process to show the relationships among the various steps, closer collaboration between executive participants and coaches in developing action plans and simplifying and making more user-friendly the presentation of the TCI results.

Training, methods, strategies and models needed for coaches to use the TCI assessment process effectively, according to the coaching group, include additional general training on the process, using the process as an awareness enhancing model with convicted executives who have committed serious crimes and developing the practice of actively, intently and authentically listening to participants.

For a complete description of all dimensions and facets of the character dimensions, see Appendix I.

Percentile Scores

All participants in the study scored high for self-directedness, the percentiles ranging from 65 to 96 with a mean percentile of 85.4. However, among the executive participants, only one identified self-directedness as the most interesting character dimension and only one identified it as the most important for professional success. One rated self-directedness equally important with cooperativeness and self-transcendence.

The descriptive terms for self-directedness include being self-sufficient, responsible, reliable, goal-oriented and self-reliant, all known to be associated with success.

The range of the percentile scores for all participants for the cooperativeness dimension was 45 to 85, with a mean percentile of 74. The descriptive terms for cooperativeness include being empathetic, tolerant, compassionate, supportive, fair, principled, enjoying being of service to others, trying to cooperate with others as much as possible, understanding and respecting preferences and needs of others, teamwork, and harmonious and balanced relationships. Three of the executive participants identified the cooperativeness dimension as being the most interesting and four identified it as the most important for professional success. One rated it equally important with the other two character dimensions. That most of the executive participants identified the cooperativeness dimension as being the most important for professional success may indicate that in the experience of these participants, the willingness and ability to cooperate and demonstrate understanding and empathy for others is recognized as a valued trait.

Percentile scores for the self-transcendence dimension for the ten participants ranged from 3 to 85 with a mean percentile score of 44. Of the three character dimensions, self-transcendence was the most controversial among the participants in this study. Some of the descriptive terms for high self-transcendence include unpretentious, fulfilled, patient, creative, selfless, and spiritual. Among these, spiritual evoked the most controversy. Two participants want to delete self-transcendence as a dimension of character for the purpose of leadership development, one believing it is not important for leadership, the other believing the spirituality component may conflict with other values

for some participants. A third participant acknowledged his low score for this dimension, but jokingly stated he would not likely go there in pursuit of personal development.

Three executive participants identified self-transcendence as the most interesting of the character dimensions, including one of the two participants who believe it should be deleted. Only one executive participant identified self-transcendence as the most important for professional success, though one rated it equally with self-directedness and cooperativeness and one would like it to be the most important, but knows from experience that cooperativeness is the most valued dimension in most organizations in the west. Perhaps due to the generally low self-transcendence scores for most participants, this dimension was at least the partial focus of five action plans. There seems to have been a strong recognition by these five participants that the aspects of personal development revealed by the TCI for the self-transcendence dimension hold some promise for them.

Summary of Chapter IV

This study explored the perceptions of executive leaders and executive coaches of the Temperament and Character Inventory as a useful tool for leadership development. Seven executive leaders and three executive coaches completed the TCI, received their results and with the exception of one executive participant, completed an action plan focusing on those areas of their results they identified for improvement. The three coaches first completed the process, including the development of their own action plans, then participated with the researcher in the presentation of the TCI results to their assigned executive participants. This was followed by coaching their assigned executive participants while these participants developed their action plans.

Following completion of the action plan phase of the study, the researcher interviewed all participants to explore their perceptions of their experience with the TCI assessment process, with the objective of determining how these perceptions addressed the three research questions.

Most of the participants perceive the TCI as an effective instrument for enhancing their characters for the purposes of personal and professional growth. Most of the executive participants believe the TCI identifies character. For those who believe it does not identify character, the expressed reason is the lack of traditional terms such as integrity and ethics being prominently featured in the TCI literature. Self-transcendence and cooperativeness were found to be the most interesting by an equal number of executive participants. However, most members of this group identified cooperativeness as the most important dimension for professional success. All executive participants found the process used for the study to be effective, though developing an action plan was challenging for those with high TCI scores. Most of the executive participants would recommend the process to others as a method of enhancing self-awareness and some would do so enthusiastically. One who would not recommend the process cited the inclusion of self-transcendence, which she believes should not be part of leadership development. Another would hesitate to recommend it because the TCI is a self-report instrument and not a multi-rater instrument, with outcomes possibly being affected by self-serving bias.

All of the coaches would be interested in offering the TCI assessment process to their clients, though all would like to see changes. One coach would like a less academic orientation and would like case examples included. One coach believes the dimension of

self-transcendence should be deleted to avoid possible conflict with participants' spiritual beliefs and one wants to see improved graphics as part of the presentation to participants.

To identify the ways the TCI assists corporate executives in enhancing their self-awareness, the executive participants discussed the actual or anticipated improvements to their characters resulting from their action plans and the coaches shared their observations of the executive participants' experiences. Each executive participant identified unique opportunities for improvement. While cooperativeness and self-directedness were included as areas identified for improvement, the group's generally low scores for the dimension of self-transcendence prompted most of the participants, executives and coaches alike, to focus on one or more of the sub-dimensions of the self-transcendence dimension, including self-forgetfulness, transpersonal identification and spiritual acceptance.

The coaches reported an enhanced awareness by some of their assigned executive participants of some dimensions of their character. One coach believes the use of terms such as self-directedness, cooperativeness and self-transcendence contribute to the effectiveness of the process by requiring participants to focus on the meaning of these terms.

Most members of the executive group believe the TCI is an effective instrument for improving the leadership skills of corporate executives, some expressing their views strongly. One executive participant believes the process could be effective for this purpose if the dimension of self-transcendence was deleted. The coaches found the process to be effective for leadership development but emphasized the need for participants to follow through on their action plans. Suggestions from the executive

group and the coaching group for improvement include greater consistency among the various materials provided to participants to describe the TCI, monitoring progress achieved on action plans, mapping the steps in the process for greater clarity, and more user friendly materials for presenting the TCI results to participants. Additionally, one participant wants more interaction time between executive participants and coaches to enhance collaboration, though another wants less interaction time, preferring to work more independently.

Chapter V: Summary, Conclusions and Recommendations

Summary

Interest in understanding human personality has a long and rich history, recorded as far back as the ancient Chinese. Assessment tools have been developed over the years to assist in this process. Examples range from the Enneagram (Riso, 1995), with roots dating to the Muslim Sufis a few hundred years after Muhammad to the contemporary Myer-Briggs Type Indicator (Myers, McCaulley, Quenk, & Hammer, 1998) and the NEO PI-R (Hall et al., 1998). However, assessing the part of personality known as character has traditionally been difficult to achieve (Sperry, 1997), (Hogan and Sinclair 1997).

Sperry (1999), expressed this difficulty as follows:

Defining character and differentiating it from personality is a complex and challenging task. Historically, as psychology evolved as a discipline and field of inquiry, it attempted to distinguish itself from its roots in moral philosophy by differentiating the study of personality and character. Whereas moral philosophy emphasized the common good, values and virtue, rational judgment, and will or the volitional aspects of character, psychology increasingly focused on individuality, behavior, emotion and the non-rational, value-neutrality, and the unconscious aspects of personality. As a result of this focus, psychology succeeded in establishing a scientific and, presumably, a value-free foundation

distinct from a philosophical foundation for understanding human behavior and actions. (p. 212)

In earlier chapters of this study the case was presented that well-developed character is important for leadership (Hunter, 2000), (Covey, 1991), (Leonard, 1997). According to Kiel et al. (1996), leaders need, though few have opportunities for, continuing development, which requires significant self-awareness. According to Bennis et al. (2001): "...management of self" (knowing your skills and deploying them effectively [is a] leadership commandment" (p. 87). The literature suggests that assessment instruments to help people develop their characters for the purpose of leadership development are generally not available (Sperry, 1997). Cloninger et al. (1994) have developed an instrument they refer to as the Temperament and Character Inventory (TCI) to assess their version of the dimensions of character they have labeled self-directedness, cooperativeness and self-transcendence. Though the TCI was developed for clinical purposes, it was normed using general population data.

According to Sperry (1997) the character dimensions of self-directedness, cooperativeness and self-transcendence identified by Cloninger et al. (1994) are basic to healthy executive character structure. Sperry (1997) suggests that the TCI may be a useful instrument in executive character assessment.

Executive coaching has become an important part of executive development programs (Morris, 2000). A key part of this study is the exploration of how executive coaches perceive the TCI and the process used for this study as a useful tool for leadership development.

Using two respondent groups, one consisting of executives, the other consisting of executive coaches, this exploratory study investigated how leaders, such as corporate executives, perceive the TCI as an effective instrument for enhancing their personal character awareness for the purposes of personal and professional growth and improving leadership skills. The study participants, all experienced leaders or executive coaches, completed the TCI, received their results and developed action plans for improvement. Each coach was assigned to work with two to three executive participants from the time of presentation of their TCI results through development of the executive participants' action plans for improvement. Afterward, participants in both groups were interviewed to capture their perceptions of their experience with this process. The transcripts were analyzed and compared for similarities and differences. From this analysis, conclusions were drawn as to the usefulness of the TCI for leadership development and recommendations have been made for future studies.

Most participants found the TCI to be generally useful for leadership development. Even those who did not find it useful for this purpose found it useful for personal development. The character dimensions of self-transcendence and cooperativeness were the most interesting to the executive participants, though most participants identified cooperativeness as the most important for professional success. The process used for the study was found to be effective by all members of the executive group. Most executive participants would recommend the experience to others, and some would recommend it very enthusiastically. Most participants believe the action plan is an important part of the study and several believe that the greatest value of the TCI assessment process is achieved by participants acting on their plan. Though some plans

included self-directedness and cooperativeness as primary areas for improvement, the groups' generally low scores for the dimension of self-transcendence resulted in that dimension being the focus of most plans in this study. All of the coaches are interested in offering the TCI assessment process to clients, though each has changes they would like to make.

Suggestions from the executive and coaching groups for improvements to the process used for this study include greater consistency within the collection of materials provided to participants to describe the TCI, monitoring progress made on action plans, mapping the steps in the process for greater clarity, and more user-friendly materials, including additional graphics for presenting TCI results to participants. One participant suggested additional interaction time among the executive participant, coach and researcher for the purpose of deeper exploration of the TCI results and the development of a more effective action plan. However, another suggested less interaction time among the participant, coach and researcher, reflecting this participant's preference to spend more time working individually. Additional suggestions include making the process less academic, and deleting the character dimension of self-transcendence.

Conclusions

Answering the Research Questions

Though most participants found the TCI to be a useful tool for leadership development, the extent to which it is useful varies among participants. For executive participants Donald Newstead and Collette Geyer, the TCI is useful because it allows a participant to explore areas not normally part of leadership development, particularly the character dimension of self-transcendence. For executive participants Kathryn Cadwallar

and Bridget Kaufman, the dimension of self-transcendence should be deleted from the TCI. In Kathryn's opinion, it has no role in leadership development. In Bridget's opinion it may conflict with a participant's spiritual and religious beliefs, thus possibly causing conflict.

The dimensions of self-directedness and cooperativeness seemed to resonate positively with all participants, though the term cooperativeness seems strange to at least two participants, Deborah Neves and Kathryn Cadwallar, in that it is not a term commonly used to describe character. However, according to Anthony Jurgensen, using an unusual term such as cooperativeness is a strength of the design of the TCI in that participants may give more thought to the meaning of the term than if more typical terms, such as integrity and honesty, had been used.

An unexpected outcome of the study was the perception by Kathryn Cadwallar that cooperativeness may have a downside. She concluded from her TCI results that being too cooperative and accommodating to her consulting clients by providing services at a reduced price or at no charge, particularly when the client is experiencing difficult economic times, has likely reduced her consulting revenue. As a result of this enhanced awareness, Kathryn included in her plan the step of reflecting on the circumstances she is experiencing at the moment with her client before acting, that is, before committing to perform work at less than her customary rate. It is interesting that when the researcher pointed out to Kathryn that she seemed to benefit from this aspect of her TCI experience, she did not readily agree, preferring to focus on how the TCI was not an effective leadership development tool, though acknowledging it could be useful for personal development.

The research questions were explored as follows.

Research Question No. 1

Question 1: How do leaders, such as corporate executives, perceive the TCI as an effective instrument for enhancing their characters for the purposes of personal and professional growth?

The general perception of participants is that the TCI identifies human character, though the descriptive terminology used with the TCI seems unusual. However, one participant pointed out that this is a strength of the TCI in that it may stimulate greater attention to the underlying meaning of the terms.

Though the character dimensions of cooperativeness and self-transcendence are the most interesting, it is cooperativeness that is perceived to be the most important. The reason cooperativeness received the most votes seems to be the recognition by the participants that the idea of cooperativeness is so foundational to relationships in the workplace and the interest and skill in facilitating cooperativeness is so inherently important in order to achieve organizational effectiveness.

All of the executive participants found the process used to conduct the study to be effective. Most would recommend, and some would highly recommend, the TCI experience and the process used for this study to others for leadership development. However, if the major changes recommended by the executive participants were to be implemented, then all participants would recommend it. These changes include deleting the dimension of self-transcendence, including a multi-rater feature, and ensuring that

participants are highly motivated to follow through with any action plan that may result from their participation.

All three coaches are interested in offering the TCI assessment process to clients. However, they all want to see changes. One coach emphasized the need to be less academic in the application of the process to executive leaders, but otherwise believes the process could be useful for coaching and organizational succession planning. Another believes the process could be useful for leadership development but that the dimension of self-transcendence should be deleted to avoid possible conflict with participants' other values and beliefs. One coach believes the TCI assessment process would be useful as is, primarily as a way to start a dialogue between participant and coach. He also believes that by adding more graphics to the material used when presenting the TCI results to participants, the material would be more useful.

Research Question No. 2

Question 2. In what ways does the TCI assist corporate executives in enhancing their self-awareness?

Responses by the executive participants were quite varied. One participant focused on his cooperativeness scores in seeing himself being less judgmental and critical of himself and others. His self-transcendence scores led him to focus on being more patient and less self-conscious. One participant focused on his self-directedness scores, launching a serious career search as a result of his TCI experience, a task he had been postponing for some time. Another realized that her tendency to be overly cooperative has been costly in her work with consulting clients and she resolved to be more attentive in the way she reacts to requests for special favors at reduced or no cost. One of the

participants, satisfied with her TCI scores, saw in her TCI results the basis for renewed resolve to persist in her efforts to not be lured into quick fixes to difficult leadership problems. Focusing on the temperament dimension of attachment in lieu of character dimensions was the choice of one participant who used his scores to gain additional insight into his tendency to be detached and avoid intimacy. One participant saw in her high TCI scores confirmation that her personal development efforts during much of her life had been worthwhile and the value she saw in her TCI experience was an enhanced appreciation of the differences among people given the possible combinations of TCI outcomes. Another participant, focusing on his self-directedness score, saw his tendency to focus on short-term goals, for both himself and those he supervises at his workplace, and as a result resolved to pay greater attention to longer term planning.

The coaches all found the TCI assessment process to be effective in enhancing the character awareness of the executive participants they coached during the study. One coach strongly believes that awareness can be enhanced as a result of participating in the TCI process, having worked with an executive participant who is particularly insightful and reflective in evaluating his TCI results and constructing his action plan. Another coach believes that the process both confirms self-understanding and helps to identify opportunities for improvement. One of the coaching participants found the process to be effective for a unique reason. He believes that the unusual terms used by the developers of the TCI to describe character may contribute to the effectiveness of the process by stimulating participants to be more attentive to the underlying definitions of the terms.

Research Question No. 3

3. In what ways is the TCI an effective instrument for improving the leadership skills of corporate executives?

Most members of the executive group found the TCI assessment process appropriate for leadership development, one citing the uniqueness of the process by focusing on character development and another recommending that the TCI be combined with other development tools. One believes the process is appropriate if the action plan portion is pursued seriously.

Suggestions by members of the executive group for improving the TCI process include improving the materials used to explain the process to participants, increasing the number of interactions between executive participants and coaches to encourage more reflection on the TCI results and action plans, and reducing the amount of follow-up sessions with coaches and executive participants.

All members of the coaching group found the TCI assessment process to be effective, though two coaches emphasized that effectiveness is determined by the extent to which participants are committed to continuous improvement, including reflecting on and acting on their action plans. Suggestions from the coaches include adding a process for monitoring progress toward goals included in action plans, mapping the TCI assessment process to show the relationships among the various steps, closer collaboration between executive participants and coaches in developing action plans and simplifying and making more user friendly, the presentation of TCI results. Additionally, according to the coaches in this study, the training, methods, strategies and models needed to use the TCI assessment process effectively include additional general training

on the process, using the process as an awareness enhancing model with convicted executives who have committed serious crimes and developing the practice of actively, intently and authentically listening to participants.

Generalizability

The earlier discussion on the limited generalizability of the results of this study merits repeating. The TCI was developed for clinical applications, though it was normed using samples from the general population. In the past it has not been used for the purpose of leadership development. Participants were selected in part based on their experience as seasoned leaders or coaches based on specific criteria and on their willingness to be part of the study. These are people who are generally open to new experiences and were willing to look in a mirror that purports to enhance their character self-awareness. On both accounts, these participants are not representative of all executives, senior administrators and coaches. However, the participants in this study were selected in a purposeful way to explore the utility of the TCI for enhancing personal character awareness for the purpose of leadership development.

Though the results of this study show the TCI and the process used for this study to be promising for enhancing the character self-awareness of leaders and coaches generally, additional research will be required in order to conclude that the TCI is, or is not, a useful tool for leadership development for the general population. However, the results from this study can inform the business community that criteria for leader character assessment are available for exploration and discussion and that follow-up studies can further refine the criteria.

Relating the TCI to Workplace Behaviors

One way the results of this exploratory study may be useful is to relate the character dimensions of the TCI to some of the commonly found behaviors and practices of leaders in the workplace. Sperry (1999) relates his experience and his frustration on this topic while working with corporate clients regarding executive recruiting:

There are three basic questions corporate clients want answered about a candidate for an executive position:

1. Will the individual be a good fit in working with a given team or manager?
2. Will the individual demonstrate sound judgment under duress or when doing the right thing that is not in his or her best interest?
3. Will the individual's winning initial impression be sustained over time?

Because the first question reflects the personality dimension, personality assessment strategies are useful and appropriate in addressing goodness of fit.

However, personality assessment strategies appear to be less useful and appropriate in addressing the second and the third questions. Because they really reflect the character dimension, I would contend that character assessment strategies will be more useful and appropriate. (p. 213)

According to Sperry (1999), consistency in functioning in private and public settings is a sign of character. However, under stress, fatigue or temptation, hidden aspects tend to emerge, the negative side of character, which individuals may hide, preferring to rely on the practice of impression management, which unfortunately, is a valued skill in some parts of the corporate world (Sperry, 1999).

Leadership Behavior and the Character Dimensions of the TCI

In the following section the researcher attempts to link the descriptors of the character dimensions of the TCI with workplace behaviors and practices as described by various authors as well as the behaviors the researcher has observed during his thirty-some years of experience working in industry and more recently, his part-time experience teaching business courses in public institutions of higher education.

Self-Directedness

According to Cloninger et al. (1994), the character dimension of self-directedness is a trait made up of five lower order traits or facets: responsibility vs. blaming, purposefulness vs. lack of goal direction, resourcefulness vs. inertia, self-acceptance vs. self-striving, and congruent second nature vs. bad habits.

Cloninger's character dimension of self-directedness matches well with Collins' (2001) concept of professional will. From his study of 1,435 publicly-held companies, Collins found that for a given period, only 11 companies had made the transition from being good companies to becoming great companies. From this study, Collins developed a five-level model of leadership, ranging from a Level 1 leader he refers to as a highly capable individual, through a Level 5 leader characterized as possessing all of the qualities of Levels 1 through 4 plus a combination of personal humility and professional will. All eleven top companies had Level 5 leaders at the helm during their transition from good to great (Collins, 2001). One of the distinguishing qualities of Level 5 leaders, according to Collins, is professional will, a fanatical drive and unwavering resolve to

produce results and raise their company to greatness. Importantly, the focus was on the company's greatness, not the leader's greatness.

Self-Directedness Facets

In developing the following descriptors of the lower order self-directedness facets or traits, Cloninger et al. (1994) assumed that individuals are adults in a social situation in which they are expected to choose their own goals and values.

Responsibility vs. Blaming

Individuals who score high on this facet are those who may have an internal locus of control (Robbins, 2000) and feel free to choose their own course. According to Cloninger et al., (1994): "They recognize that their attitudes, behaviors, and problems generally reflect their own choices. Consequently, they tend to accept responsibility for their attitudes and behavior. These individuals impress others as reliable and trustworthy." (p.25) These people are those who, according to Collins (2001) in describing a level 5 leader: "When things go poorly, ...look in the mirror and blame themselves, taking full responsibility." (p. 39)

A low score on the responsibility facet of the TCI may indicate a tendency to blame others and external circumstances for events. Low scorers may believe they are not responsible for their own behavior and actions, which are caused by influences beyond their control or against their will. Consequently, according to Cloninger et al. (1994): "...they tend not to accept responsibility for their actions. These individuals impress others as unreliable and irresponsible." (P. 25) According to Collins (2001), these people look out the window to assign blame for disappointing results rather than look into the mirror and assume personal responsibility. According to Robbins (2000),

self-serving bias may work to perpetuate this when executives attribute their failures to external causes rather than to internal causes.

Purposefulness vs. Lack of Goal Direction

A high score on the purposefulness facet indicates a person with a vision, guided by long-term goals. Included in this group are those who Collins (2001) refers to as having "...a ferocious resolve, an almost stoic determination to do whatever needs to be done to make the company great." (p. 30) Described as goal-oriented or purposeful, they have a clear sense of meaning and direction in their lives, having developed the ability to delay gratification in order to reach their goals (Cloninger et al., 1994).

In contrast, according to Cloninger et al. (1994), low scorers on the purposefulness facet have difficulty finding meaning in their lives. In their struggle to find direction and purpose, they are uncertain about long-term goals, and focus on current circumstances and immediate needs. They may feel they live empty lives, finding little or no meaning beyond the events of the moment. They are usually unable to delay gratification to achieve their goals.

Leaders of companies used as comparisons between the good and great companies in Collins' (2001) study demonstrated a kind of purposefulness that was different from the Level 5 leaders. The priority of these comparison leaders was their own greatness, rather than the greatness of their companies. They often failed to develop a successor who would be prepared to continue when they left the company and in some cases these leaders actually sabotaged would-be successors in order to assure their own place in the company's history.

Resourcefulness vs. Inertia

According to Cloninger et al. (1994), people scoring high on this facet are usually described as resourceful and effective. They are seen by others as productive, and proactive, competent and innovative. These are the problem solvers who look at difficult situations as a challenge or an opportunity. Fred Luthans (1988), in his study of the ways managers spend their daily time discussed in Chapter II, found many of these qualities in a group he labeled effective managers. According to Luthans (1988), it is these effective managers who achieve high quantity and quality through the people in their organizations.

Low scorers on the resourcefulness facet, however, are helpless, hopeless, and ineffective. They have not developed problem solving skills and lack confidence. As a consequence, they feel unable and incompetent to deal with obstacles, typically allowing others to take the lead (Cloninger et al., 1994).

Self-Acceptance vs. Self-Striving

Cloninger et al. (1994) describe high scorers on this facet as self-confident and accepting of both their strengths and limitations. These individuals are authentic and try to do the best that they can. They accept themselves for who they are, both mentally and physically, and feel very comfortable with their actual mental capability and physical features, although they may be constantly trying to improve.

Low scorers on the self-acceptance facet are described as self-striving, tending to manifest low self-esteem. They do not accept themselves as they are and may be pretentious, fantasizing about being wealthy, being important and beautiful. When faced with evidence that seems to confirm their low self-concept, rather than pursue

constructive goals, they may become disturbed (Cloninger et al., 1994). Some may rely excessively on the practice of impression management, defined by Rosenfeld, Giacalone, and Riordan (1995) as: "...a broad phenomenon in which we try to influence the perceptions and behaviors of others by controlling the information they receive."

(p. 7) Impression management is not inherently negative. Most people engage in it as part of the daily socializing process. However, when relied on excessively as a mechanism to compensate for shortcomings real or imagined, those who are the targets of the effort to impress may react negatively. However, repeating Sperry's (1999) observation, the practice of impression management, unfortunately, is a valued skill in some parts of the corporate world. This may be in part what Fred Luthans (1988), described in his study of how managers use their time. Luthans (1988) identified a group of managers whose success in their field seemed to be attributable to the inordinate amount of time they spend networking and engaging in organizational politics rather than focusing on the activities of communication and working with their people.

Congruent Second Nature vs. Bad Habits

According to Cloninger et al. (1994):

Individuals who score high on this subscale have developed a spectrum of goal-congruent, good habits so that they automatically act in accord with their long-term values and goals. This is achieved gradually as a consequence of self-discipline, but eventually becomes automatic ("second nature"). These habits usually develop through repeated practice and are typically stronger than most momentary impulses or persuasion. In other words, these individuals rarely

confuse their priorities and thus feel safe and self-trusting in many tempting situations. (p.25)

This description has much in common with the traditional definition of integrity, which, according to Webster's Third New International Dictionary, is: "...an uncompromising adherence to a code of moral, artistic, or other values; utter sincerity, honesty and candor; avoidance of deception, expediency, artificiality, or shallowness of any kind ...” (Grove, 2002).

In contrast, individuals who score low on this facet have habits that are inconsistent with the accomplishment of worthwhile goals (“goal-incongruent habits”). Perceived by others sometimes as self-defeating and weak-willed, their will power may be too weak to overcome strong temptations, though they know they will suffer the consequences (Cloninger et al., 1994).

Cooperativeness

Cooperativeness, according to Cloninger et al. (1994), is a character dimension consisting of the following five facets: social acceptance vs. social intolerance, empathy vs. social disinterest, helpfulness vs. unhelpfulness, compassion vs. revengefulness, and pure hearted principles (integrated conscience) vs. self-serving advantage.

What Cloninger and colleagues refer to as cooperativeness is also found in emotional intelligence, a popular topic of discussion in personal development circles today. According to Ryback (1998):

All of a sudden, as the new millennium begins, the concept of emotional intelligence has begun to make its indelible mark on the workplace. But the keen observer could see it coming for many, many years. Successful leaders have

always been attuned to human interaction and their decisions were imbued with emotional sensitivity. But this was hardly ever discussed openly; rather it was like an underground secret. Finally, the underlying essence of successful leadership is being revealed for all to consider. (p. 1)

Though the concept of emotional intelligence dates to 1990 through the work of Peter Salovey and John Mayer, its roots can be traced to 1935 and the work of E.L. Thorndike, who wrote on social intelligence, the capacity, according to Ryback (1998), to “act wisely in human relations.” However, it was not until 1995 when Daniel Goleman’s *Emotional Intelligence* was published, that the subject became popular (Ryback, 1998).

Goleman, Boyatzis and McKee, (2002), by their own account agree with other authors: “...that the main tasks of a leader are to generate excitement, optimism, and passion for the job ahead, as well as to cultivate an atmosphere of cooperation and trust.” One sees the similarities between the TCI descriptors for cooperativeness and what Goleman et al. (2002) refer to as the four domains of emotional intelligence, self-awareness, self-management, social awareness and relationship management (Goleman, Boyatzis, & McKee, 2002).

According to Cooper and Sawaf (1997), a person’s fundamental values and character in life stem, above all, not from IQ but from underlying emotional capacities (Cooper & Sawaf, 1997).

Cooperativeness, as the term is used by Cloninger et al. (1994), accounts for individual differences in identification with and acceptance of other people. High scorers on the cooperativeness dimension are described as empathetic, tolerant, compassionate, supportive, fair, and principled. They enjoy being of service to others and try to

cooperate with others as much as possible. Understanding and respecting the preferences and needs of others and themselves are among their strengths. This capacity is essential for sustaining harmonious and balanced teamwork and social groups, but is not needed by solitary individuals.

By comparison, according to Cloninger et al. (1994), low scorers on the cooperativeness dimension are described as self-absorbed, intolerant, critical, unhelpful, revengeful, and opportunistic. They primarily look out for themselves, tending to be inconsiderate of other's rights or feelings. Those who prefer to be solitary often are uncooperative. However, being so is a handicap in social relations among peers. As stated by Cloninger et al. (1994): "If a social leader is self-directed but uncooperative, they are likely to be described in derogatory terms, such as tyrant or jerk, because of a lack of empathy, compassion, and moral principles." (p. 26)

Cooperativeness Facets

The following are descriptors of people with high scores and people with low scores on each of the five facets of the cooperativeness dimension. In identifying these facets of cooperativeness, Cloninger et al. (1994) assumed that the person is expected to participate as a member of a social group.

Social Acceptance vs. Social Intolerance

According to Cloninger et al. (1994), individuals who score high on this subscale are described as tolerant and friendly, accepting others as they are, though they may differ in behavior, may embrace different ethical ideals, have different opinions and values, and may have a different appearance. Ryback (1998) concurs, identifying a nonjudgmental attitude as the number one attribute of executive emotional intelligence.

This means accepting each individual on the basis of what he or she offers at the present moment, not on what others think may have happened in the past, in spite of what may be heard through the grapevine. According to Ryback (1998):

Nonjudgmental executives look at each person first of all with courtesy and respect, with an attitude of concern and support. They consider each first meeting an honor, approaching the other person with openness to the potential of a new relationship. (p. 109)

In contrast, according to Cloninger et al. (1994), low scorers on the social acceptance subscale are described as intolerant and unfriendly, typically impatient with and critical of others, particularly those with different goals and values. "I did it my way" is a popular self-congratulatory refrain for such self-centered individuals. According to Carter (1989), some of these people are "invalidators", those who practice making others feel badly. The invalidator chops away at a person's self-esteem through criticism, sometimes in the guise of helpful suggestions. The focus is on control of others. Ryan and Oestreich (1998), describe some leaders they have studied as abrasive and abusive. These leaders exhibit behavior that is aggressive and intimidating, often leaving people feeling bullied, humiliated, isolated, insulated, and threatened (Ryan & Oestreich, 1998). In the experience of the researcher, this type of person is frequently found in the workplace. They can be manipulative, expressly abusive, subtly abusive and marginalizing, either through overt aggression or passive aggression. The invalidator can be among the brightest people in the organization. However, they use their gifts for destructive purposes, with the result that the organization frequently experiences a form of sub-optimization that carries a cost that does not appear as a line item in the

company's financial statements. These are the unquantifiable costs resulting from diminished morale, stifled creativity and in some cases subtle sabotage.

Empathy vs. Social Disinterest

According to Cloninger et al. (1994), high scorers on the empathy subscale typically try to imagine themselves in the shoes of others. These individuals are sensitive to the feelings of others. They treat people with dignity and respect, and often set aside their judgment in order to better understand what other people are experiencing. Whereas the TCI temperament dimension of reward dependence is associated with experiencing sympathetic emotions, empathy also involves a conscious understanding of, and respect for, the goals and values of other people (Cloninger et al., 1994). This difference between sympathy and empathy is also expressed by Covey (1991):

...[empathy is] moving into the minds and hearts of others to see the world as they see it. It does not mean that you feel as they feel. That is sympathy. Rather, it means that you understand how they feel based on how they see the world.

That is empathy. (p. 116)

According to Goleman et al. (2002):

Leaders with empathy are able to attune to a wide range of emotional signals, letting them sense the felt, but unspoken, emotions in a person or group. Such leaders listen attentively and can grasp the other person's perspective. Empathy makes a leader able to get along well with people of diverse backgrounds or from other cultures. (p. 255)

Those scoring low on the empathy facet are described as insensitive. These individuals are not interested in other's feelings. Therefore, they seem unable or

unwilling to share in another's emotions, suffering, or hardship. Respecting and valuing the goals and values of other people does not normally occur to them (Cloninger et al., 1994). From the researcher's workplace observations, it is the exception and often the extreme exception, when empathy occurs. A possible partial explanation may be found in Richard Hallstein's book, *Memoirs of a Recovering Autocrat*. Hallstein (1992) speaks of the "action bias" associated with life today and how this bias compels people to first identify some action to take to solve a given problem. However, there are situations that call for listening and empathizing and not for action. Rather, in such situations, action may be perceived as an indicator of an uncaring or insensitive attitude. These occasions call for "not doing" behaviors, which action junkies find difficult to learn (Hallstein, 1992).

Helpfulness vs. Unhelpfulness

According to Cloninger et al. (1994), those who score high on this character facet are described as helpful, supportive, encouraging and reassuring. They actually enjoy being of service to others and are willing to share their skills and knowledge so that everyone benefits. They prefer teamwork rather than being an individual contributor. According to Goleman et al. (2002):

Leaders who are able team players generate an atmosphere of friendly collegiality and are themselves models of respect, helpfulness and cooperation. They draw others into active, enthusiastic commitment to the collective effort, and build spirit and identity. They spend time forging and cementing close relationships beyond mere work obligations. (p. 256)

Low scorers on the helpfulness facet, in contrast, are described as self-centered, egotistic, or selfish. They tend to be inconsiderate of other people, looking out only for themselves, even when working in a team of highly cooperative collaborators. When part of a team, they want to be in charge. If they cannot be in charge, they often prefer to work alone (Cloninger et al., 1994). The researcher has experienced these as the typically hubristic individuals that frequent the workplace, often in positions of authority. They act as if their position in the hierarchy has conveyed a license to behave in an imperious manner and to marginalize others whom they perceive as not being useful in helping them achieve greater personal success. These people seem unaware of the value of and need for a healthy sense of humility to accompany a healthy sense of self-confidence.

Hubris was recognized by early civilizations such as the Greeks, as a type of self-focused pride that, when indulged in by a person, frequently led to the person's destruction. Sir Herbert Read, in his forward to *Hubris, a Study of Pride* by Robert (Payne, 1960), conveys the significance and frustration with the concept of pride and humility in stating:

Pride, whether worldly or spiritual, is the most significant of all human sentiments, the "wanton nymph" that throughout all history has lured men to their destruction; but its significance lies, not so much in its own fateful consequences, as in the contrast it offers to the virtue of humility....yet it is not a simple contrast, of black and white, of good and evil. In the dialectic of history, as in the vital tension of the human spirit, pride is as necessary as humility is desirable. (p.x)

It is interesting that the ancient Greeks had a word they used to contrast with hubris and for which English has no equivalent, though the Greek word itself appears in some large, unabridged English dictionaries. This word is *sophrosyne*, which is defined in Webster's Third New International Dictionary as temperance, self-control, prudence, contrasted with hubris (Grove, 2002). (Pinilla, 1959) studied the Greek ideal of *sophrosyne* at length and offers the following definitions:

Sophrosyne is connected essentially with orderly conduct, beautiful, measured, harmonic and equilibrated....Sophrosyne is linked to modesty and demureness, understood as love and respect of the highest personal values embodied in human beings....[sophrosyne] is also useful and practical, guaranteeing success in life to those who have it....Sophrosyne also demands, as an integrating element of its essence, the fulfillment of citizen's duties, giving to each what is his or hers and attaining in this way what belongs to each one of us, as integral members of a public community. (p. 179-182)

In his essay entitled *Sophrosyne – The Lost Ideal*, Donivan Bessinger (1997) discusses the classical Greek ideal of *Sophrosyne*, meaning excellence of character and soundness of mind in a well-balanced individual. *Sophrosyne*, according to Bessinger (1997): "...is the quality of character which we must expect, and elect, in our leaders." (Bessinger, 1997, p. 2)

Compassion vs. Revengefulness

Cloninger et al. (1994) describe individuals who score high on this facet as compassionate, forgiving, charitable and benevolent, avoiding revenge even if they are treated badly. These individuals focus on being constructive in relationships, actively

trying to get over insults or unfair treatment. According to Reina and Riena (1999), compassion provides awareness and understanding for others. This awareness enhances the individual's and the organization's capacity for trust. The result is strengthened relationships. (Reina & Reina, 1999)

Getting revenge, actively or passively, on people who hurt them is a form of enjoyment for low scorers on the compassion vs. revengefulness facet of the TCI, according to Cloninger et al. (1994). Revenge can take be active, such as hurting others physically, emotionally, and financially or passive, such as holding grudges, deliberate forgetfulness, stubbornness, and procrastination. These may have been among the people (Maslow, 1966) was thinking of when he coined his phrase: "I suppose it is tempting, if the only tool you have is a hammer, to treat everything as if it were a nail" (p. 15). It occurs to the researcher that the tool here may be a developed sense of compassion.

In the experience of the researcher, one of the serious problems affecting the quality of life and productivity in the workplace is hostility, often expressed by what Carter (1989) refers to as "invalidation", by managers. Invalidation, according to Carter (1989) is the practice of making people feel badly as a method of controlling them and one of the insidious aspects of invalidation is that it spreads after prolonged association with invalidators. One of the most common forms of invalidation, in the experience of the researcher, is marginalization, which is the practice of treating people as if they do not matter. Though an individual may be grounded in a personal philosophy and operating style that abhors such behavior, if the culture of the organization has the combination of hostility and invalidation as one of the cornerstones, the pressures to adopt the practice of invalidation can be very strong. A conclusion of the researcher is

that in order to resist becoming part of the problem, individuals need to be self-aware and resilient in fending off the pressure to adopt the practice of invalidation.

Integrated Conscience vs. Self-Serving Advantage

According to Cloninger et al. (1994), individuals who score high on the pure-hearted principles (integrated conscience) facet are described as honest, genuinely scrupulous, and sincere. They treat others in a consistently fair manner and have incorporated stable ethical principles and scruples in both their professional and social interpersonal relationships. According to Galford and Drapeau (2002), this matches well with the qualities people want in highly trusted leaders, which includes caring, honesty, reliability, straightforwardness, integrity and consistency (Galford & Drapeau, 2002). As pointed out by Cloninger et al. (1994), it is interesting that such ethical standards are part of cooperativeness rather than the character dimension of self-transcendence or spirituality. However, Cloninger and colleagues, the developers of the TCI, determined that scores on this scale correlate with other facets of social cooperativeness and not with self-transcendence.

Low scorers on this facet are described by Cloninger et al. (1994) as opportunistic, adopting the practice of “whatever it takes” to reach their goals without getting in immediate trouble. These individuals are frequently described as self-serving, manipulative and deceitful. Treating people unfairly does not bother them if doing so helps to accomplish their objective. These people have not incorporated stable ethical principles and scruples into their social and interpersonal relationships. This description of self-serving advantage may coincide with what Surowiecki (2002) describes as the attitudes of Enron Corp’s top executives and the leaders of Tyco International, Adelphia

Communications and other firms, as well as their auditors, during the years leading to the corporate scandal revelations in 2001 and 2002. By defrauding customers and investors, these executives reaped hundreds of millions of dollars while their companies suffered and in some cases collapsed, leading to lost investment, unemployment and perhaps worst of all, a loss of stakeholder trust in business organizations in general (Surowiecki, 2002).

Self-Transcendence

The character dimension of self-transcendence, according to Cloninger et al. (1994), is multifaceted, made up of creative self-forgetfulness vs. self-conscious experience, transpersonal identification vs. personal identification, and spiritual acceptance vs. rational materialism.

Self-transcendent individuals are described consistently as unpretentious, fulfilled, patient, creative, selfless, and spiritual (Cloninger et al., 1994). This description matches well with Collins' (2001) finding of personal humility as a consistent quality of the Level 5 leaders at the top eleven companies in his study. According to Collins (2001):

Level 5 leaders channel their ego needs away from themselves and into the larger goal of building a great company. It's not that Level 5 leaders have no ego or self-interest. Indeed, they are incredibly ambitious, but their ambition is first and foremost for the institution, not themselves. (p. 21)

According to Weick (as cited in Bennis et al., 2001), among the leadership qualities needed for the unpredictable twenty-first century is: "... more humility and less hubris." (p. 93) Collins (2001) found that those who worked with or wrote about the

good-to-great leaders in his study used descriptors such as quiet, humble, modest, reserved, shy, gracious, mild-mannered, self-effacing and understated.

According to Cloninger et al. (1994), people in eastern societies who exhibit high self-transcendence are described as enlightened and wise. However, in western societies the same traits may be described as naïve. These individuals seem to be able to tolerate ambiguity and uncertainty and can fully enjoy most of their activities without having to know the outcome and without feeling the urge to control it. Many self-transcendent people report feeling sincerely that the universe is unfolding just as it should. Additionally, many feel that their spirituality has helped them to understand the real purpose of their lives. Others are impressed with their humility and modesty, their ability to accept failure of even their best efforts and their being thankful for both their failures and their successes. They may be criticized in the west for their naiveté, magical thinking, and subjective idealism, which may interfere with the acquisition of material wealth and power. However, when a person is confronted with suffering and death, inevitable with advancing age, high self-transcendence has adaptive advantages.

Individuals low in self-transcendence tend to be proud, impatient, unimaginative, unappreciative of art, self-aware [self-conscious], materialistic, and unfulfilled. They have difficulty with ambiguity, uncertainty, and surprises. Rather, control becomes their focus. Low self-transcendent people may impress others as pretentious, unable to be satisfied with what they have. However, those low in self-transcendence are often admired in western societies for their rational, scientific objectivity and materialistic success. As they advance in age, they often have difficulty facing the prospect of death with equanimity (Cloninger et al., 1994).

Self-Transcendence Facets

According to Cloninger et al. (1994), the following descriptors apply to people with high and low scores on each of the three facets of self-transcendence.

Creative Self-Forgetfulness vs. Self-Consciousness

Individuals who experience self-forgetfulness are often described as creative and original. High scorers on this facet tend to transcend their self-boundaries when deeply involved in a relationship or when concentrating on what they are doing. Consequently, forgetting where they are and losing track of time are common experiences for these people. This may result in their appearing to be “in another world” or absent-minded. Flow states, peak experiences, or higher levels of insight meditation are terms sometimes used to describe absorption of this type (Cloninger et al., 1994).

Low scorers on the creative self-forgetfulness facet according to Cloninger et al. (1994) tend to remain aware of their individuality in a relationship or when concentrating on their work. They are rarely deeply moved by art or beauty and others usually perceive them as conventional, prosaic, unimaginative, or self-conscious.

Transpersonal Identification vs. Personal Identification

High scorers on the transpersonal identification facet are sometimes seen as fuzzy-thinking idealists due to their being strongly in tune with nature and the universe. They are acutely aware of people and the physical environment. They often feel that everything is a part of one living organism. They often make real personal sacrifices in order to make the world a better place by trying to prevent war, poverty, or injustice. Their love of nature may compel them to protect the environment (Cloninger et al., 1994).

Low scorers on this facet rarely experience strong connections to nature or people, according to Cloninger et al. (1994). Rather, they tend to be individualists who feel that they are not responsible for what is going on with other people or the rest of the world and unless they can document objectively some practical advantage, are rarely willing to make sacrifices in order to make the world a better place. These people see nature not as something of which they are an integral part, but rather as an external object to be manipulated instrumentally.

Spiritual Acceptance vs. Rational Materialism

Cloninger et al. (1994) describe individuals who score high on this subscale as often believing in miracles, extrasensory experiences, and other spiritual phenomena and influences. As spiritual mystics who may be vitalized and comforted by spiritual experiences, they may deal with suffering and even death through their faith, which may involve communion with their God. A similar view is expressed by (Heider, 1985) when speaking of the wisdom of Lao Tzu's Tao Te Ching: "The wise leader models spiritual behavior and lives in harmony with spiritual values. There is a way of knowing, higher than reason; there is a self, greater than egocentricity" (p. 143). According to Kantrowitz (as cited in Judge, 1999), spirituality has traditionally been part of many executives' private lives, but it has only been since the 1990s that a person's spirituality could be discussed and practiced at work, as evidenced by the proliferation of books on the subject of spirituality in the workplace (Judge, 1999). In his book *Spirit at Work*, Jay Conger (1994) discusses his exploration of:

"...management ideas that are attempts to heal the rift between an organization's needs for profitability and efficiency and its members' needs for growth and

meaning....and more explicitly, the possibility of workplaces in which spirituality played an active role and the possibility that leadership was the enabling force...”

(Conger, 1994)

Materialism and objective empiricism are favored by low scorers on the spiritual acceptance facet. Generally, they are willing to accept only those things that can be scientifically explained. However, when confronted by death, suffering or unjust punishments over which they have no control or that they cannot evaluate by rational, objective means, these people can be at a disadvantage (Cloninger et al., 1994).

The inclination to dismiss that which cannot be measured is a common workplace occurrence in the experience of the researcher. The emphasis on the rational that denies the spiritual effectively bottles up one's humanity. Perhaps this is done as a way to simplify life. To acknowledge the possibility of the infinite is overwhelming and somewhat frightening and to embrace it requires effort that many of us are not willing to expend. After all, why invest if the possibility of a return is not assured? This may be similar to what Scott Peck (1978) meant when he wrote:

We don't want God's responsibility. We don't want the responsibility of having to think all the time. As long as we can believe that godhood is an impossible attainment for ourselves, we don't have to worry about our spiritual growth, we don't have to push ourselves to higher and higher levels of consciousness and loving activity; we can relax and just be human. If God's in his heaven and we're down here, and never the twain shall meet, we can let Him have all the responsibility for evolution and the directorship of the universe....Nonetheless, as soon as we believe it is possible for man to become God, we can really never rest

for long, never say, “OK, my work is finished, my work is done.” We must constantly push ourselves to greater and greater wisdom, greater and greater effectiveness. By this belief we will have trapped ourselves, at least until death, on an effortful treadmill of self improvement and spiritual growth. (p. 270)

Recommendations

In a paper appearing in *Consulting Psychology Journal* in 1997, organizational consultant Len Sperry stated that assessment instruments to help people develop their characters for the purpose of leadership development are generally not available (Sperry, 1997). In this and a later paper in 1999 for the same journal, Dr. Sperry suggested that an instrument known as the Temperament and Character Inventory, developed by Dr. Robert Cloninger and colleagues at Washington University in St. Louis, may be useful for this purpose, asserting that the character dimensions of self-directedness, cooperativeness and self-transcendence identified by Cloninger et al. (1994) are basic to healthy executive character structure (Sperry, 1997, 1999). This study contributes to the literature by exploring the utility of the TCI for the purpose of assessing leaders’ character and additionally exploring the usefulness of individual action plans to address those areas identified by study participants as opportunities for improvement.

Reviewing the two-year duration of this study, the researcher offers the following recommendations, including revising some parts of the TCI process to make it more effective for both leadership and personal development including the integration of executive coaching, integrating the TCI concept into character education in school systems, and following through with recommendations for future research.

The TCI was developed for clinical applications and the vocabulary of clinical settings understandably appears throughout the TCI literature and in the documentation associated with the instrument. For example, the word *patient* is used on the TCI score report, which is appropriate for clinical applications, though not appropriate for leadership development. By editing the literature and the report by replacing the word *patient* with the word *participant*, the process would appear less clinical and friendlier.

To facilitate an understanding of the descriptors of the dimensions of the TCI, a user-friendly guidebook would be useful to explain in some detail the significance of high and low TCI scores and to provide definitions of some of the frequently used terms associated with the instrument. The guidebook could also supplement the current TCI terms such as self-directedness, cooperativeness and self-transcendence, with terms more familiar to participants, such as integrity, honesty and courage and could correlate the TCI terms with the more familiar terms. For the purpose of informing the participants in this study, the researcher included some of these suggested edits and definitions in the score report, Appendix D, and created a guiding handout, Appendix I, using the descriptive words found in the TCI manual.

The TCI manual, published by the developers of the TCI, contains helpful background material and suggestions for clinicians who use the instrument in their practice. With appropriate editing, many of these suggestions would be useful for executive coaches who elect to use the TCI in their coaching practice. For example, the description in the manual of the model of character could be rewritten so as to use terms that are less technical and more easily understood by both coaches and their clients.

One version of the TCI is designed for use with children seven through fourteen years of age. This version is referred to as the Junior Temperament and Character Inventory and is a simplified version of the TCI, using short, concrete statements designed for the reading level of the intended age group (Cloninger et al., 1994). With revisions similar to those suggested above for the TCI, the Junior TCI may be a candidate assessment instrument for character education programs in school systems.

Future Research

A study such as this can at best contribute in only a modest way toward the understanding of a topic as complex as the relationship between character and leadership. The possibilities for additional research seem infinite and one hardly knows where to begin to make recommendations for future studies. However, a few recommendations follow.

The first recommendation is a replication study using a greater number of participants. Though the participants in this study were selected in part on the basis of their leadership diversity, the relatively small number of ten participants is a limitation on the use of the results. Therefore, a study using many more participants following a process similar to the one used for this study may yield interesting results.

According to Covey (1991), a universal, ideal mission for business organizations is that of improving the economic well-being and the quality of life of all stakeholders, including investors, suppliers, employees and the community. Though Covey's work has been widely read for more than a decade, unfortunately the ideal of pursuing the interests of all stakeholders has not been widely embraced. Within many traditional business organizations, the only stakeholders of any consequence are shareholders. Enhancing

shareholder value continues to be the mantra of most business organizations, often to the exclusion of others' interests. One explanation for this is that the managers of these organizations are beholden to the board of directors who are elected by shareholders who are usually interested, and often only interested, in maximizing the return on their investment. Therefore, shareholders indirectly affect the policies and cultures of these organizations. As the thinking evolves as to the role business organizations play in society, an exploratory study of the utility of the TCI for the purpose of the personal development of business shareholders could lead to a new view of the role of business organizations.

Studies of democratically operated businesses by Whyte & Whyte (1991), Adams & Hansen (1992) and others are interesting in that they show viable alternatives to the traditional shareholder-owned and dominated business enterprise. The foundation of the structure of these businesses, sometimes referred to as cooperatives, is often member-workers, who are also shareholders and are active in all aspects of the business. A study of the utility of the TCI for leadership and membership development in these democratically operated businesses would be interesting. Additionally, a study comparing the results of such a study with the results of a study using the TCI for the personal development of owners of traditional shareholder-owned businesses would be interesting.

A study of perceptions of ideal leader character could be useful in that it may reveal unexpected results about the subject of leader character and stimulate a dialogue that may influence the future direction of organizations.

Character differences among national cultures and ethnic groups could lead to new insights regarding the globalization of trade. For example, in a business context, is leader character perceived differently in companies in the east compared with companies in the west?

An interesting study would be to explore the differences, if any, in the ways the utility of the TCI is perceived as a tool for leadership development by women compared with men.

Is leader character, as assessed by the TCI, different in military organizations compared with business organizations? An interesting study would be to explore the utility of the TCI as a tool for the development of military leaders and then compare such a study with a similar study of business organizations.

The subject of workplace bullying has become a popular one in recent years. An exploratory study of the usefulness of the TCI as a personal development tool to transform workplace bullies may provide a valuable contribution to civilizing the workplace.

According to Robbins (2000), self-serving bias may lead executives to attribute their failures to external rather than internal causes. This study relied on a self-report by the participants, which carries the possibility that participants' self-serving bias may affect the results. One way to minimize this bias is to use a 360 degree or multi-rater process. An interesting study would be to explore the utility of the TCI as a tool for leadership development using a 360 degree or multi-rater process rather than or perhaps accompanied by, self-reports.

Concluding Comments

According to Hogan and Sinclair (1997), “Judgments of others’ characters are made through the lens of one’s own character and this lens is idiosyncratically focused.” (Hogan & Sinclair, 1997) If this applies to self-knowledge, then individuals may not be able to view themselves the way others see them, at least in some dimensions. Recalling the Johari window in Chapter 1, Cell B represents our blind spots, what is known to others but unknown to self. Exploring this cell can be very valuable for gaining insights that would not otherwise have been available to us (Carroll et al., 1997). Using the TCI and a process similar to the one used for this study may lead to valuable awareness for many people. Using a 360 degree or multi-rater process may provide even greater insight.

One of the concerns of the researcher regarding this study is the possibility that TCI results could be misapplied. Use of the TCI must be voluntary and confidential and must be based on a desire by participants to enhance their character self-awareness and continually improve in those areas for which they identify a need. The focus of all those involved, including leader participants, coaching participants and those observing the process, must be on the aspirational rather than the judgmental aspects of the participants’ growth.

Why is this subject important? One response to this question is that the problems created by ignoring such topics are affecting many people. Among those affected directly are employees, investors and customers. However, there are many who are affected indirectly, such as suppliers, the community and governments at various levels.

The September 9, 2002 edition of *The Wall Street Journal* included a special section on graduate business programs. According to Ronald Alsop, who authored part of this special section, companies that recruit MBA students are looking for interpersonal communication, leadership, teamwork and other so-called soft skills in candidates to supplement the traditional analytical skills and command of subjects such as finance, marketing and strategy that are typically part of these programs. The schools themselves are recognizing the need to teach these skills that have traditionally received little attention in bottom line oriented business programs (Alsop, 2002). According to Rob Greenly, the director of leadership at MIT's Sloan School of Management (cited in Alsop, 2002): "M.B.A. students may get by on their technical and quantitative skills the first couple of years out of school, but soon, leadership and communication skills come to the fore in distinguishing the managers whose careers really take off" (p. R11). Geoffrey Hitch of the Carnegie Mellon M.B.A program (cited in Alsop, 2002) states: "Number-crunching dominates the personalities of many of the students here who come from engineering and mathematics backgrounds; it's my job to remind them they're human. It's the human impression and connections that really matter in business" (p. R14).

Unfortunately, corporations do not yet place much emphasis on the value of corporate citizenship when evaluating candidates for employment. A survey of corporate recruiters by *The Wall Street Journal* and Harris Interactive from October 2001 to March 2002 indicates that corporate citizenship ranked last on a list of 24 attributes as most important to them when recruiting M.B.A. students. Candidates who list good deeds on their resumes may be at a disadvantage with some recruiters, being seen as too soft for

the business world (Alsop, 2002). Whether this will change given the corporate scandals involving Enron, Worldcom, Arthur Andersen and others, is not yet known.

If business schools are effective in teaching the soft skills to students and these skills are embraced by students who consciously make them part of every day behavior, it will be difficult for others in organizations to engage in the scandalous activities as apparently occurred within Enron, Worldcom and other companies. However, the pressure to perform financially will always drive some business leaders to bend the rules.

Most participants in this study reported benefiting from their participation, though in varying degrees. The TCI became a type of mirror, offering the opportunity to enhance their self-awareness of their character and to reflect on their TCI results with the assistance of their assigned executive coach and the researcher. The action plans developed from that reflection process, for most participants will be a continuing work in process, perhaps underway for a lifetime. The addition of action plans to the TCI process is a unique contribution of this study.

The coaching participants all agreed that the TCI process as used in this study contributed to their self-awareness as well as to the self-awareness and leadership development of the executive participants. Furthermore, all of the coaches are interested in using the TCI process in their coaching practice, particularly as the process evolves to reflect the thoughtful suggestions provided by the participants.

A concluding comment: The TCI assessment process in this study may be the type of experience Marcel Proust had in mind when he wrote: "The real act of discovery consists not in finding new lands but in seeing with new eyes" (cited in Ryback, 1998).

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Appendix A

Consent Form
Executive Group

Scott Clark is a doctoral candidate in the Leadership Studies Program in the School of Education at the University of San Diego. He is conducting a research study on executive character assessment and its relationship to personal and leadership development, using an assessment instrument known as the Temperament and Character Inventory (TCI).

If you agree to participate in this study, the following will be required of you:

1. You will complete the TCI, a paper and pencil assessment that requires one half hour or less to complete.
2. You will participate in a meeting during which the researcher and a professional coach or consultant will provide you with the results of your TCI. This meeting will require approximately an hour and one half.
3. At your option, you may request the researcher and coach or consultant to collaborate with you in structuring an action plan for the purpose of furthering your personal and leadership development based on your TCI results. This effort may require two or more hours to complete and may require more than one meeting.
4. You will be interviewed by the researcher within one month after receiving your TCI results to determine to what extent the TCI and related activities were useful to you for improving your self-awareness of your character and for identifying ways you may desire to improve your personal and professional skills. This interview will likely require no more than two hours to complete.
5. You will be asked to review the transcript of your interview for accuracy and necessary editing to maintain confidentiality.

Participation in the study involves a minimal risk of loss of confidentiality. However, the investigator will take all necessary precautions to eliminate or reduce this risk, such as assigning a pseudonym to all respondents. Coaches and consultants will be required to maintain in confidence all information that may reveal your identity. Research records will be kept confidential and will be destroyed one year after completion of the study.

There will be no cost to you for participating in the study. There may or may not be any direct benefit to you from participating in the study. The researcher, however, may learn more about the phenomenon of character assessment and its relationship to personal and leadership development.

Scott Clark has explained this study to you and answered your questions. If you have further questions, please feel free to call Scott at 760 749-7820.

Participation in this study is entirely voluntary. You may refuse to participate or withdraw at any time without jeopardy.

The data for the study will be used in Scott Clark's dissertation, and may be used in subsequent articles and manuscripts.

There are no other agreements, written or verbal, regarding the subject's participation in the study beyond that expressed in this consent form.

I, the undersigned, understand the above explanations and on that basis, I give consent to my voluntary participation in this research.

Signature of Subject

Date

Location (e.g. San Diego, CA)

Signature of Principal Researcher

Date

Appendix B

Consent Form
Coaching Group

Scott Clark is a doctoral candidate in the Leadership Studies Program in the School of Education at the University of San Diego. He is conducting a research study on executive character assessment and its relationship to personal and leadership development, using an assessment instrument known as the Temperament and Character Inventory (TCI).

If you agree to participate in this study, the following will be required of you:

1. You will complete the TCI, a paper and pencil assessment that requires one half hour or less to complete.
2. You will participate in a meeting during which the researcher will provide you with the results of your TCI. This meeting will require approximately an hour and one half.
3. You will be required to maintain in confidence all information pertaining to executive group participants with whom you will be working as part of this study.
4. You will work with the researcher to provide subjects' TCI results to them. These meetings will likely require an hour and a half for each executive group participant.
5. You will work with the researcher to construct action plans for personal improvement for those subjects who request such plans. This may require two or more hours per executive group participant and may require more than one meeting with the executive participant.
6. You will be interviewed by the researcher to determine your evaluation of the experience of administering the TCI and to obtain your recommendations for specific training approaches, methods or models and improvements to make the overall process more effective. This interview will likely require no more than two hours to complete.
7. You will be asked to review the transcript of your interview for accuracy and necessary editing to maintain confidentiality.

Participation in the study involves a minimal risk of loss of confidentiality. However, the investigator will take all necessary precautions to eliminate or reduce this risk, such as assigning a pseudonym to all respondents. Research records will be kept confidential and will be destroyed one year after completion of the study.

There will be no cost to you for participating in the study. There may or may not be any direct benefit to you from participating in the study. The researcher, however, may learn more about the phenomenon of character assessment and its relationship to personal and leadership development.

Scott Clark has explained this study to you and answered your questions. If you have further questions, please feel free to call Scott at 760 749-7820.

Participation in this study is entirely voluntary. You may refuse to participate or withdraw at any time without jeopardy.

The data for the study will be used in Scott Clark's dissertation, and may be used in subsequent articles and manuscripts.

There are no other agreements, written or verbal, regarding the subject's participation in the study beyond that expressed in this consent form.

I, the undersigned, understand the above explanations and on that basis, I give consent to my voluntary participation in this research.

Signature of Subject

Date

Location (e.g. San Diego, CA)

Signature of Principal Researcher

Date

Appendix C
Temperament and Character Inventory

Temperament and Character Inventory

In this booklet you will find statements people might use to describe their attitudes, opinions, interests, and other personal feelings.

Each statement can be answered True or False. Read the statement and decide which choice best describes you. Try to describe the way you usually or generally act and feel, not just how you are feeling right now.

We would like you to fill out this questionnaire on your own using a pencil. When you are finished, please return the questionnaire to the designated person.

How to Complete This Questionnaire

To answer, you only need to circle either "T" or "F" after each question. Here is an example:

Example:		True	False
I understand how to complete this questionnaire.		T	F

(If you understand how to complete this questionnaire, circle "T" to show that the statement is True.)

*****8

Read each statement carefully, but do not spend too much time deciding on the answer.

Please answer every statement, even if you are not completely sure of the answer.

Remember there are no right or wrong answers – just describe your own personal opinions and feelings.

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Print your name: _____ Age: _____ Date of Birth ____/____/____

Black ____ White ____ Hispanic ____ Other ____ Sex: M F

Occupation: _____

Date: ____/____/____

True False

1.	I often try new things just for fun or thrills, even if most people think it is a waste of time.	T	F
2.	I usually am confident that everything will go well, even in situations that worry most people.	T	F
3.	I am often moved deeply by a fine speech or poetry.	T	F
4.	I often feel that I am the victim of circumstances.	T	F
5.	I can usually accept other people as they are, even when they are very different from me.	T	F
6.	I believe that miracles happen.	T	F
7.	I enjoy getting revenge on people who hurt me.	T	F
8.	Often when I am concentrating on something, I lose awareness of the passage of time.	T	F
9.	Often I feel that my life has little purpose or meaning.	T	F
10.	I like to help find a solution to problems so that everyone comes out ahead.	T	F
11.	I could probably accomplish more than I do, but I don't see the point in pushing myself harder than is necessary to get by.	T	F
12.	I often feel tense and worried in unfamiliar situations, even when others feel there is little to worry about.	T	F
13.	I often do things based on how I feel at the moment without thinking about how they were done in the past.	T	F
14.	I usually do things my own way, rather than giving in to the wishes of other people.	T	F
15.	I often feel so connected to the people around me that it is like there is no separation between us.	T	F
16.	I generally don't like people who have different ideas from me.	T	F
17.	In most situations my natural responses are based on good habits that I have developed.	T	F

		True	False
18.	I would do almost anything legal in order to become rich and famous, even if I would lose the trust of many old friends.	T	F
19.	I am much more reserved and controlled than most people. ...	T	F
20.	I often have to stop what I am doing because I start worrying about what might go wrong.	T	F
21.	I like to discuss my experiences and feelings openly with friends instead of keeping them to myself.	T	F
22.	I have less energy and get tired more quickly than most people.	T	F
23.	I am often called "absent-minded" because I get so wrapped up in what I am doing that I lose track of everything else.	T	F
24.	I seldom feel free to choose what I want to do.	T	F
25.	I often consider another person's feelings as much as my own.	T	F
26.	Most of the time I would prefer to do something a little risky (such as riding in an automobile over steep hills and sharp turns), rather than having to stay quiet and inactive for a few hours.	T	F
27.	I often avoid meeting strangers because I lack confidence with people I do not know.	T	F
28.	I like to please other people as much as I can.	T	F
29.	I like old "tried and true" ways of doing things much better than trying "new and improved" ways.	T	F
30.	Usually I am not able to do things according to their priority of importance to me because of lack of time.	T	F
31.	I often do things to help protect animals and plants from extinction.	T	F
32.	I often wish that I was smarter than everyone else.	T	F
33.	It gives me pleasure to see my enemies suffer.	T	F
34.	I like to be very organized and set up rules for people whenever I can.	T	F

	True	False
35. It is difficult for me to keep the same interests for a long time because my attention often shifts to something else.	T	F
36. Repeated practice has given me good habits that are stronger than most momentary impulses or persuasion.	T	F
37. I am usually so determined that I continue to work long after other people have given up.	T	F
38. I am fascinated by the many things in life that cannot be scientifically explained.	T	F
39. I have many bad habits that I wish I could break.	T	F
40. I often wait for someone else to provide a solution to my problems.	T	F
41. I often spend money until I run out of cash or get into debt from using too much credit.	T	F
42. I think I will have very good luck in the future.	T	F
43. I recover more slowly than most people from minor illnesses or stress.	T	F
44. It wouldn't bother me to be alone all the time.	T	F
45. Often I have unexpected flashes of insight or understanding while relaxing.	T	F
46. I don't care very much whether other people like me or the way I do things.	T	F
47. I usually try to get just what I want for myself because it is not possible to satisfy everyone anyway.	T	F
48. I have no patience with people who don't accept my views.	T	F
49. I don't seem to understand most people very well.	T	F
50. You don't have to be dishonest to succeed in business.	T	F
51. I sometimes feel so connected to nature that everything seems to be part of one living organism.	T	F

	True	False
52. In conversations I am much better as a listener than as a talker.	T	F
53. I lose my temper more quickly than most people.	T	F
54. When I have to meet a group of strangers, I am more shy than most people.	T	F
55. I am more sentimental than most people.	T	F
56. I seem to have a "sixth sense" that sometimes allows me to know what is going to happen.	T	F
57. When someone hurts me in any way, I usually try to get even. ...	T	F
58. My attitudes are determined largely by influences outside my control.	T	F
59. Each day I try to take another step toward my goals.	T	F
60. I often wish I was stronger than everyone else.	T	F
61. I like to think about things for a long time before I make a decision.	T	F
62. I am more hard-working than most people.	T	F
63. I often need naps or extra rest periods because I get tired so easily.	T	F
64. I like to be of service to others.	T	F
65. Regardless of any temporary problem that I have to overcome, I always think it will turn out well.	T	F
66. It is hard for me to enjoy spending money on myself, even when I have saved plenty of money.	T	F
67. I usually stay calm and secure in situations that most people would find physically dangerous.	T	F
68. I like to keep my problems to myself.	T	F
69. I don't mind discussing my personal problems with people I have known briefly or slightly.	T	F

True False

70.	I like to stay at home better than to travel or explore new places.	T	F
71.	I do not think it is smart to help weak people who cannot help themselves.	T	F
72.	I cannot have any peace of mind if I treat other people unfairly, even if they are unfair to me.	T	F
73.	People will usually tell me how they feel.	T	F
74.	I often wish I could stay young forever.	T	F
75.	I am usually more upset than most people by the loss of a close friend.	T	F
76.	Sometimes I have felt like I was part of something with no limits or boundaries in time and space.	T	F
77.	I sometimes feel a spiritual connection to other people that I cannot explain in words.	T	F
78.	I try to be considerate of other people's feelings, even when they have been unfair to me in the past.	T	F
79.	I like it when people can do whatever they want without strict rules and regulations.	T	F
80.	I would probably stay relaxed and outgoing when meeting a group of strangers, even if I were told they are unfriendly.	T	F
81.	Usually I am more worried than most people that something might go wrong in the future.	T	F
82.	I usually think about all the facts in detail before I make a decision.	T	F
83.	I feel it is more important to be sympathetic and understanding of other people than to be practical and tough-minded.	T	F
84.	I often feel a strong sense of unity with all the things around me.	T	F
85.	I often wish I had special powers like Superman.	T	F
86.	Other people control me too much.	T	F

True False

87.	I like to share what I have learned with other people.	T	F
88.	Religious experiences have helped me understand the real purpose of my life.	T	F
89.	I often learn a lot from people.	T	F
90.	Repeated practice has allowed me to become good at many things that help me to be successful.	T	F
91.	I am usually able to get other people to believe me, even when I know that what I am saying is exaggerated or untrue.	T	F
92.	I need much extra rest, support, or reassurance to recover from minor illnesses or stress.	T	F
93.	I know there are principles for living that no one can violate without suffering in the long run.	T	F
94.	I don't want to be richer than everyone else.	T	F
95.	I would gladly risk my own life to make the world a better place.	T	F
96.	Even after thinking about something a long time, I have learned to trust my feelings more than my logical reasons.	T	F
97.	Sometimes I have felt my life was being directed by a spiritual force greater than any human being.	T	F
98.	I usually enjoy being mean to anyone who has been mean to me.	T	F
99.	I have a reputation as someone who is very practical and does not act on emotion.	T	F
100.	It is easy for me to organize my thoughts while talking to someone.	T	F
101.	I often react so strongly to unexpected news that I say or do things that I regret.	T	F
102.	I am strongly moved by sentimental appeals (like when asked to help crippled children).	T	F

	True	False
103. I usually push myself harder than most people do because I want to do as well as I possibly can.	T	F
104. I have so many faults that I don't like myself very much.	T	F
105. I have too little time to look for long-term solutions for my problems.	T	F
106. I often cannot deal with problems because I just don't know what to do.	T	F
107. I often wish I could stop the passage of time.	T	F
108. I hate to make decisions based only on my first impressions.	T	F
109. I prefer spending money rather than saving it.	T	F
110. I can usually do a good job of stretching the truth to tell a funnier story or to play a joke on someone.	T	F
111. Even after there are problems in a friendship, I nearly always try to keep it going anyway.	T	F
112. If I am embarrassed or humiliated, I get over it very quickly.	T	F
113. It is extremely difficult for me to adjust to changes in my usual way of doing things because I get so tense, tired, or worried.	T	F
114. I usually demand very good practical reasons before I am willing to change my old ways of doing things.	T	F
115. I need a lot of help from other people to train me to have good habits.	T	F
116. I think that extra-sensory perception (ESP, like telepathy or precognition) is really possible.	T	F
117. I would like to have warm and close friends with me most of the time.	T	F
118. I often keep trying the same thing over and over again, even when I have not had much success in a long time.	T	F
119. I nearly always stay relaxed and carefree, even when nearly everyone else is fearful.	T	F

	True	False
120. I find sad songs and movies pretty boring.	T	F
121. Circumstances often force me to do things against my will.	T	F
122. It is hard for me to tolerate people who are different from me. ...	T	F
123. I think that most things that are called miracles are just chance. .	T	F
124. I would rather be kind than to get revenge when someone hurts me.	T	F
125. I often become so fascinated with what I'm doing that I get lost in the moment – like I'm detached from time and place.	T	F
126. I do not think I have a real sense of purpose for my life.	T	F
127. I try to cooperate with others as much as possible.	T	F
128. I am satisfied with my accomplishments, and have little desire to do better.	T	F
129. I often feel tense and worried in unfamiliar situations, even when others feel there is no danger at all.	T	F
130. I often follow my instincts, hunches, or intuition without thinking through all the details.	T	F
131. Other people often think that I am too independent because I won't do what they want.	T	F
132. I often feel a strong spiritual or emotional connection with all the people around me.	T	F
133. It is usually easy for me to like people who have different values from mine.	T	F
134. I try to do as little work as possible, even when other people expect more of me.	T	F
135. Good habits have become “second nature” to me – they are automatic and spontaneous actions nearly all the time.	T	F
136. I don't mind the fact that other people often know more than I do about something.	T	F

	True	False
137. I usually try to imagine myself “in other people’s shoes”, so I can really understand them.	T	F
138. Principles like fairness and honesty have little role in some aspects of my life.	T	F
139. I am better at saving money than most people.	T	F
140. I seldom let myself get upset or frustrated. When things don’t work out, I simply move on to other activities.	T	F
141. Even when most people feel it is not important, I often insist on things being done in a strict and orderly way.	T	F
142. I feel very confident and sure of myself in almost all social situations.	T	F
143. My friends find it hard to know my feelings because I seldom tell them about my private thoughts.	T	F
144. I hate to change the way I do things, even if many people tell me there is a new and better way to do it.	T	F
145. I think it is unwise to believe in things that cannot be explained scientifically.	T	F
146. I like to imagine my enemies suffering.	T	F
147. I am more energetic and tire less quickly than most people.	T	F
148. I like to pay close attention to details in everything I do.	T	F
149. I often stop what I am doing because I get worried, even when my friends tell me everything will go well.	T	F
150. I often wish I was more powerful than everyone else.	T	F
151. I usually am free to choose what I will do.	T	F
152. Often I become so involved in what I am doing that I forget where I am for a while.	T	F
153. Members of a team rarely get their fair share.	T	F

	True	False
154. Most of the time I would prefer to do something risky (like hang-gliding or parachute jumping), rather than having to stay quiet and inactive for a few hours.	T	F
155. Because I so often spend too much money on impulse, it is hard for me to save money, even for special plans like a vacation.	T	F
156. I don't go out of my way to please other people.	T	F
157. I am not shy with strangers at all.	T	F
158. I often give in to the wishes of friends.	T	F
159. I spend most of my time doing things that seem necessary but not really important to me.	T	F
160. I don't think that religious or ethical principles about what is right and wrong should have much influence in business decisions.	T	F
161. I often try to put aside my own judgments so that I can better understand what other people are experiencing.	T	F
162. Many of my habits make it hard for me to accomplish worthwhile goals.	T	F
163. I have made real personal sacrifices in order to make the world a better place, such as trying to prevent war, poverty and injustice.	T	F
164. I never worry about terrible things that might happen in the future.	T	F
165. I almost never get so excited that I lose control of myself.	T	F
166. I often give up a job if it takes much longer than I thought it would.	T	F
167. I prefer to start conversations, rather than waiting for others to talk to me.	T	F
168. Most of the time I quickly forgive anyone who does me wrong.	T	F

	True	False
169. My actions are determined largely by influences outside my control.	T	F
170. I often have to change my decisions because I had a wrong hunch or mistaken first impression.	T	F
171. I prefer to wait for someone else to take the lead in getting things done.	T	F
172. I usually respect the opinions of others.	T	F
173. I have had experiences that made my role in life so clear to me that I felt very excited and happy.	T	F
174. It is fun for me to buy things for myself.	T	F
175. I believe that I have experienced extra-sensory perception myself.	T	F
176. I believe that my brain is not working properly.	T	F
177. My behavior is strongly guided by certain goals that I have set for my life.	T	F
178. It is usually foolish to promote the success of other people.	T	F
179. I often wish I could live forever.	T	F
180. I usually like to stay cool and detached from other people.	T	F
181. I am more likely to cry at a sad movie than most people.	T	F
182. I recover more quickly than most people from minor illnesses or stress.	T	F
183. I often break rules and regulations when I think I can get away with it.	T	F
184. I need much more practice in developing good habits before I will be able to trust myself in many tempting situations.	T	F
185. I wish other people didn't talk as much as they do.	T	F
186. Everyone should be treated with dignity and respect, even if they seem to be unimportant or bad.	T	F

	True	False
187. I like to make quick decisions so I can get on with what has to be done.	T	F
188. I usually have good luck in whatever I try to do.	T	F
189. I am usually confident that I can easily do things that most people would consider dangerous (such as driving an automobile fast on a wet or icy road).	T	F
190. I see no point in continuing to work on something unless there is a good chance of success.	T	F
191. I like to explore new ways to do things.	T	F
192. I enjoy saving money more than spending it on entertainment or thrills.	T	F
193. Individual rights are more important than the needs of any group.	T	F
194. I have had personal experiences in which I felt in contact with a divine and wonderful spiritual power.	T	F
195. I have had moments of great joy in which I suddenly had a clear, deep feeling of oneness with all that exists.	T	F
196. Good habits make it easier for me to do things the way I want. ...	T	F
197. Most people seem more resourceful than I am.	T	F
198. Other people and conditions are often to blame for my problems. T		F
199. It gives me pleasure to help others, even if they have treated me badly.	T	F
200. I often feel like I am a part of the spiritual force on which all life depends.	T	F
201. Even when I am with friends, I prefer not to "open up" very much.	T	F
202. I usually can stay "on the go" all day without having to push myself.	T	F

	True	False
203. I <u>nearly always</u> think about all the facts in detail before I make a decision, even when other people demand a quick decision. ...	T	F
204. I am not very good at talking my way out of trouble when I am caught doing something wrong.	T	F
205. I am more of a perfectionist than most people.	T	F
206. Whether something is right or wrong is just a matter of opinion.	T	F
207. I think my natural responses now are usually consistent with my principles and long-term goals.	T	F
208. I believe that all life depends on some spiritual order or power that cannot be completely explained.	T	F
209. I think I would stay confident and relaxed when meeting strangers, even if I were told they are angry with me.	T	F
210. People find it easy to come to me for help, sympathy, and warm understanding.	T	F
211. I am slower than most people to get excited about new ideas and activities.	T	F
212. I have trouble telling a lie, even when it is meant to spare someone else's feelings.	T	F
213. There are some people I don't like.	T	F
214. I don't want to be more admired than everyone else.	T	F
215. Often when I look at an ordinary thing, something wonderful happens, I get the feeling that I am seeing it fresh for the first time.	T	F
216. Most people I know look out only for themselves, no matter who else gets hurt.	T	F
217. I usually feel tense and worried when I have to do something new and unfamiliar.	T	F
218. I often push myself to the point of exhaustion or try to do more than I really can.	T	F

	True	False
219. Some people think I am too stingy or tight with my money.	T	F
220. Reports of mystical experiences are probably just wishful thinking.	T	F
221. My will power is too weak to overcome very strong temptations, even if I know I will suffer as a consequence.	T	F
222. I hate to see anyone suffer.	T	F
223. I know what I want to do in my life.	T	F
224. I regularly take time to consider whether what I am doing is right or wrong.	T	F
225. Things often go wrong for me unless I am very careful.	T	F
226. If I am feeling upset, I usually feel better around friends than when left alone.	T	F
227. I don't think it is possible for one person to share feelings with someone else who hasn't had the same experiences.	T	F
228. It often seems to other people like I am in another world because I am so completely unaware of things going on around me.	T	F
229. I wish I was better looking than everyone else.	T	F
230. I have lied a lot on this questionnaire.	T	F
231. I usually stay away from social situations where I would have to meet strangers, even if I am assured that they will be friendly.	T	F
232. I love the blooming of flowers in the spring as much as seeing an old friend again.	T	F
233. I usually look at a difficult situation as a challenge or opportunity.	T	F
234. People involved with me have to learn how to do things my way.	T	F
235. Dishonesty only causes problems if you get caught.	T	F

	True	False
236. I usually feel much more confident and energetic than most people, even after minor illnesses or stress.	T	F
237. I like to read everything when I am asked to sign any papers. ...	T	F
238. When nothing new is happening, I usually start looking for something that is thrilling or exciting.	T	F
239. Sometimes I get upset.	T	F
240. Occasionally I talk about people behind their backs.	T	F

Appendix D

Example

TEMPERAMENT AND CHARACTER INVENTORY (Ver. 9)

CONFIDENTIAL PROFILE

PARTICIPANT: _____

Date:

Id :

Age :

Sex :

TCI Completion Date:

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TEMPERAMENT AND CHARACTER INVENTORY (Ver. 9)

SELF-REPORT SCALE SCORES

	Raw Score	T Score	Percentile
TEMPERAMENT			
NOVELTY SEEKING.....	17	46	30
Exploratory Excitability.....	8	57	75
Impulsiveness.....	3	47	35
Extravagance.....	5	50	45
Disorderliness.....	1	34	5
HARM AVOIDANCE.....	4	37	9
Anticipatory Worry.....	2	45	30
Fear of Uncertainty.....	1	37	9
Shyness.....	1	40	15
Fatigability.....	0	39	10
REWARD DEPENDENCE.....	21	62	85
Sentimentality.....	8	53	60
Attachment.....	7	60	80
Dependence.....	6	66	94
PERSISTENCE.....	8	63	90
CHARACTER			
SELF-DIRECTEDNESS.....	42	65	93
Responsibility.....	8	61	85
Purposefulness.....	7	58	75
Resourcefulness.....	5	58	75
Self-acceptance.....	11	66	94
Congruent 2nd Nature.....	11	58	75
COOPERATIVENESS.....	41	62	85
Social Acceptance.....	8	59	80
Empathy.....	7	62	85
Helpfulness.....	8	61	85
Compassion.....	10	59	80
Pure-heartedness.....	8	57	75
SELF-TRANSCENDENCE.....	26	61	85
Self-forgetfulness.....	6	50	45
Transpersonal Identification.....	7	60	80
Spiritual Acceptance.....	13	65	93

Note: TCI designed to have 226 scorable items, 14 unscored, 240 total.

TEMPERAMENT AND CHARACTER INVENTORY (Ver. 9)

SELF-REPORT PERSONALITY PROFILE

PERCENTILE SCORES

SELF-REPORTED DESCRIPTION OF PERSONALITY**TEMPERAMENT**

This respondent scores low on NOVELTY SEEKING (30th percentile). Individuals low in Novelty Seeking are often reflective; frugal and reserved; and, orderly and regimented. High Novelty Seeking personalities are typically exploratory and curious; impulsive; extravagant and enthusiastic; and, disorderly. Overall, the degree of novelty seeking indicates the extent to which someone is impulsive in their thinking, anger-prone in their feelings, and easily excited to initiate action.

This respondent is very low on HARM AVOIDANCE (9th percentile). People low in Harm Avoidance tend to be relaxed and optimistic; bold and confident; outgoing; and, vigorous. Those high in Harm Avoidance are usually shy; worried and pessimistic; fearful and doubtful; and, easily tired. Overall, the degree of harm avoidance indicates the extent to which someone is pessimistic in their thinking, anxiety-prone in their feeling, and easily inhibited in their behavior.

This respondent is very high on REWARD DEPENDENCE (85th percentile). A person low in Reward Dependence is practical and cold; aloof and private; withdrawn and detached; and, independent or autonomous. One high in Reward Dependence is sentimental and warm; open and revealing; dedicated and attached; and, dependent. Overall, the degree of reward dependence indicates the extent to which someone is sensitive to social cues, sympathetic in their feeling, and dependent on the responses of other people.

This respondent is very high on PERSISTENCE (90th percentile). Those low in Persistence are usually inactive and indolent; quick to give up; modest and underachieving; and, pragmatic. Individuals high in Persistence are often industrious and diligent; hard-working; ambitious and overachieving; and, persevering and demanding of perfection. Overall, the degree of persistence indicates the extent to which someone views mistakes and disappointments as challenging opportunities for future success and remains determined despite intermittent reinforcement. Persistent individuals feel a need for achievement, are unwilling to give up easily, and persevere recurrently despite prior disappointment.

TEMPERAMENT TYPE

The combination of below average Harm Avoidance, below average Novelty Seeking and above average Reward Dependence is described as a MILD RELIABLE temperament type. This type is characterized as composed (rarely frustrated or distressed), careful and trusting. Mild temperament types show only moderate stability over time; change in type is usually related to change in near average scores. Temperament type does not indicate personality disorder, but rather style of emotional response, which may or may not be part of an integrated, well functioning personality.

CHARACTER

This respondent is very high on SELF-DIRECTEDNESS (93rd percentile). Those high in Self-directedness are usually mature and strong-willed; responsible, reliable, and truthful about their errors and limitations; purposeful and goal-directed; resourceful and effective in overcoming challenges and learning from their mistakes; securely composed and accepting of both their limitations and encouraging autonomy in others; and to have disciplined themselves so that their habits are spontaneously consistent with their goals and values. Individuals who are very high in self-directedness are highly goal-directed, self-assured, and resourceful in doing the best they can based on an accurate knowledge of their strengths and limitations, and likely to be highly productive and creative without being vain, ostentatious or self-aggrandizing. They are as interested in their mistakes as in their successes. They feel that their mistakes and limitations make life interesting and challenging, thereby providing creative opportunities for ever-improving personal development.

This respondent is very high on COOPERATIVENESS (85th percentile). Individuals who are high Cooperativeness are socially tolerant, empathetic, helpful, compassionate and forgiving, ethical and principled. Those who are very high in cooperativeness are highly attuned to the needs of other people, giving help and support to others and bringing out similar attitudes in others. They are widely appreciated for their compassion and described as wise and charismatic. This support and their own tolerance makes them feel open and safe wherever they go, and as tolerant of their own mistakes as of others.

This respondent is very high on SELF-TRANSCENDENCE (85th percentile). Individuals who are high in Self-transcendence are described as self-forgetful, humble and spiritual. To varying degrees, they are motivated by their intuitive confidence or faith in the supernatural. Those who are very high in self-transcendence feel a participation in the intrinsic unity of all that exists, which they honor as holy and eternal. This 'sixth' sense of vital participation gives them consistent feelings of serenity and gratitude with little or no complaint about anything, even if they do not comprehend the grand purpose behind their ordeals.

CHARACTER TYPE

The combination of high Self-directedness, high Cooperativeness and high Self-transcendence is described as a CREATIVE character type. This type is characterized as proactive, thoughtful and mature.

DEFINITIONS:

T Score: Original raw score mean and standard deviation are converted to 50 and 10 respectively. Example: A raw score two standard deviations above the mean would receive a T score of 70.

Source: Huck, S. W., & Cormier, W. H. (1996). *Reading Statistics and Research*. New York: Harper Collins Publishers, Inc.

Temperament: The automatic emotional responses to experience that are moderately heritable and stable throughout life; the four measured temperament dimensions are novelty seeking, harm avoidance, reward dependence, and persistence.

Source: Cloninger, R. C., Svrakic, D. M., Przybeck, T. R., & Wetzel, R. D. (1994). *The Temperament and Character Inventory (TCI): A Guide to Its Development and Use*. St. Louis: C.R. Cloninger.

Character: The self-concepts and individual differences in goals and values that influence voluntary choices, intentions, and the meaning of what is experienced in life. Differences in character are moderately influenced by sociocultural learning and mature in progressive steps throughout life. The three measured character dimensions are self-directedness, cooperativeness, and self-transcendence.

Source: Cloninger, R. C., Svrakic, D. M., Przybeck, T. R., & Wetzel, R. D. (1994). *The Temperament and Character Inventory (TCI): A Guide to Its Development and Use*. St. Louis: C.R. Cloninger.

See *Cloninger's Theories of Temperament and Character: A Brief Summary*, by Scott Clark, June 28, 2001.

Appendix E

Action Plan

Research Study

Leadership Development: Continuous Improvement through Character Assessment

Participant:

Date:

Current areas for improvement identified by respondent from scores on the Temperament and Character Inventory (TCI):

TCI dimension/subscale

Desired state resulting from this Action Plan:

Causes that likely explain the current state and insights leading to possible changes or adjustments:

Specific changes and adjustments, including actions that need to be stopped, actions that need to be started, and actions that need to be maintained:

Recommendations for additional study and reading material:

Potential contribution to enhanced personal and professional growth, enhanced self-awareness and improved leadership skills:

Appendix F

Guiding Interview Questions

Executive Group

1. Do you believe the TCI identifies the major dimensions of human character? If yes, what areas of strength and weakness did you see? If no, in what way do you believe it fails?
2. Which character dimension of the TCI is the most interesting to you? Why?
3. Which character dimension do you believe is the most important for personal success in your professional area?
4. Do you think it is appropriate to use the results of the TCI for leadership development, both yours and others?
5. Now that you have completed the TCI, reviewed the results and (if the client opted to do so) developed an action plan for improvement, how effective do you think the process is?
6. (If the client has opted for an action plan) In what ways do you foresee improvements in your personal character and even your organization resulting from implementation of your personal action plan?
7. What improvements would you recommend for the various parts of the process you experienced?
 - a. Administration of the TCI.
 - b. Reviewing the results of the assessment.
 - c. Development of an action plan.

8. Would you recommend this character assessment process to others within your organization? Outside your organization? Your family?

Appendix G

Guiding Interview Questions

Coaching Group

1. Do you believe the TCI is effective in helping individuals become more aware of the major dimensions of their character? If yes, what areas of strength and weakness did you see? If no, in what way do you believe it fails?
2. Having been involved in the process of administering the TCI, reviewing the results with clients and helping clients develop a plan for improvement, which parts of the process were effective and which were not?
3. What improvements would you recommend for the various parts of the process?
 - a. Administration and scoring of the TCI.
 - b. Reviewing the results of the assessment.
 - c. Development and discussion of an action plan.
4. Are you interested in offering this method of character assessment to your clients as part of your personal development services? If yes, how do you recommend approaching clients to offer these services?
5. What training, methods, strategies and models do you believe are needed for executive coaches and consultants to most effectively use this process?

Appendix H

Participants' TCI Scores

The following tables include the TCI scores for the participants in this study.

<u>Table</u>	<u>Participant</u>
Table H1	TCI Scores, Donald Newstead
Table H2	TCI Scores, Kenneth Stofer
Table H3	TCI Scores, Kathryn Cadwallar
Table H4	TCI Scores, Deborah Neves
Table H5	TCI Scores, Reavis Gardner
Table H6	TCI Scores, Collette Geyer
Table H7	TCI Scores, Thomas Preston
Table H8	TCI Scores, Rocco Laramore
Table H9	TCI Scores, Bridget Kaufman
Table H10	TCI Scores, Anthony Jurgensen

Table H1

TCI Scores, Donald Newstead

	<u>Raw Score</u>	<u>T Score</u>	<u>Percentile</u>
Temperament			
Novelty Seeking (Max. 40)	17	46	30
Exploratory Excitability	8	57	75
Impulsiveness	2	42	20
Extravagance	2	37	9
Disorderliness	5	53	60
Harm Avoidance (Max. 35)	13	51	50
Anticipatory Worry	4	53	60
Fear of Uncertainty	3	47	35
Shyness	5	57	75
Fatigability	1	43	20
Reward Dependence (Max. 24)	18	56	70
Sentimentality	8	53	60
Attachment	6	56	70
Dependence	4	53	60
Persistence (Max. 8)	6	52	55
Character			
Self-Directedness (Max. 44)	44	68	96
Responsibility	8	61	85
Purposefulness	8	64	91
Resourcefulness	5	58	75
Self-Acceptance	11	66	94
Congruent Second Nature	12	62	85
Cooperativeness (Max. 42)	40	61	85
Social Acceptance	8	59	80
Empathy	6	55	65
Helpfulness	7	54	65
Compassion	10	59	80
Pure-Heartedness	9	62	85
Self-Transcendence (Max 33)	24	58	75
Self-Forgetfulness	7	54	65
Transpersonal Identification	6	56	70
Spiritual Acceptance	11	58	75

Table H2

TCI Scores, Kenneth Stofer

	<u>Raw Score</u>	<u>T Score</u>	<u>Percentile</u>
Temperament			
Novelty Seeking (Max. 40)	20	51	50
Exploratory Excitability	7	53	60
Impulsiveness	4	51	50
Extravagance	3	41	15
Disorderliness	6	58	75
Harm Avoidance (Max. 35)	2	34	5
Anticipatory Worry	1	41	15
Fear of Uncertainty	1	37	9
Shyness	0	36	8
Fatigability	0	39	10
Reward Dependence (Max. 24)	12	42	20
Sentimentality	3	30	2
Attachment	6	56	70
Dependence	3	47	35
Persistence (Max. 8)	5	47	35
Character			
Self-Directedness (Max. 44)	37	58	75
Responsibility	8	61	85
Purposefulness	6	53	60
Resourcefulness	5	58	75
Self-Acceptance	9	59	80
Congruent Second Nature	9	50	45
Cooperativeness (Max. 42)	35	54	65
Social Acceptance	8	59	80
Empathy	6	55	65
Helpfulness	7	54	65
Compassion	6	44	25
Pure-Heartedness	8	57	75
Self-Transcendence (Max 33)	18	48	40
Self-Forgetfulness	5	47	35
Transpersonal Identification	3	43	20
Spiritual Acceptance	10	54	65

Table H3

TCI Scores, Kathryn Caldwell

	<u>Raw Score</u>	<u>T Score</u>	<u>Percentile</u>
Temperament			
Novelty Seeking (Max. 40)	27	63	90
Exploratory Excitability	10	66	94
Impulsiveness	9	74	99
Extravagance	5	50	45
Disorderliness	3	44	25
Harm Avoidance (Max. 35)	4	37	9
Anticipatory Worry	0	37	9
Fear of Uncertainty	3	47	35
Shyness	1	40	15
Fatigability	0	39	10
Reward Dependence (Max. 24)	19	58	75
Sentimentality	8	53	60
Attachment	6	56	70
Dependence	5	59	80
Persistence (Max. 8)	4	42	20
Character			
Self-Directedness (Max. 44)	41	64	91
Responsibility	8	61	85
Purposefulness	6	53	60
Resourcefulness	5	58	75
Self-Acceptance	11	66	94
Congruent Second Nature	11	58	75
Cooperativeness (Max. 42)	40	61	85
Social Acceptance	7	52	55
Empathy	7	62	85
Helpfulness	8	61	85
Compassion	10	59	80
Pure-Heartedness	8	57	75
Self-Transcendence (Max 33)	20	51	50
Self-Forgetfulness	6	50	45
Transpersonal Identification	5	52	55
Spiritual Acceptance	9	51	50

Table H4

TCI Scores, Deborah Neves

	<u>Raw Score</u>	<u>T Score</u>	<u>Percentile</u>
Temperament			
Novelty Seeking (Max. 40)	17	46	30
Exploratory Excitability	8	57	75
Impulsiveness	2	42	20
Extravagance	5	50	45
Disorderliness	2	39	10
Harm Avoidance (Max. 35)	15	54	65
Anticipatory Worry	5	57	75
Fear of Uncertainty	3	47	35
Shyness	4	53	60
Fatigability	3	52	55
Reward Dependence (Max. 24)	23	67	95
Sentimentality	9	58	75
Attachment	8	64	91
Dependence	6	66	94
Persistence (Max. 8)	8	63	90
Character			
Self-Directedness (Max. 44)	40	62	85
Responsibility	8	61	85
Purposefulness	7	58	75
Resourcefulness	5	58	75
Self-Acceptance	9	59	80
Congruent Second Nature	11	58	75
Cooperativeness (Max. 42)	40	61	85
Social Acceptance	7	52	55
Empathy	6	55	65
Helpfulness	8	61	85
Compassion	10	59	80
Pure-Heartedness	9	62	85
Self-Transcendence (Max 33)	26	61	85
Self-Forgetfulness	9	61	85
Transpersonal Identification	5	52	55
Spiritual Acceptance	12	61	85

Table H5

TCI Scores, Reavis Gardner

	<u>Raw Score</u>	<u>T Score</u>	<u>Percentile</u>
Temperament			
Novelty Seeking (Max. 40)	20	51	50
Exploratory Excitability	8	57	75
Impulsiveness	6	60	80
Extravagance	4	46	30
Disorderliness	2	39	10
Harm Avoidance (Max. 35)	7	42	20
Anticipatory Worry	2	45	30
Fear of Uncertainty	2	42	20
Shyness	2	44	25
Fatigability	1	43	20
Reward Dependence (Max. 24)	14	47	35
Sentimentality	3	30	2
Attachment	7	60	80
Dependence	4	53	60
Persistence (Max. 8)	7	57	75
Character			
Self-Directedness (Max. 44)	38	60	80
Responsibility	8	61	85
Purposefulness	6	53	60
Resourcefulness	4	50	45
Self-Acceptance	8	56	70
Congruent Second Nature	12	62	85
Cooperativeness (Max. 42)	32	50	45
Social Acceptance	6	45	30
Empathy	4	41	15
Helpfulness	7	54	65
Compassion	8	51	50
Pure-Heartedness	7	52	55
Self-Transcendence (Max 33)	8	32	3
Self-Forgetfulness	2	36	8
Transpersonal Identification	1	35	6
Spiritual Acceptance	5	37	9

Table H6

TCI Scores, Collette Geyer

	<u>Raw Score</u>	<u>T Score</u>	<u>Percentile</u>
Temperament			
Novelty Seeking (Max. 40)	17	46	30
Exploratory Excitability	8	57	75
Impulsiveness	3	47	35
Extravagance	5	50	45
Disorderliness	1	34	5
Harm Avoidance (Max. 35)	4	37	9
Anticipatory Worry	2	45	30
Fear of Uncertainty	1	37	9
Shyness	1	40	15
Fatigability	0	39	10
Reward Dependence (Max. 24)	21	62	85
Sentimentality	8	53	60
Attachment	7	60	80
Dependence	6	66	94
Persistence (Max. 8)	8	63	90
Character			
Self-Directedness (Max. 44)	42	65	93
Responsibility	8	61	85
Purposefulness	7	58	75
Resourcefulness	5	58	75
Self-Acceptance	11	66	94
Congruent Second Nature	11	58	75
Cooperativeness (Max. 42)	41	62	85
Social Acceptance	8	59	80
Empathy	7	62	85
Helpfulness	8	61	85
Compassion	10	59	80
Pure-Heartedness	8	57	75
Self-Transcendence (Max 33)	26	61	85
Self-Forgetfulness	6	50	45
Transpersonal Identification	7	60	80
Spiritual Acceptance	13	65	93

Table H7

TCI Scores, Thomas Preston

	<u>Raw Score</u>	<u>T Score</u>	<u>Percentile</u>
Temperament			
Novelty Seeking (Max. 40)	10	35	6
Exploratory Excitability	2	31	2
Impulsiveness	3	47	35
Extravagance	2	37	9
Disorderliness	3	44	25
Harm Avoidance (Max. 35)	7	42	20
Anticipatory Worry	1	41	15
Fear of Uncertainty	2	42	20
Shyness	4	53	60
Fatigability	0	39	10
Reward Dependence (Max. 24)	8	33	4
Sentimentality	3	30	2
Attachment	3	43	20
Dependence	2	41	15
Persistence (Max. 8)	8	63	90
Character			
Self-Directedness (Max. 44)	34	54	65
Responsibility	7	56	70
Purposefulness	3	36	8
Resourcefulness	5	58	75
Self-Acceptance	7	52	55
Congruent Second Nature	12	62	85
Cooperativeness (Max. 42)	35	54	65
Social Acceptance	7	52	55
Empathy	5	48	40
Helpfulness	8	61	85
Compassion	7	48	40
Pure-Heartedness	8	57	75
Self-Transcendence (Max 33)	13	40	15
Self-Forgetfulness	5	47	35
Transpersonal Identification	3	43	20
Spiritual Acceptance	5	37	9

Table H8

TCI Scores, Rocco Laramore

	<u>Raw Score</u>	<u>T Score</u>	<u>Percentile</u>
Temperament			
Novelty Seeking (Max. 40)	12	38	10
Exploratory Excitability	6	49	45
Impulsiveness	1	38	10
Extravagance	2	37	9
Disorderliness	3	44	25
Harm Avoidance (Max. 35)	13	51	50
Anticipatory Worry	1	41	15
Fear of Uncertainty	6	62	85
Shyness	6	62	85
Fatigability	0	39	10
Reward Dependence (Max. 24)	20	60	80
Sentimentality	10	63	90
Attachment	4	47	35
Dependence	6	66	94
Persistence (Max. 8)	5	47	35
Character			
Self-Directedness (Max. 44)	41	64	91
Responsibility	8	61	85
Purposefulness	8	64	91
Resourcefulness	4	50	45
Self-Acceptance	9	59	80
Congruent Second Nature	12	62	85
Cooperativeness (Max. 42)	40	61	85
Social Acceptance	7	52	55
Empathy	7	62	85
Helpfulness	8	61	85
Compassion	9	55	65
Pure-Heartedness	9	62	85
Self-Transcendence (Max 33)	16	45	30
Self-Forgetfulness	4	43	20
Transpersonal Identification	5	52	55
Spiritual Acceptance	7	44	25

Table H9

TCI Scores, Bridget Kaufman

	<u>Raw Score</u>	<u>T Score</u>	<u>Percentile</u>
Temperament			
Novelty Seeking (Max. 40)	22	54	65
Exploratory Excitability	8	57	75
Impulsiveness	5	56	70
Extravagance	7	59	80
Disorderliness	2	39	10
Harm Avoidance (Max. 35)	9	45	30
Anticipatory Worry	3	49	45
Fear of Uncertainty	3	47	35
Shyness	3	49	45
Fatigability	0	39	10
Reward Dependence (Max. 24)	13	44	25
Sentimentality	3	30	2
Attachment	7	60	80
Dependence	3	47	35
Persistence (Max. 8)	7	57	75
Character			
Self-Directedness (Max. 44)	40	62	85
Responsibility	8	61	85
Purposefulness	6	53	60
Resourcefulness	5	58	75
Self-Acceptance	9	59	80
Congruent Second Nature	12	62	85
Cooperativeness (Max. 42)	37	57	75
Social Acceptance	6	45	30
Empathy	5	48	40
Helpfulness	7	54	65
Compassion	10	59	80
Pure-Heartedness	9	62	85
Self-Transcendence (Max 33)	16	45	30
Self-Forgetfulness	5	47	35
Transpersonal Identification	2	39	10
Spiritual Acceptance	9	51	50

Table H10

TCI Scores, Anthony Jurgensen

	<u>Raw Score</u>	<u>T Score</u>	<u>Percentile</u>
Temperament			
Novelty Seeking (Max. 40)	27	63	90
Exploratory Excitability	9	62	85
Impulsiveness	8	70	97
Extravagance	6	54	65
Disorderliness	4	49	45
Harm Avoidance (Max. 35)	5	39	10
Anticipatory Worry	2	45	30
Fear of Uncertainty	3	47	35
Shyness	0	36	8
Fatigability	0	39	10
Reward Dependence (Max. 24)	7	31	2
Sentimentality	3	30	2
Attachment	3	43	20
Dependence	1	34	5
Persistence (Max. 8)	4	42	20
Character			
Self-Directedness (Max. 44)	42	65	93
Responsibility	8	61	85
Purposefulness	7	58	75
Resourcefulness	5	58	75
Self-Acceptance	11	66	94
Congruent Second Nature	11	58	75
Cooperativeness (Max. 42)	36	55	65
Social Acceptance	7	52	55
Empathy	7	62	85
Helpfulness	7	54	65
Compassion	7	48	40
Pure-Heartedness	8	57	75
Self-Transcendence (Max 33)	16	45	30
Self-Forgetfulness	8	58	75
Transpersonal Identification	1	35	6
Spiritual Acceptance	7	44	25

Appendix I

Cloninger's Theories of Temperament and Character: **A Brief Summary**

Source: Cloninger, R. C., Svrakic, D. M., Przybeck, T. R., & Wetzel, R. D. (1994). *The Temperament and Character Inventory (TCI): A Guide to Its Development and Use*. St. Louis: C.R. Cloninger.

The Temperament and Character Inventory (TCI) evaluates seven higher order personality or behavior traits. These include four higher order temperament and three higher order character traits. Each of the seven temperament and character traits is multifaceted, consisting of several facets or lower order components. Twenty-five facets altogether (twelve facets of temperament and thirteen facets of character) are described in the TCI. Each of these higher and lower order traits is described below.

TEMPERAMENT DIMENSIONS

Novelty Seeking

Novelty seeking is a multifaceted, higher order temperament trait consisting of the following four aspects or lower order traits: exploratory excitability vs. stoic rigidity, impulsiveness vs. reflection, extravagance vs. reserve, and disorderliness vs. regimentation.

Individuals high in novelty seeking tend to be quick-tempered, excitable, exploratory, curious, enthusiastic, exuberant, easily bored, impulsive, and disorderly. The advantages of high novelty seeking are enthusiastic and quick engagement with whatever is new and unfamiliar, which leads to exploration of potential rewards. The disadvantages are related to excessive anger and quick disengagement whenever their wishes are frustrated, which leads to fickleness in relationships and instability in efforts.

In contrast, individuals low in novelty seeking are described as slow tempered, indifferent, uninquiring, unenthusiastic, stoical, reflective, frugal, reserved, tolerant of monotony, systematic, and orderly.

Novelty Seeking Facets

The following behaviors are used as descriptors of people with high and low scores on each of the facets of novelty seeking measured by its four subscales.

Exploratory Excitability vs. Stoic Rigidity – Individuals who score high on this subscale enjoy exploring unfamiliar places and situations even if most people think it is a waste of time. Thus, they are sometimes described as sensation seeking. They get excited about new ideas and activities easily, for they tend to seek thrills, excitement, and adventures.

They are easily bored and hence avoid monotony. These people are typically intolerant of routine and try to introduce change. Consequently, they are sometimes described as unconventional or innovative.

In contrast, individuals with low scores on the exploratory excitability subscale have little or no need for novel stimulation. They do not derive special satisfaction from exploration and consequently are contented with or prefer familiar places, people, and situations. They are resistant or slow to engage in new ideas and activities. Consequently, they usually demand very good practical reasons before they are willing to change the way they do something. These people are sometimes described as conventional. They are rarely bored and thus tend to stick with familiar tried and true routines even if there are new and better ways to do the same thing.

Impulsiveness vs. Reflection – High scorers on this subscale tend to be excitable, dramatic, impressionistic, and temperamental individuals who make decisions quickly on incomplete information and control their impulses poorly. Typically, these persons act on their momentary instincts and intuitive hunches. Hence, they have to revise their decisions and opinions frequently when unanticipated events or information develop. They are often distractible and have short spans of attention, i.e., they have difficulties staying focused for a long time so prefer to make quick decisions on incomplete facts.

In contrast, low scorers on the impulsiveness subscale are described as reflective. They rarely act on guesses or hunches. Rather, they tend to be analytical and require detailed information when making a decision or forming an opinion. These individuals rarely break rules. They are not easily distracted and can stay focused for long periods of time.

Extravagance vs. Reserve – High scorers on this subscale tend to be extravagant with their money, energy, and feelings. They may impress others as gallant, flamboyant, and unrestrained. For example, they prefer spending money rather than saving it. Consequently, it is hard for them to save money, even for special plans or vacations. They like to live at the edge, that is, pushing at the limits of their resources and capacities.

In contrast, individuals who score low on the extravagance subscale are described as reserved, controlled, or restrained. These individuals typically do not waste their money, energy, and feelings. Rather, they may impress others as frugal or stingy because they are slow to become interested in spending or acquiring things or giving them up.

Disorderliness vs. Regimentation – High scorers on this subscale tend to be quick tempered and disorderly. In other words, they are quick to lose their temper, so they often show and express anger outwardly when they don't get what they want when they want it. They typically prefer activities without strict rules and regulations. They do not like fixed routines and rules. They run away from whatever is frustrating, boring or uncomfortable for them physically or psychologically.

In contrast, low scorers on this subscale tend to be organized, orderly, methodical, and systematic. They typically prefer activities with strict rules and regulations. They are able to delay gratification when frustrated longer than most people. They are slow to lose their temper, that is, to show anger outwardly.

Harm Avoidance

Harm avoidance is a multifaceted, higher order temperament trait consisting of four aspects or lower order traits: Anticipatory worry and pessimism vs. uninhibited optimism, fear of uncertainty, shyness with strangers, and fatigability and asthenia vs. vigor.

Individuals high in harm avoidance tend to be cautious, careful, fearful, tense, apprehensive, nervous, timid, doubtful, discouraged, insecure, passive, negativistic, or pessimistic even in situations that do not worry other people. These individuals tend to be inhibited and shy in most social situations. Their energy level tends to be low, and they feel chronically tired or easily fatigued. As a consequence, they need more reassurance and encouragement than most people and are unusually sensitive to criticism and punishment. The advantages of high harm avoidance are the greater care and caution in anticipating possible danger, which leads to careful planning when danger is likely. The disadvantages occur when danger is unlikely but still anticipated; such pessimism or inhibition leads to unnecessary worry.

In contrast, individuals with low scores on this temperament dimension tend to be carefree, relaxed, daring, courageous, composed, and optimistic even in situations that worry most people. These individuals are described as outgoing, bold, and confident in most social situations. Their energy level tends to be high, and they impress others as dynamic, lively, and vigorous. The advantages of low harm avoidance are confidence in the face of danger and uncertainty, leading to optimistic and energetic efforts with little or no distress. The disadvantages are related to unresponsiveness to danger, which can lead to foolhardy optimism.

Harm Avoidance Facets

The following behavior patterns are used as descriptors of people with high and low scores on each of the facets of harm avoidance measured by its four subscales.

Anticipatory Worry and Pessimism vs. Uninhibited Optimism – High scorers on this subscale manifest two distinctive behavioral tendencies. First, these people are pessimistic worriers who tend to anticipate harm and failure. The tendency is especially pronounced in hazardous, unfamiliar, or realistically difficult situations. However, it also occurs during harmless situations, and even with reassurance and supportive circumstances. Secondly, these people have difficulties getting over humiliating and embarrassing experiences; rather, they tend to ruminate about these experiences for long periods of time.

In contrast, individuals who score low on the worry and pessimism subscale are described as positive-thinking optimists. These persons typically do not worry in advance of difficulties. They tend to be uninhibited, nonchalant, and carefree, with minimal reluctance to jeopardize even their physical well-being. When embarrassed and humiliated, these people tend to get over it very quickly.

Fear of Uncertainty – Individuals who score high on this subscale cannot tolerate uncertainty or unfamiliar circumstances that are potentially dangerous. They often feel tense and anxious in unfamiliar or uncertain situations, even when there is little to worry about. Consequently, they rarely take risks, have difficulty adapting to changes in routine, and prefer to stay quiet and inactive.

In contrast, low scorers on the fear of uncertainty subscale tend to be confident, calm, and secure in almost all situations, even situations most people find unfavorable or hazardous. Hence, these individuals prefer to take risks, such as driving an automobile fast on an icy road, rather than having to stay quiet and inactive for a few hours. These people tend to adapt to changes in routine easily.

Shyness with Strangers – Individuals who score high on this subscale are described as unassertive and shy in most social situations. They often actively avoid meeting strangers because they lack confidence with people they don't know well. They are usually unwilling to enter into relationships with people they don't know unless given a strong guarantee of acceptance. In general, any initiative they may have is easily inhibited by unfamiliar people or situations.

In contrast, low scorers on the shyness subscale are described as bold, forward and outgoing. They tend to speak without hesitation and readily engage in social activities. They are not shy with strangers at all. Their initiative is almost never inhibited by unfamiliar people or situations.

Fatigability vs. Vigor – Individuals who score high on this subscale appear to be asthenic and to have less energy than most people. They often need naps or extra rest periods because they get tired very easily. In addition, these people typically recover more slowly than most people from minor illnesses or stress.

Individuals who score low on the fatigability subscale tend to be highly energetic and dynamic. They can usually stay on the go for long periods of time without extra rest periods or having to push themselves. In other words, very few things impress these people as too difficult or tiring. They typically recover more quickly than most people from minor illnesses or stress.

Reward Dependence

Reward dependence is a multifaceted, higher order temperament trait consisting of the following three aspects or lower order traits: sentimentality vs. tough mindedness, attachment vs. detachment, and dependence vs. Independence.

Individuals high in reward dependence tend to be tenderhearted, loving and warm, sensitive, dedicated, dependent and sociable. They seek social contact and are open to communication with other people. Typically, they find people they like everywhere they go. A major advantage of high reward dependence is the sensitivity to social cues, which facilitates warm social relations and understanding of others' feelings. A major disadvantage of high reward dependence involves the ease with which other people can influence the dependent person's views and feelings, possibly leading to loss of objectivity.

Individuals low in reward dependence are often described as practical, tough minded, cold and socially insensitive. They are content to be alone and rarely initiate open communication with others. Rather, they prefer to keep their distance and typically have difficulties in finding something in common with other people. An advantage of low reward dependence is that independence from sentimental considerations leads to practical and objective views that are not romanticized by wishful thinking or efforts to please others. This social detachment can also be a disadvantage when lack of sensitivity in social communication interferes with the cultivation of beneficial social affiliations. Insensitivity to social cues results in viewing events from a self-centered perspective that does not appreciate the feelings or accurately understands the views of other people.

Reward Dependence Facets

The following behaviors are used as descriptors of people with high and low scores on each of the four lower order reward dependence traits.

Sentimentality – High scorers on the sentimentality subscale are described as sentimental, sympathetic, understanding individuals who tend to be deeply moved by sentimental appeals. Consequently, they tend to show their emotions easily in front of others (e.g., they are more likely to cry at a sad movie than most people). They report that they experience vicarious emotions intensely, that is, they personally experience what others around them are feeling.

In contrast, individuals who score low on the sentimentality subscale are described as practical. These people tend to be tough minded and coolly detached. They are rarely moved by sentimental appeals, and thus impress others as odd, cold or aloof. These individuals, for example, find sad songs and movies pretty boring. They are not sensitive to the feelings of other people so that it is difficult for them to establish social rapport.

Attachment vs. Detachment – High scorers on the attachment subscale prefer intimacy over privacy. They like to discuss their experiences and feelings openly with friends instead of keeping them to themselves. These persons tend to form warm and lasting social attachments. As a result, they also tend to be sensitive to rejection and slights.

In contrast, low scorers on the attachment subscale manifest more or less pronounced detachment and disinterest in social relationships. They prefer privacy to intimacy and are thus often described as self-contained. These individuals typically do not share their

intimate feelings with others. Rather, they impress others as alienated, detached, and distant loners who are usually indifferent to rejection and slights.

Dependence vs. Independence – Individuals with high scores on this subscale are dependent on emotional support and approval from others. They care deeply how other people regard them, and may even seek or stimulate overprotection and dominance in others. They may be reluctant to make decisions or do things on their own. Dependent individuals seek support or protection and thus usually go out of their way to please other people. As a consequence, they are easily hurt by criticism and disapproval. Dependent individuals tend to be preoccupied with fears of being abandoned. Thus, they are very sensitive to social cues and highly responsive to social pressure.

In contrast, low scorers on the dependence subscale neither depend on nor actively seek emotional support and approval from other people. These individuals are not sensitive to social pressure, criticism or ostracism. They rarely give in to the wishes of others and typically do not try to please others in order to get protection or emotional support. Rather, they impress others as independent, self-sufficient, and unresponsive to social pressure.

Persistence

The persistence dimension of temperament is represented with a single eight-item scale, which describes to some extent four distinct behavior paradigms that can explain maintenance of a behavior. These include eagerness of effort in response to signals of anticipated reward vs. laziness, work hardened in response to intermittent punishment vs. spoiled by consistent rewards and non-punishment, ambitious overachieving in response to intermittent frustrative non-reward vs. underachieving, and perfectionistic perseveration in response to intermittent reward vs. pragmatic quitting when not consistently rewarded.

Individuals high in persistence tend to be industrious, hard working, persistent, and stable despite frustration and fatigue. They typically intensify their effort in response to anticipated reward. They are ready to volunteer when there is something to be done, and are eager to start work on any assigned duty. Persistent persons tend to perceive frustration and fatigue as a personal challenge. They do not give up easily and, in fact, tend to work extra hard when criticized or confronted with mistakes in their work. Highly persistent persons tend to be ambitious overachievers who are willing to make major sacrifices to be a success. This is particularly evident when their work goes unnoticed. In these situations, these persons become even more determined to succeed according to both self-report and interviewer ratings. A highly persistent individual tends to be a perfectionist and a workaholic who pushes him/herself far beyond what is necessary to get by. These persons manifest a high level of perseverance and thus get easily stuck doing something in a certain way that used to be successful. Accordingly, high persistence is an adaptive behavioral strategy when rewards are intermittent but the contingencies remain stable. However, when the contingencies change rapidly, perseveration becomes maladaptive.

When reward contingencies are stable, individuals low in persistence are viewed as indolent, inactive, unreliable, unstable and erratic on the basis of both self-reports and interviewer ratings. They rarely intensify their effort even in response to anticipated reward. These persons rarely volunteer for anything they do not have to do, and typically go slow in starting work, even if it is easy to do. In addition, they tend to give up easily when faced with frustration, criticism, obstacles, and fatigue. These persons are usually satisfied with their current accomplishments, rarely strive for bigger and better things, and are frequently described as underachievers who could probably accomplish more than they actually do but do not push themselves harder than it is necessary to get by. Low scorers are pragmatists who accept the value of compromises readily. They manifest a low level of perseverance and repetitive behaviors even in response to intermittent reward. Accordingly, low persistence is an adaptive strategy when reward contingencies change rapidly and may be maladaptive when rewards are infrequent but occur in the long run.

CHARACTER DIMENSIONS

Self-Directedness

Self-directedness is a multifaceted, higher order character trait consisting of the following five aspects or lower order traits: responsibility vs. blaming, purposefulness vs. lack of goal direction, resourcefulness vs. inertia, self-acceptance vs. self-striving, and congruent second nature vs. bad habits.

Highly self-directed persons are described as mature, strong, self-sufficient, responsible, reliable, goal-oriented, constructive, and well-integrated individuals when they have the opportunity for personal leadership. They have good self-esteem and self-reliance. The most distinctive descriptive characteristic of self-directed individuals is that they are effective, i.e., able to adapt their behavior in accord with individually chosen, voluntary goals. When a self-directed individual is required to follow the orders of others in authority, they may be viewed as a rebellious troublemaker because they challenge the goals and values of those in authority.

In contrast, individuals who are low in self-directedness are described as immature, weak, fragile, blaming, destructive, ineffective, irresponsible, unreliable, and poorly integrated when they are not conforming to the direction of a mature leader. They are frequently described by clinicians as immature or having a personality disorder. They seem to be lacking an internal organizational principle, which renders them unable to define, set, and pursue meaningful goals. Instead, they experience numerous minor, short term, frequently mutually exclusive motives, none of which can develop to the point of long lasting personal significance and realization. In other words, their behavior is dominated by reactions to stimulation and pressure from external circumstances, rather than their personal goals and values. Such conforming reactivity is at least temporarily advantageous to some social group situations in which the goals and values of others are still being acquired, such as childhood, immigrants to a new culture, or recruits to a cult.

However, it is never advantageous in individuals expected to direct their own lives and those of others, such as parents and social leaders.

Self-Directedness Facets

The following behaviors are used as descriptors of people with high scores and low scores on each of the five lower order self-directedness traits. It assumes that individuals are adults in a social situation in which they are expected to choose their own goals and values.

Responsibility vs. Blaming – Individuals who score high on this subscale typically feel free to choose what they will do. They recognize that their attitudes, behaviors, and problems generally reflect their own choices. Consequently, they tend to accept responsibility for their attitudes and behavior. These individuals impress others as reliable and trustworthy.

In contrast, individuals who score low on the responsibility subscale tend to blame other people and external circumstances for what is happening to them. They feel that their attitudes, behavior, and choices are determined by influences outside their control or against their will. Consequently, they tend not to accept responsibility for their actions. These individuals impress others as unreliable and irresponsible.

Purposefulness vs. Lack of Goal Direction – Individuals who score high on this subscale are usually described as goal-oriented or purposeful. They have a clear sense of meaning and direction in their lives. Typically, they have developed the ability to delay gratification to achieve their goals. In other words, their activities are guided by their long-term goals and values.

In contrast, low scorers on the purposefulness subscale struggle to find direction, purpose, and meaning in their lives. They are uncertain about long-term goals, and thus feel driven to react to current circumstances and immediate needs. They may feel that their life is empty and has little or no meaning beyond the reactive impulses of the moment. They are usually unable to delay gratification to achieve their goals.

Resourcefulness vs. Inertia – High scorers on this subscale are usually described as resourceful and effective. They impress other people as productive, proactive, competent, and innovative individuals who rarely lack ideas on how to solve problems or initiative in identifying opportunities to solve problems. Indeed, these individuals tend to look at a difficult situation as a challenge or an opportunity.

In contrast, low scorers on the resourcefulness subscale impress others as helpless, hopeless, and ineffective. These individuals have not developed skills and confidence in solving problems and thus feel unable and incompetent when faced with obstacles. Typically, they tend to wait for others to take the lead in getting things done.

Self-Acceptance vs. Self-Striving – High scorers on this subscale are described as self-confident individuals who recognize and accept both their strengths and limitations. In other words, these individuals try to do the best that they can without pretending to be something they are not. Rather, they seem to accept and feel very comfortable with their actual mental and physical features, although they may try to improve these limitations by constructive training and effort.

In contrast, low scorers on the self-acceptance subscale are described as self-striving. These individuals tend to manifest low self-esteem. They neither accept nor enjoy their actual mental and physical features. Rather, they often pretend to be different than they really are. That is, they tend to fantasize about unlimited wealth, importance, beauty, and perpetual youth. When confronted with evidence to the contrary, they may become severely disturbed rather than trying to revise their goals and habits constructively.

Congruent Second Nature vs. Bad Habits – Individuals who score high on this subscale have developed a spectrum of goal-congruent, good habits so that they automatically act in accord with their long-term values and goals. This is achieved gradually as a consequence of self-discipline, but eventually becomes automatic (“second nature”). These habits usually develop through repeated practice and are typically stronger than most momentary impulses or persuasion. In other words, these individuals rarely confuse their priorities and thus feel safe and self-trusting in many tempting situations.

In contrast, low scorers on this subscale manifest habits that are inconsistent with and make it hard for them to accomplish worthwhile goals (“goal-incongruent habits”). These people are sometimes perceived by others as self-defeating and weak-willed. In other words, their will power appears to be too weak to overcome many strong temptations, even if they know that they will suffer as a consequence.

Cooperativeness

Cooperativeness is a multi-faceted, higher order character trait that consists of the following five aspects or lower order traits: social acceptance vs. social intolerance, empathy vs. social disinterest, helpfulness vs. unhelpfulness, compassion vs. revengefulness, and pure hearted principles (integrated conscience) vs. self-serving advantage.

Cooperativeness has been formulated to account for individual differences in identification with and acceptance of other people. Highly cooperative persons are described as empathetic, tolerant, compassionate, supportive, fair, and principled individuals who enjoy being of service to others and try to cooperate with others as much as possible. They understand and respect the preferences and needs of others as well as their own. This capacity is important in teamwork and social groups for harmonious and balanced relationships to flourish, but is not needed by solitary individuals.

In contrast, low scorers on the cooperativeness dimension are described as self-absorbed, intolerant, critical, unhelpful, revengeful, and opportunistic. These individuals primarily

look out for themselves. Consequently, they tend to be inconsiderate of other's rights or feelings. Low cooperativeness is characteristic of many people who prefer to be solitary, but is a handicap in social relations among peers. If a social leader is self-directed but uncooperative, they are likely to be described in derogatory terms, such as tyrant or jerk, because of a lack of empathy, compassion, and moral principles.

Cooperativeness Facets

The following behaviors are used as descriptors of people with high scores and low scores on each of the five lower order cooperativeness traits. It is assumed that the person is expected to participate as a member of a social group.

Social Acceptance vs. Social Intolerance – Individuals who score high on this subscale are described as tolerant and friendly. They tend to accept other people as they are, even people with very different behaviors, ethics, opinions, values, or appearances.

In contrast, low scorers on the social acceptance subscale are described as intolerant and unfriendly. They are typically impatient with and critical of other people, especially people who have different goals and values. "I did it my way" is a popular self-congratulatory refrain for such self-centered individuals.

Empathy vs. Social Disinterest – High scorers on the empathy subscale typically try to imagine themselves in other people's shoes. In other words, these individuals are highly attuned to and considerate of other people's feelings. They tend to treat others with dignity and respect, and often put aside their own judgment initially so they can better understand what other people are experiencing. Whereas reward dependence is associated with experiencing sympathetic emotions, empathy also involves a conscious understanding of, and respect for, the goals and values of other people.

In contrast, low scorers on this subscale are described as insensitive. These individuals do not seem to be very concerned about other's feelings. Rather, they seem to be unable to share in another's emotions, suffering, or hardship, or at least are unwilling to respect (i.e., assign value to) the goals and values of other people.

Helpfulness vs. Unhelpfulness – High scorers on this subscale are described as helpful, supportive, encouraging, or reassuring. These individuals enjoy being of service to others. Often, they share their skills and knowledge so that everyone comes out ahead. They like to work as part of a team, usually preferring this to working alone.

In contrast, low scorers on the helpfulness subscale are described as self-centered, egotistic, or selfish. These people tend to be inconsiderate of other people and typically look out only for themselves, even when working in a team of highly cooperative collaborators. They prefer to work alone or to be in charge of what is done.

Compassion vs. Revengefulness – Individuals who score high on this subscale are described as compassionate, forgiving, charitable and benevolent. They do not enjoy

revenge and usually do not try to get even if they were treated badly. Rather, these individuals actively try to get over insults or unfair treatment in order to be constructive in a relationship.

In contrast, low scorers enjoy getting revenge on people who hurt them. Their revengeful triumph can be either overt or disguised. The former is observed as active-aggressive behavior, such as hurting others physically, emotionally, and financially. The latter is observed as passive-aggressive behaviors, such as holding grudges, deliberate forgetfulness, stubbornness, and procrastination.

Integrated Conscience vs. Self-Serving Advantage – Individuals who score high on the pure-hearted principles subscale are described as honest, genuinely scrupulous, and sincere persons who treat others in a consistently fair manner. In other words, these persons have incorporated stable ethical principles and scruples in both their professional and their social and interpersonal relationships. It is noteworthy that such ethical standards are a component of social cooperativeness rather than related to self-transcendence or spirituality; that is, scores on this scale correlate with other facets of social cooperativeness and not with self-transcendence.

In contrast, low scorers on this subscale are described as opportunistic, i.e., they would do whatever they can get away with to reach their goals without getting in immediate trouble. These individuals tend to treat other people unfairly, in a biased, self-serving manner that usually reflects their own profit. They are thus frequently described as manipulative or deceitful. In other words, they have not incorporated stable ethical principles and scruples into their social and interpersonal relationships.

Self-Transcendence

Similar to the other dimensions of character, self-transcendence can be formulated as a multifaceted, higher order trait with several aspects or lower order traits. The following three lower order traits of self-transcendence are described in the TCI: creative self-forgetfulness vs. self-conscious experience, transpersonal identification vs. personal identification, and spiritual acceptance vs. rational materialism.

Self-transcendent individuals are described consistently as unpretentious, fulfilled, patient, creative, selfless, and spiritual. In Eastern societies they are described as enlightened and wise, whereas in Western societies the same traits may be described as naïve. These individuals seem to be able to tolerate ambiguity and uncertainty. They can fully enjoy most of their activities without having to know the outcome and without feeling the urge to control it. In fact, many of these persons report feeling sincerely that the universe is unfolding just as it should. In addition, many of these persons feel that their spirituality has helped them to understand the real purpose of their lives. Self-transcendent persons consistently impress others as humble and modest individuals who are content to accept the failure even of their best efforts and who are thankful for both their failures and their successes. However, individuals high in self-transcendence may be criticized for what appears in Western society to be naiveté, magical thinking, and

subjective idealism, which may interfere with the acquisition of material wealth and power. Nevertheless, high self-transcendence has adaptive advantages when a person is confronted with suffering and death, which is inevitable with advancing age.

In contrast, individuals low in self-transcendence tend to be proud, impatient, unimaginative, unappreciative of art, self-aware [self-conscious], materialistic, and unfulfilled. They cannot tolerate ambiguity, uncertainty, and surprises. Instead, they strive for more control over almost everything. Low scorers on this dimension may impress others as pretentious individuals who seem to be unable to be satisfied with what they have. On the other hand, individuals low in self-transcendence are often admired in western societies for their rational, scientific objectivity and materialistic success. However, they consistently have difficulty accepting suffering and death with equanimity, which leads to difficulties in adjustment particularly with advancing age.

Self-Transcendence Facets

The following behaviors are used as descriptors of people with high and low scores on each of the three lower order self-transcendence traits.

Creative Self-Forgetfulness vs. Self-Consciousness – In general, love and work are two situations when self-boundaries may become blurred without involving psychopathology. High scorers on this subscale tend to transcend their self-boundaries when deeply involved in a relationship or when concentrating on what they are doing. Consequently, they tend to forget where they are for a while and to lose awareness of the passage of time. For this reason they may appear “in another world” or absent-minded. Such absorption is characteristic of “flow states,” “peak experiences,” or higher levels of insight meditation. Individuals who experience such self-forgetfulness often are usually described as creative and original.

In contrast, low scorers on the creative self-forgetfulness subscale are characterized by their tendency to remain aware of their individuality in a relationship or when concentrating on their work. These individuals are rarely deeply moved by art or beauty. Therefore, others usually perceive them as conventional, prosaic, unimaginative, or self-conscious.

Transpersonal Identification – High scorers on this subscale tend to experience an extraordinarily strong connection to nature and the universe as a whole, including the physical environment as well as people. Often, they report feeling that everything seems to be part of one living organism. These individuals are often willing to make real personal sacrifices in order to make the world a better place, like trying to prevent war, poverty, or injustice. They may seek to protect the environment because of their loving identification with nature. As a consequence, some people may regard them as fuzzy-thinking idealists.

In contrast, low scorers on the transpersonal identification subscale rarely experience strong connections to nature or people. Rather, they tend to be individualists who feel

that they are neither directly nor indirectly responsible for what is going on with other people or the rest of the world. Thus, they are rarely willing to make sacrifices in order to make the world a better place unless they can document objectively some practical advantage. Such individuals view nature as an external object to be manipulated instrumentally, rather than something of which they are an integral part.

Spiritual Acceptance vs. Rational Materialism – Individuals who score high on this subscale often believe in miracles, extrasensory experiences, and other spiritual phenomena and influences (such as beliefs in telepathy or “sixth sense”). Individuals high on this subscale are variously described as showing magical thinking, as in schizotypal personality disorder, or as spiritual mystics depending on the maturity of their overall adaptation and the beliefs of the rater. As spiritual mystics, they may be vitalized and comforted by spiritual experiences; they may deal with suffering and even death through faith that they have and which may involve communion with their God.

In contrast, low scorers on the spiritual acceptance subscale accept only materialism and objective empiricism. These individuals are generally unwilling to accept things that cannot be scientifically explained. This is a disadvantage in facing situations over which there is no control or possibility for evaluating by rational objective means, as when confronted by inevitable death, suffering or unjust punishments.

Appendix J

Cross-Case Comparison Summary Tables

The following summarizes the interview responses of the participants to the guiding questions associated with each research question to show similarities and differences.

Research Question 1

The first research question was: How do leaders, such as corporate executives, perceive the TCI as an effective instrument for enhancing their characters for the purposes of personal and professional growth?

Executive Group Interviews

To explore Research Question 1 with the executive group, guiding questions were designed to explore whether or not the TCI adequately identifies the dimensions of human character, which of the character dimensions is the most interesting to each participant and which dimension is the most important for achieving professional success. Additionally, participants' perceptions of the effectiveness of the process, including the administration of the TCI, review of the results and development of an action plan, were explored and participants were asked if they would recommend the TCI and the administration and coaching processes to friends and family for the purpose of leadership development.

The following summarizes the executive participants' responses to the interview questions related to the first research question. Table J1 shows the executive group responses to the guiding questions related to Research Question No. 1.

Table J1

Executive Participant Responses to Guiding Questions, Research Question No. 1

Participant	Interview Question: Do you believe the TCI identifies the major dimensions of human character?
Donald Newstead	Identifies very well. Encompasses the three levels of self: basic, community and universe or cosmic self.
Kennith Stofer	Does identify. Kennith questions if the TCI reveals all of the character dimensions. Disagrees with some of his TCI scores.
Kathryn Cadwaller	Describes somewhat. Believes self-transcendence should not be included for leadership development.
Deborah Neves	Poorly, due to lack of traditional terms such as “integrity” in the TCI literature.
Reavis Gardner	Does describe character. Repeatedly stated that the TCI hits the nail on the head.
Collette Geyer	Describes character well. Suggests a study of use of the TCI for matching groups or individuals, such as work teams or for personal relationships.
Thomas Preston	Poorly, due to traditional descriptive terms such as “integrity” not being included.
Interview Question: Which character dimension of the TCI is the most interesting to you?	
Donald Newstead	Self-transcendence, for the reasons above and due to the TCI being different from other leadership development programs that emphasis the individual or the relationship between leaders and society.
Kennith Stofer	Self-transcendence, due to the importance of spirituality.
Kathryn Cadwaller	Self-transcendence, due to its inclusion in the TCI. Does not believe is a dimension of character or is important for leadership development.
Deborah Neves	Cooperativeness, due to the unusual use of the term to describe a dimension of character.
Reavis Gardner	Cooperativeness, due to its importance for business success.
Collette Geyer	Self-directedness, due her high TCI scores on this dimension. Also found the temperament dimension of reward dependence interesting, due to her seeing this dimension in herself.
Thomas Preston	Cooperativeness, due to its usefulness in describing a person’s place in the community.
Interview Question: Which character dimension do you believe is the most important for personal success in your professional area?	
Donald Newstead	Cooperativeness. However, he would like self-transcendence to be the most important, but recognizes it would not fit in western culture.
Kennith Stofer	Cooperativeness, due to its including the sub-dimension of empathy.

Table J1

Kathryn Cadwaller	Self-directedness, due to its sub-dimensions of responsibility, purposefulness, resourcefulness, self-acceptance and congruence between behavior and values.
Deborah Neves	All three equally important. Self-directedness to form a vision, cooperativeness to bring people together and self-transcendence to maintain a spiritual foundation.
Reavis Gardner	Cooperativeness, due to the importance of cooperating in the workplace.
Collette Geyer	Self-transcendence, given the importance of spirituality for professional and personal success. She also found the temperament dimension of persistence important for professional success, given its role in meeting goals.
Thomas Preston	Cooperativeness, which he believes makes possible the creative and cooperative environment necessary for organizational effectiveness.
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	Interview Question: How effective do you do you believe the process to be?
Donald Newstead	Believes the process is effective. However, his high TCI scores presented a challenge to find areas for improvement.
Kennith Stofer	Though not agreeing with some of his TCI scores, he did agree with much of it and believes the process is effective.
Kathryn Cadwaller	The process is effective. Could be more efficient by combining orientation for all participants. Number of follow-up sessions should be reduced.
Deborah Neves	Completing the instrument required more time than she had anticipated, though she returned to earlier skipped answers. Otherwise, she believes the process is effective.
Reavis Gardner	Found the process to be effective and convenient. It was easy to participate in the study.
Collette Geyer	The process could be effective if participants work seriously on their action plans.
Thomas Preston	He was encouraged him to reflect on issues that came out of his assessment due in part to the effectiveness of the process.
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	Interview Question: Would you recommend this character assessment process to others within your organization and family?
Donald Newstead	Would strongly recommend. If applied in organizational settings, is concerned with maintaining confidentiality.
Kennith Stofer	Enthusiastically recommends the process. Reported that a friend, when told of the process, expressed a desire to experience it for himself.
Kathryn Cadwaller	She does not recommend it for leadership development unless the character dimension of self-transcendence is deleted. Found it useful as another method of generally improving self-awareness.
Deborah Neves	Hesitates to recommend the process due to the TCI used as a self-report rather than a multi-rater report.

Table J1

Reavis Gardner	Would recommend the process for personal development, particularly for younger adults.
Collette Geyer	Strongly recommends. Would like to have the TCI administered to her workplace staff.
Thomas Preston	Hesitates to recommend, as only those who are motivated to act on the results of the process would realize any significant benefit.

Coaching Group Interviews

To address Research Question Number 1, members of the coaching group were invited to share their views on offering the TCI assessment process to clients as part of the client's personal development program. The summary of the coaching participants' responses related to Research Question Number 1 are included in Table J2.

Table J2

Coaching Participant Responses to Guiding Questions, Research Question No. 1

Participant	Interview Question: Are you interested in Offering this method of character assessment to your clients as part of your personal development services?
Rocco Laramore	Would be interested in offering the process if it was revised to be less academic. Could be useful for coaching and organizational succession planning
Bridget Kaufman	Would be interested, subject to changes recommended below. Recent corporate scandals indicate a need. The process would be useful for leadership development.
Anthony Jurgensen	Would be interested in offering the process, subject to changes. As with all instruments, the TCI is most useful as a dialogue starter.

Research Question 2

The second research question is: In what ways does the TCI assist corporate executives in enhancing their self-awareness? This question was explored using the guiding interview questions described below.

Executive Group Interviews

Executive participants were asked to describe actual and anticipated improvements in their characters or their organizations resulting from implementation of their personal action plan. The following Table J3 summarizes their responses.

Table J3

Executive Participant Responses to Guiding Questions, Research Question No. 2

Participant	Interview Question: In what ways do you foresee improvements in your personal character and even your organization resulting from implementation of your personal action plan?
Donald Newstead	Under Cooperativeness, to be less judgmental and critical of self and others. Under self-transcendence, to be more patient and less self-conscious.
Kennith Stofer	Under self-directedness, explore new career opportunities.
Kathryn Cadwaller	Become less cooperative, with the goal of discouraging clients from taking advantage of her cooperative nature.
Deborah Neves	Remain focused on what she has been doing well and not be tempted to solve difficult problems using expedient solutions that are inconsistent with her values.
Reavis Gardner	Improved understanding of the sub-dimension of detachment under the temperament dimension of reward dependence.
Collette Geyer	No changes anticipated. Value of her participation in the study is her enhanced appreciation for the differences in people based on the variety of possible TCI outcomes.
Thomas Preston	Did not complete an action plan, though under self-directedness, enhanced his awareness of the need for long-term planning, for self and employees.

Coaching Group Interviews

To explore research question No 2, the coaching group participants were asked their views on the TCI as an effective means of helping individuals to become more aware of the major dimensions of their character. The coaching group's responses are included in Table J4.

Table J4
Coaching Participant Responses to Guiding Questions, Research Question No. 2

Participant	Interview Question: Do you believe the TCI is effective in helping individuals become more aware of the major dimensions of their character?
Rocco Laramore	Believes strongly that the TCI assessment process enhances awareness of personal character.
Bridget Kaufman	The process both confirms self-understanding and helps to identify areas for work.
Anthony Jurgensen	The unusual terms used to describe the character dimensions, self-directedness, cooperativeness and self-transcendence, may be responsible for at least some of the success of the process.

Research Question 3

The third research question explored in this study is: In what ways is the TCI an effective instrument for improving the leadership skills of corporate executives?

Executive Group Interviews

Participants in the executive group were asked to discuss the appropriateness of using the TCI for leadership development, both for themselves and others, and to recommend improvements for the various parts of the process, including administration of the instrument, reviewing the results, and development of individual action plans. Table J5 summarizes the executive group's responses to the guiding questions for Research Question Number 3.

Table J5

Executive Participant Responses to Guiding Questions, Research Question No. 3

Participant	Interview question: Do you think it is appropriate to use the results of the TCI for leadership development, both yours and others?
Donald Newstead	Found the process very useful for leadership development. Most leadership training programs focus on skill training, not on character development
Kennith Stofer	Though a participant may not agree with all of the TCI results, the process is appropriate for leadership development
Kathryn Cadwallar	Does not believe the process is appropriate for leadership development. Perhaps would revise her position if objectionable elements such as self-transcendence, were deleted from the TCI literature.
Deborah Neves	Believes the process is appropriate for leadership development, though it should be combined with other development tools.
Reavis Gardner	Sees an application for the TCI to help match character types with positions in organizations.
Collette Geyer	Strongly believes the process is appropriate for leadership development. Expressed her desire to have her staff participate in the process and a way to enhance understanding of others.
Thomas Preston	If the action plan is pursued seriously, the TCI assessment process could be very useful for leadership development.
	Interview question: What improvements would you recommend to the process?
Donald Newstead	Ensure consistency among the various handout materials.
Kennith Stofer	Additional interaction among participant, coach and researcher to encourage more reflection on results and greater effort on the action plan.
Kathryn Cadwallar	Improve efficiency by conducting group orientation of participants. Recognizes maintaining confidentiality would be a problem
Deborah Neves	None
Reavis Gardner	Suggests additional information be provided to participants as they begin the process to enhance understanding of the whole process.
Collette Geyer	More clearly describe the study to participants at the beginning, including the level of commitment necessary to participate. Schedule the interview portion more closely to the completion of the action plan.
Thomas Preston	No significant suggestions.

Coaching Group Interviews

The guiding interview questions for the coaching group for research question number 3 were designed to explore the coaching participants' perceptions of the effectiveness of the TCI assessment process and their recommendations for improvements. Emphasis was placed on the administration of the TCI, the review sessions with the executive participants to discuss their TCI results, and development of participant's action plans. Additionally, the coaching group was asked to recommend training, methods, strategies and models that executive coaches and consultants could use to effectively utilize the process. The coaching participants' responses to the guiding questions related to Research Question No. 3 appear in Table J6.

Table J6

Coaching Participant Responses to Guiding Questions, Research Question No. 3

Participant	Interview question: Which parts of the process were effective and which were not?
Rocco Laramore	The process is effective if participants reflect on and act on the results.
Bridget Kaufman	Believes the process is effective
Anthony Jurgensen	Process is effective if participants focus on continuous improvement.
	Interview question: What improvements would you recommend for the various parts of the process?
Rocco Laramore	Supplement the action plan with a process for tracking progress under the plan.
Bridget Kaufman	Various steps of the process should be mapped out and the relationships of the various steps clearly stated.
Anthony Jurgensen	Participants and coaches should develop the action plan together. The TCI should be simpler, more user friendly.
	Interview question: What training, methods, strategies and models do you believe are needed for executive coaches and consultants to most effectively use this process?
Rocco Laramore	Additional training for coaches to enhance their understanding of the assessment process.
Bridget Kaufman	Use with executives who have committed serious offenses.
Anthony Jurgensen	A commitment to the practice of actively, authentically and intently listening to participants.