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# Leadership Development Impact Evaluation Approaches

**Mbatha, Vuyile Cynthia**

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# LEADERSHIP DEVELOPMENT

# IMPACT EVALUATION APPROACHES

A dissertation submitted to the faculty of Commerce, Law and Management,

**University of the Witwatersrand**

In accordance with the requirements for the degree of

**Doctor of Philosophy (PhD), in**

**Business Management & Leadership**

By

**VUYILE CYNTHIA MBATHA**

**Student Number:** 2272625

**Supervisor:** Dr Manamela Matshabaphala

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# ABSTRACT

This mixed methods multiple case study research investigated the approaches used in the impact evaluation of leadership development initiatives within the context of financial services corporate organisations operating in the African continent and headquartered in South Africa.

Organisations around the world are continuously investing incremental amounts of money into learning and development, more specifically directed towards leadership development initiatives (Boyett & Boyett, 1998; Clark & Clark, 1994; McCauley, Moxley, & Van Velsor, 1998) and yet to date, research and literature on leadership has been predominately focused on theories and approaches to leadership (Bass & Stogdill, 1990; Boyett & Boyett, 1998; Brungardt, 1996; Gardner, 1990; Jackson, 1992; Northouse, 1997; Yukl & van Fleet, 1992) with limited research focused on demonstrating the holist impact of leadership development investments (Avolio, 2007).

Although research has been done on evaluation practices in relation to training and development, few researchers have addressed the matter of impact evaluation specifically for leadership development, through case study research using the mixed methods lenses.

This research study was aimed at investigating the approaches used to measure the impact of leadership development initiatives, through engaging with stakeholders that have a vested interest in leadership development.

The qualitative results revealed that the current leadership development evaluation approaches are a case of a self-fulfilling prophecy, enabled by the unilateral design of the current evaluation approaches and matrices for evaluation are not agreed upfront with relevant key stakeholders. Furthermore, the current approaches do not measure leadership impact holistically. This is problematic as business stakeholders

are not able to obtain a sense of the true and holistic impact of leadership development initiatives, in relation to their context and matrices that are important for them as business stakeholders are not included.

The quantitative findings highlight the importance of having a leadership development evaluation approach that is 1) credible; 2) simple; 3) enables the evaluation to be done across all three levels of the triple bottom line; and an approach that is 4) theoretically sound.

The results provided insights into the core elements that should be included in evaluating leadership development impact holistically and through this theory emerged which informs the theoretical contribution in this research study.

In this, a proposed holistic leadership development impact evaluation approach is presented as an evaluation framework with underlying principles used to explain what informs the framework and how the framework may be applied in the evaluation of leadership development initiatives within the context of corporate leadership in South Africa.

**Key Words**

Leader, Leadership, Learning, Learning & Development, Leadership Development, Evaluation.

# DECLARATION

I, **Vuyile Cynthia Mbatha,** declare that this research report is my own work, except where otherwise indicated in the references and acknowledgements. It is submitted in fulfilment of the requirements for the degree of **Doctor of Philosophy** in **Business Management & Leadership** at the University of the Witwatersrand, Johannesburg. It has not been submitted before for any degree or examination in this or any other university.

Name: Signature:

Signed at

…….

On the …….. Day of …… 20…….

# DEDICATION

This dissertation is dedicated to two of the strongest women I know,
who raised me and taught me that “I can do all things through Christ, who strengthens me” (Philippians 4:13),
my grandmother N.B. Mbatha and my mother L.T. Mbatha.

# ACKNOWLEDGEMENTS

To my family, my father's side – *oNjomane kamgabhi, Makhedama, Khulamini abanye bekhula ebusuku!*

My mother's side – *oShandukandaba, Ndabezitha, Mthiya!* Thank you for being my rock, for enabling me to follow my dreams. For not only believing in me, but for being my strength and most importantly for raising my daughter (Miss Yanela Mbatha) whilst I ventured into the world to follow my dreams.

To my Daughter, Miss Yanela Mbatha: The world is your oyster! This is proof that you can be anything and do anything that you want!

To my Supervisor, Dr Manamela Matshabaphala: Thank you, not only for your academic leadership but for proving to me that *'Umuntu ngumuntu ngabantu'* – 'I am because we are'.

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# LIST OF ACRONYMS

| | |
|---|---|
| ABSA | Amalgamated Banks of South Africa |
| ASTD | American Society for Training & Development |
| ATD | Association for Talent Development |
| B-BBEE | Broad-Based Black Economic Empowerment |
| BCR | Benefit-Cost Ratio |
| CEO | Chief Executive Officer |
| CFO | Chief Finance Officer |
| CIPD | Chartered Institute of Personnel and Development |
| CIRO | Context, Input, Reaction, Outcome |
| CHRO | Chief Human Resources Officer |
| CPO | Chief People Officer |
| DDI | Development Dimensions International |
| HR | Human Resources |
| HRBP | Human Resources Business Partner |
| HRD | Human Resources Director |
| HRM | Human Resources Management |
| IRR | Internal Rate of Return |
| ISD | Instructional System Development |
| KPI | Key Performance Indicator |
| L&D | Learning & Development |
| ME | Managing Executive |
| NPV | Net Present Value |
| ROE | Return On Expectations |
| ROI | Return On Investment |
| SCM | Success Case Model |
| SROI | Social Return On Investment |
| TBE | Theory Based Evaluation |
| TV | Television |
| VUCA | Volatility, Uncertainty, Complexity, Ambiguity |

# CHAPTER ONE: INTRODUCTION

## 1.1 PURPOSE OF THE STUDY

This case study mixed methods research investigates the approaches used in the evaluation of the impact of leadership development initiatives.

Organisations around the world are continuously investing large incremental amounts of money into learning and development initiatives, estimated to be billions of dollars in the United States alone (Lynham, 2000) and in South Africa, organizations are reported to be spending a minimum of 4% to 6% of their total annual payroll on learning and development, which equates to billions of Rands cumulatively (George, Surgey & Gow, 2014) of which the greater part is specifically directed towards leadership development. However, organisations are not able to ascertain or demonstrate the holistic impact of such investments. The business of leadership development is said to be worth approximately $50–60 billion (Burgoyne, 2004; Day, 2011).

Leadership development, especially in the new world of work, has assumed greater importance (Clarke, 2012) as leaders are positioned at the forefront of driving organisational success and are expected to successfully deliver on the triple bottom line. Furthermore, the COVID-19 pandemic has had a significant impact on the work environment and exacerbated the pre-crisis vision of equitable, relevant and quality skills development, bringing it into sharper focus (World Bank, 2021). This emphasises the urgency and importance of leadership development. Investment into leadership development initiatives has become an unavoidable requirement for those organisations that wish to remain competitive and relevant. With increasing investment into and attention on leadership development, the approaches to evaluating the impact of such investments require examination and are top of mind for business leaders, leadership development practitioners, and academics.

Research suggests that learning and development has both financial and non-financial impacts. Financially, impact can be seen for example in the Return On Equity (ROE), (Meyer, 2007) and the Return On Investment (ROI) (Bernthal & Wellins, 2006). Non-financially, impact can be seen on indicators such as reduced tardiness; reduced staff turnover; and improved customer satisfaction (Lawler, Mohrman & Ledford, 1998).

Although some evidence of impact can be found, there appears to be a gap in the literature specifically related to studies of leadership development linked to performance improvement and the evaluation thereof (Lynham, 2000). With increasing investment into and attention on leadership development, the approaches to evaluating the impact of said investments remain a key focus for business leaders, leadership development practitioners and academics.

The core problem of holistic impact evaluation, as far as leadership development impact is concerned, is an intriguing area of research which has been neglected in the field of leadership development and existing approaches may be inadequate in the holistic evaluation process.

Although research has been done on impact evaluation practices in relation to training and development, few researchers have addressed the matter of impact evaluation specifically related to leadership development initiatives through case study research using the mixed methods lens. The existing research has been predominately quantitative and thus research conducted through the lenses of both quantitative and qualitative methods, specifically semi-structured interviews to further explore in-depth the perceptions of other key stakeholders within and outside of the human resources fraternity who have a vested interested in leadership development, could provide a deepened understanding of leadership development impact evaluation.

While limited research exists which addresses the problem statement of this research study in the form of a case study, it would be interesting to discover and

analyse the implementation of evaluation approaches in the specific context of two South African financial services corporate entities as it relates to the successes and/or obstacles encountered in evaluating leadership development impact.

## 1.2 BACKGROUND

Leadership researchers at the international level have, for the past 15 years, been focused on examining leadership theories, more specifically on Charismatic and Transformational theories, and have not fully accounted for complexities involved in leadership which impact beyond organisational success. This leaves a gap for greater attention on design, evaluation and improvement of leadership development offers (Day, 2001). Researchers have focused on leadership theories and some have focused on leadership development but have neglected to examine how the impact of development strategies in relation to all facets of leadership touch points is measured.

Despite the growing interest in leadership development, much remains to be learnt about evaluating the effectiveness of leadership development programmes (Packard & Jones, 2015). Tsyganenko (2014) concurs and further asserts that regardless of the increase in leadership development spend, experts are in agreement that there is still a lack of emphasis on evaluation. There remains a gap in the theories on evaluating holistic impact, most specifically in relation to leadership development, which is surprising as the very nature of the role of a leader touches directly on organisational success as well as indirectly touches on the environmental and social domains.

A limitation in the research done thus far, as pointed out by Packard and Jones (2015), is that overall organizational outcomes of leadership development are rarely mentioned. Businesses across the world are spending extensively on learning initiatives, especially leadership development, but are not able to demonstrate the value that such initiatives bring to organisations. There is at present no clearly identified accounting practice that is specifically aimed at measuring the impact of

learning and development as it relates to increasing the organisation's assets (Berge, 2008).

Any organisation that values the investment it makes should be concerned about the return on that investment, and that relates to all its investments as well as investment into people, or Human Capital Investment. Studies reveal that less than 12% of companies have an understanding of the return on investment on Human Capital Investments (Phillips, Phillips & Smith, 2016). The interest in measuring the contribution of the Human Resources function is not new, and dates back to the 1920s (Phillips, Phillips & Smith, 2016). However, it remains of concern that this is not being done adequately, which poses the question of why this concern remains and why the HR contribution measurement approaches have not addressed the concerns of impact evaluation, categorically in leadership development impact evaluation approaches.

Leadership Development is a significant aspect of the organisational strategy and is often one of the key concerns for executive teams. At the centre of this lies the debates and concerns on evaluating the impact of leadership development. A study conducted in Fortune 500 companies indicated that whereas 92 out of 95 Fortune 500 chief executive officers were interested in learning the business impact of learning and development programmes, only 8% see that happening within their organisations (Phillips, Phillips & Ray, 2012). This raises the question of why impact is not being measured holistically to demonstrate the value of L&D programmes.

One of the primary reasons that organizations invest in training and development for employees is to enhance and protect their human capital (Lepak & Snell, 1999), but these efforts may not have the desired outcomes if not evaluated. At the forefront of conversations that require investment into people, namely development programmes and business projects, the central question relates to how impact and return on investment can be measured. For example, for every Rand spent on developing people or on a key project, it should be possible to calculate the

percentage of that amount spent on measuring the impact and the effectiveness of the investment.

A study conducted by the Development Dimensions International (DDI, 2018) Global Leadership Forecast revealed that although organisations continue to invest billions of dollars into leadership development annually there remains a deficit with regard to the ability to demonstrate impact, return on investment and the overall effectiveness of leadership development initiatives.

Organisations are investing considerable resources and time into leadership development initiatives (McCauley, 2008). Across the world, companies are incrementally spending on leadership development. In the United States of America, Leadership Development has created a booming industry. The American Society for Training & Development (ASTD, 2014) reported that American organizations spent approximately 61% of $164.2 Billion, equating to $100.2 billion on training employees; the remainder was spent on external services which accounted for 28% ($46 billion); and tuition reimbursement accounted for 11% ($18 billion). In the same year, in South Africa an average of $1,882 per employee was reported to be spent on training (George, Surgey & Gow, 2014).

In 2015 the American Society for Training & Development (ASTD) now known as the Association for Talent Development (ATD) reported organisations in the United States spending an average of $1,252 per employee on training. The *Training Magazine* in 2015 reported global training expenditure exceeding $70 billion, averaging between $350,000 and $13 Million in small and large enterprises (Perez-Soltero, Barcelo-Valenzuela, Aguilar-Bernal, & Sanchez-Schmitz, 2019) with increased investments reported at $83 billion in 2018 (Freidfeld, 2019). The surge of leadership development programmes offered at specialized leadership development centres and top business schools around the world (McCauley, 2008) further supports the point of increased investment in developing leaders. Despite this, evaluation studies of such programmes are relatively rare (Day, 2000; Burgoyne, 2004; Day, Fleenor, Atwater, Sturm & McKee, 2014).

In a 2016 Harvard Business review article it was reported that companies around the world are spending significant budget on employee learning and development initiatives in excess of $356 billion in 2015. However, the impact of these initiatives and the return on investment is not necessarily evident. Although quantifying costs is easy to do, demonstrating the return over time is complex, cumbersome and often subjective (Viviers, 2017). Such statements explain why training spend Return on Investment (ROI) is a contentious topic. Packard and Jones (2015) agree and state that for many large organizations, leadership development programmes are seen as an important and sometimes contentious topic of discussion due to the large investments made.

## 1.3 CONTEXT OF THE STUDY

The context of this research study takes into consideration three key components of the study, these being the field of leadership development and evaluation, the context of the research, and the location of the study.

### 1.3.1 The nature of the field of leadership development and evaluation

According to Schoemaker, Krupp and Hawland (2013: p.131), the banker Nathan Rothschild once stated, “Great fortunes are made when cannonballs fall into the harbour, not when violins play in the ballroom. Meaning the more unpredictable the environment, the greater the opportunity if you have the leadership skills to capitalize on that.” Regardless of whether or not leadership skills are innate or can be developed or both, organizations are investing substantially in leadership development, with the aim of enabling leaders to capitalize on opportunities. The holistic impact of such investments does not seem to be comprehensively measured. Evaluating the impact of leadership development is difficult (Edmonstone, Lawless & Pedler, 2019) and not easily quantifiable (Leskiw & Singh, 2007) as leadership is complex (Avolio, Reichard, Hannah, Walumbwa, & Chan, 2009).

Businesses around the world increasingly need to operate more efficiently under volatility, uncertainty, complexity and ambiguity (VUCA) environments and to do this they need great leaders. Leadership Development has become a focal point, more especially during the current COVID-19 pandemic (Sayyadi, 2021). These leaders are expected to respond in an agile manner to the constantly moving targets and changing business landscape. To enable these great leaders, organizations are investing more in leadership development. However, business literature has failed to provide a comprehensive framework that incorporates all relevant internal resources which may simultaneously impact on leadership development and the measurement thereof (Sayyadi, 2021). It is because of this that the researcher argues that the time has come to focus the scope of leadership research, and to utilise the lens of evaluating the holistic impact of investments made on leadership development initiatives.

Investment into leadership development, while relatively expensive, is a necessary and unavoidable task if organizations wish to remain competitive and relevant regardless of the rapidly evolving business landscape. Organisations investing in leadership development may not be aware of the impact of their investment due to the lack of an appropriate holistic leadership development evaluation approach (Brad & Ken, 2011).

Leadership Development is an investment which stretches and impacts on various levels simultaneously, being the individual, the organizational, environmental and societal levels, through the leadership approaches and decisions taken. The literature reveals a lack of research on leadership development evaluation (Black & Earnest, 2009). As with any other investment, leadership development investment should be evaluated using the appropriate measures and approaches to ascertain the holistic impact of the investment.

The business environment at the present time is highly unpredictable and the need for great leaders has become increasingly important. Organisations operating in the current economy are under pressure to perform and at the forefront of this

expectation are the leaders. These leaders are expected to respond quickly to competitive manoeuvres, faster innovation, communicate a compelling vision, and develop not only their globally distributed teams but also the next generation of leaders, all while delivering long-term value measured by short-term results (Phillips, Phillips & Ray, 2012). The value to be derived from leadership development is in bringing about competitive advantage (Lepak & Snell, 1999). If organisations are to remain relevant, in spite of the rapidly evolving business landscape, they need to equip leaders for success through leadership development and thus investment into leadership development, though expensive, is a necessary and an unavoidable responsibility.

This research examines whether leadership development initiatives are measured efficiently in order to appropriately establish the holistic value of these initiatives.

### 1.3.2 The context of the research

Even though both leadership development and the return on investment on leadership development have been studied before, the holistic impact beyond economic returns in relation to the organisational triple bottom line which include Economic, Environmental and Social impacts of leadership development initiatives have not been studied in the context of South African financial services corporate entities. A review of scholarly literature suggests that although the importance of evaluation is widely noted, most organizations are not evaluating learning initiatives.

The purpose of this research was to study existing impact evaluation approaches on leadership development, meaning, how the impact of leadership development initiatives is being evaluated, and how the impact of leadership development initiatives could be evaluated in order to ascertain the holistic impact thereof.

### 1.3.3 Location of the study

The scope of location of the study is based on the South African context and the reason for this scope selection is that South African organizations are gradually increasing the expenditure on learning and development initiatives as driven by regulatory laws, and it becomes important to effectively measure the impact of development programmes so as to direct the 'regulated' spend towards the most appropriate initiatives.

In the South African context, Broad-Based Black Economic Empowerment (B-BBEE) legislation prescribes the framework and processes that aim to promote the economic empowerment of previously disadvantaged people, in its efforts to reduce the economic gaps that continue to prevail. The legislation requires companies who are not exempted according to the Skills Development Levies Act 24 of 2010 in paying the skills development levy of 1%, across all industries in South Africa to spend a minimum of 6% of its leviable amount, that is 6% of the company's payroll on Skills Development for black people alone (in this context the term "black people" refers to Black South African; Indian South Africans and Coloured or Mixed Race South Africans). In essence this means that a company with a payroll of R500 Million, for example, is mandated to spend a minimum of R30 Million annually on Skills Development for black people.

The amended B-BBEE Code of Good Practice as gazetted in 2019 has further made skills development a priority element, and has organisations across South Africa questioning how to maximize the value and impact of spend on learning and development initiatives. The financial services sector B-BBEE scorecard further stipulates the levels of management and leadership through which that expenditure should be directed. Yet despite training investments being enforceable by legislation, the ability and efforts to demonstrate the impact of such investments is still lacking.

The pressure to spend on skills development attributed to the B-BBEE scorecard and the duly noted importance of skills shortages in Africa, makes appropriate

evaluation of learning and development a priority in the African context, and it becomes increasingly important to understand impact evaluation approaches used in Africa (Rosholm, Nielsen & Dabalen, 2007).

This research suggests that the same considerations in relation to evaluating impact and returns on capital investments into any other 'investment projects' should be given towards learning and development interventions, more specifically into leadership development initiatives as the scope of leadership roles extends beyond the immediate business context, and by virtue of the design of leadership development initiatives being multifaceted, these initiatives may require a specific approach in relation to impact evaluation.

## 1.4 RESEARCH PROBLEM STATEMENT

### 1.4.1 Research problem

The problem focus of this research is to examine impact evaluation approaches for leadership development, with the purpose of making an academic body of knowledge contribution to leadership development impact evaluation theory, from the holistic view of all key stakeholders involved in leadership development, of which little can be found through multiple case study research.

Limited research exists which analyses approaches that aim to evaluate the impact of leadership development initiatives specifically and not generic training and development initiatives. This is problematic as leadership development −unlike generic training and development −is multifaceted in the types of interventions included, which go beyond the classroom events. This is further problematized by the unique nature of the role of a leader, which has a direct correlation with the triple bottom line and therefore the leadership development initiative impacts beyond the individual being developed and touches on the organisational level, societal level and environmental level. Generic training evaluation approaches may thus be inadequate in the holistic representation of the impact attributed to leadership development initiatives.

In the context of this research, the intent of the researcher is to study impact evaluation approaches with the aim of identifying a holistic impact evaluation approach which can be utilized in the context specifically of leadership development initiatives.

The researcher argues that existing leadership development approaches may be inadequate in evaluating the holistic value of leadership development as the current evaluation methodologies are:

a) Measured from matrices defined by Human Resources (HR) and Learning & Development (L&D) and as such are viewed from a horizontal lens which is a linear view that may be considered somewhat problematic as this may present itself as a self-fulfilling prophecy; and
b) Current approaches to leadership development evaluation may be overly simplistic as they measure leadership development initiatives using traditional L&D evaluation approaches within the immediate business context and do not go beyond this context. This is problematic because the leadership scope is multifaceted and impacts beyond the business context; therefore current approaches may not be presenting a holistic value of the investment into leadership development.

### 1.4.2 Research questions

The research questions are premised on exploratory research, with the reason for adopting a mainly exploratory research approach being the following:

a) Flexibility and adaptability to change;
b) Leadership development impact evaluation approaches have not been explored from the angle of holistic impact evaluation beyond economic value through the lens of key stakeholders outside of leadership development practitioners, and exploratory research is therefore the preferred research approach choice, as exploratory research is the initial research intended to form the basis for the more conclusive research;

c) Exploratory research is often conducted to explore the research issue and is usually clearly defined (Singh, 2007); and
d) This kind of research approach is useful for laying the foundation that will inform future studies.

In examining the research problem and reflecting on the nature of the defined problem, the following questions underpin the study:

1. **Research Question 1**: Are the current Leadership Development impact evaluation approaches a case of a self-fulfilling prophecy?
2. **Research Question 2**: How can evaluators ascertain or be sure that they are actually measuring what they think are measuring, that being the impact of leadership development initiatives?
3. **Research Question 3**: How should the holistic impact of leadership development initiatives be evaluated?

## 1.5 SIGNIFICANCE OF THE STUDY

The purpose of the study is to examine the existing leadership development impact evaluation approaches through conducting an analysis of existing approaches, and engaging stakeholders who are directly and or indirectly involved or impacted by the leadership development initiatives through probing their ideology, soliciting their inputs and determining the involvement or lack thereof in the evaluation, as well as their ideas on holistic impact evaluation approaches. Based on the findings of this study, the researcher aims to develop a methodological approach to inclusive and holistic evaluation of leadership development initiatives.

This study aims to examine the approaches used in evaluating the impact of leadership development initiatives, and to that end contribute to the academic body of knowledge in the field of leadership development. The research makes a practical and methodological approach contribution to the field of leadership development impact evaluation through theory generation. A theoretical contribution is generated in this case study research using Grounded Theory and Program Theory.

Combining Case Study methods through the lenses of mixed methods studies, Grounded Theory and Program Theory provides synergies that enable rigorous as well as reliable iterative data collection and analysis, through which themes and emerging theory are generated (Arshad, Ahlan & Ibrahim, 2013).

The research study contributes to a growing body of literature on leadership, leadership development, as well as literature on impact evaluation. Addressing the research problem will be of benefit to business, academia and the researcher.

From a business perspective, there is extensive investment into leadership development and therefore it is important to understand how to evaluate the impact of leadership development initiatives in order for businesses to make scientifically informed decisions as to which leadership development initiatives to invest into. A lack of understanding of the perceived relationship between leadership development and holistic impact of this investment is problematic as it could have an impact on the success of the business. This is because business success is driven by leaders and leaders are equipped for success through leadership development initiatives; as such the ability to ascertain the impact is important so as to enable organisations to invest in the most impactful and relevant initiatives to achieve success within the context of those organisations.

From an academic perspective a clear understanding of the leadership development, and impact evaluation will assist in providing a theoretical foundation that could enable academics to formulate strategies that prevent or mitigate the deployment of leadership development programmes which lack holistic impact.

From the researcher's perspective, as stated by Rajasekar, Philominathan and Chinnathambi (2013), no-one would like to do research unless they are motivated by personal factors, and amongst many possible motivations for conducting a research study, those of the researcher are:

(1) To solve the unsolved and challenging problems,
(2) To obtain a research degree (Doctor of Philosophy (Ph.D.)),

(3) To satisfy personal curiosity regarding unknown facts related to leadership, leadership effectiveness, leadership development, and leadership development impact evaluation approaches.

This research is intended to analyse the aforementioned and design a solution that will promote an inclusive holistic impact evaluation approach towards leadership development. This is important to the researcher as it enables the researcher to formulate solutions and recommendations that can be implemented in the field of leadership development, a professional community in which the researcher is an active professional.

## 1.6 DELIMITATIONS OF THE STUDY

Delimitations of this study are that the study is primarily focused on leadership in the context of South Africa only, examined through the lens of corporate leadership in corporate business entities, within the scope of financial services sector organisations and does not examine societal leadership. As such, the research does not address public, government and political leadership of any type.

## 1.7 DEFINITIONS OF TERMS

The following terms are defined and used in the context of this research:

- **Association for Talent Development (ATD):** Previously known as the American Society for Training and Development (ASTD), this is a talent development professional body membership organisation, which supports those who develop employee skills and knowledge within organisations globally.
- **Leadership Development initiatives:** The activities and initiatives that are employed in order to build capability and competencies in relation to leadership skills, knowledge and abilities.
- **Employee Hierarchy:** The levels by which the organization has chosen to arrange the various individual employees within the business.

- **Executive/ Leader:** The end user who participates in the leadership development initiative. The terms are used interchangeably, depending on the source of reference applied.
- **Evaluation:** The approach of ascertaining the significance of an action or process.
- **Key Performance Indicator:** A performance measurement which is used to assess the successful attainment, or lack thereof, of a particular goal or objective.
- **Leadership:** The ability and action to lead as well as motivate a group of people towards achievement of a shared goal or goals.
- **Leadership Theories:** The theories which endeavour to understand and explain leadership studies and the philosophical assumptions of said studies.
- **Learning:** The process of obtaining skills and knowledge.
- **Leadership Development Initiatives:** The activities designed with the purpose of expanding the competencies and capabilities of individuals in leadership roles or those individuals intended to be in leadership roles in the future.
- **Managing Executive:** Business leaders that sit at the highest levels of the organisation and/or business cluster or function.
- **Organisation:** The business entity, which has a group of people working together towards an attainment of similar business goals aimed at achieving profit margin.
- **People Partners:** A new term used to refer to Human Resources Business Partners (HRBPs). These are HR professionals whose role is to partner with business units to support and drive the people agenda.
- **Stakeholders:** Individuals with a vested interest in the leadership development initiatives, whether direct or indirect.
- **Triple Bottom Line:** A term used in accounting to describe a framework which has three core parts that organizations impact, being 1) Social; 2) Environmental; and 3) Financial.

## 1.8 ASSUMPTIONS

It is assumed that the research participants will openly and honestly share their experiences, perceptions and views.

It is assumed that the research methodology chosen and through the diversity of stakeholder engagement an inclusive analysis of leadership development evaluation approaches will be enabled.

Furthermore, it is assumed that organisations targeted for this case study research are willing agree to participate in the research study.

## 1.9 CHAPTER OUTLINE

The dissertation comprises the following chapters:

- **Chapter one:** Provides an introduction which describes the research problem and lays out the reasoning behind it, the context, the purpose and significance of the study. It also provides the delimitations, assumptions and definitions relevant to the research.
- **Chapter two:** Examines the critical literature and theory review whereby the theoretical and conceptual frameworks are described.
- **Chapter three:** Describes the research methodology and research philosophy and outlines the motivation for selection of theory as it pertains to this research study. The chapter furthermore explores the paradigm in which the research is located. The details pertaining to sampling, data collection procedures, the data used in the study and the process of analysis are provided.
- **Chapter four:** This chapter analyses the findings gathered from the data analysis process and describes the central emerging trends and patterns in light of the research problem. In this section of the paper the foundation for the next chapter is laid, which moves the evidence and data analysis into the scope of theory development.

- **Chapter five:** Theory is developed based on the analysis of the previous chapter. The links and integration between the current literature and the findings are made. The reflections of the researcher are shared in reference to the researcher's adult learning and evaluation philosophy statement.
- **Chapter six:** The limitations of this research study are presented together with the summary of the conclusions and the recommendations for future research studies.

**In Summary,** this chapter pertained to the introduction of the study in whereby the background and context of the study were explained. The chapter introduced, the research problem statement, significance of the study as well as assumption, delimitations and the definition of terms.

The next chapter focuses on the literature relevant for this study.

# CHAPTER TWO: CRITICAL LITERATURE & THEORY REVIEW

## 2.1 CHAPTER INTRODUCTION

This chapter focuses on a critical literature and theory review, where the relevant literature, theoretical and conceptual frameworks as they relate to this research study are discussed.

The primary objective of the literature review in this research study is to provide a comprehensive interpretation of literature relevant to this study. The purpose is to present the evidence on relevant research conducted by prior researchers in relation to the research variables related to this topic. The intention is to enable an increased understanding of the concepts as well as an understanding of the correlation, or a lack thereof, as well as any interconnectedness or lack thereof within the variables. This mixed methods exploratory sequential case study research is focused on Leadership studies, Leadership Development and Leadership Development Impact Evaluation approaches.

This research study is anchored on both a theoretical framework and a conceptual framework. Although these may appear similar, the theoretical framework and conceptual framework are neither interchangeable nor synonymous (Grant & Osanloo, 2014). The theoretical framework acts as a foundation for making sense of the meaning of data and enables the researcher to substantiate their argument (Kivunja, 2018). Theoretical frameworks are based on existing theory that has been tested and validated and as such is considered generally acceptable theory in scholarly literature, whereas conceptual frameworks represent the structure used to explore the concepts and that which is considered best in explaining the natural progression of a studied phenomenon (Grant & Osanloo, 2014).

## 2.2 THEORETICAL FRAMEWORK

Theory in its simplest form is a generalised statement of ideas which aim to explain and predict the relationships among phenomena (Kivunja, 2018). In a research study, theories are generated with the aim of explaining, understanding and predicting phenomena, in order to challenge, as well as contribute to, the existing body of knowledge (Abend, 2008). Theory emerges from an exhaustive research process which utilizes empirical data in order to derive hypothesis that is based on the inductive or deductive analysis of data (Kivunja, 2018).

The theoretical framework is the structure that holds or supports the theory of a research study. It describes the theory, which explains why the research problem in the study exists, and also focuses the research study through limiting the research scope to specific variables.

As postulated by Grant and Osanloo (2014), the theoretical framework is the foundation of the research and considered one of the most important aspects thereof. In the absence of a theoretical framework, the vision or the structure of the study would remain unclear. A theoretical framework can be seen as the structure which encapsulates concepts as well as theories that a researcher develops from synthesized knowledge that has been previously tested and published. In doing so, the researcher employs this framework as a basis for data analysis and interpretation (Kivunja, 2018).

A theoretical framework is used in this research study to aid in conducting academically sound research, through the following criteria suggested by Guba (1981) as cited in Kivunja (2018):

1. Enhancing the credibility of qualitative data and or the internal validity of quantitative data.
2. Enhancing the transferability of research findings from the qualitative data.
3. Improving the dependability of the findings in quantitative data and qualitative data, as well as the reliability of findings in quantitative data.

4. Enhancing the external validity and generalizability of quantitative data analysis.
5. Increasing the confirmability of research findings in qualitative data or subjectivity of findings in quantitative data.

The theoretical framework main theories of which this study is anchored in are Grounded Theory and Program Theory. Program Theory is also referred to as Purposeful Program Theory, Theory Based Evaluation (TBE) or Evaluation Theory. This research study further includes a research plan in the form of a research map. A research plan which contains a theoretical framework provides structure to the dissertation study (Grant & Osanloo, 2014).

### 2.2.1 Grounded Theory

Bryant and Charmaz (2019) define grounded theory as an "inductive, iterative and systematic research approach designed to explore and analyse data in order to generate theories on studied phenomena". Much of the strength of grounded theory, as explained by Glaser and Strauss (1967) derives from the iterative process of increasing the analytical power of the researcher's conceptual categories (Charmaz & Thornberg, 2021). Grounded theorist set out to "discover or construct theory from data, systematically obtained and analysed using comparative analysis" (Chun Tie, Birks & Francis, 2019:1).

According to Charmaz and Thornberg (2021), grounded theory can be seen as a systematic method of conducting research, which moulds data collection approaches and provides explicit data analysis strategies and where the defining purpose of grounded theory is to construct a theory which offers an abstract understanding of one or more core concerns in the studied world.

In this research study, the appeal towards grounded theory is due to the fact that, "the researcher's analytic focus emerges during the research process, rather than being determined before the empirical inquiry begins" (Charmaz & Thornberg, 2021:305). This is an appealing proposition as this study is a mixed methods

sequential research study, and therefore the potential for data to be synthesized throughout the research process is invaluable.

Grounded theory typically has three genres: 1) Traditional Grounded Theory, 2) Symbolic Grounded Theory, and 3) Constructivist Grounded Theory. This research study adopts the second genre of the three genres of Pragmatist Grounded Theory, being Symbolic Interactionism or Evolved Grounded Theory, also known as Straussian Grounded Theory.

The logic for not adopting traditional grounded theory is that it aims to generate conceptual theory, which accounts for a pattern of behaviour which is both problematic and relevant for those involved (Chun Tie, Birks & Francis, 2019) and this is not the primary objective of this research study. This study is not aimed at co-constructing experience and meaning with participants, as done by Constructivist grounded theorists. It is also not focused on how the research participants construct meaning in reference to the area of enquiry, which is the constructivist grounded theory approach.

This research study is underpinned by evolved grounded theory that is based on the work of Strauss, Corbin and Clarke (2005). Symbolic interactionism is defined as, "a sociological perspective that relies on the symbolic meaning people ascribe to the processes of social interaction" (Chun Tie, Birks & Francis, 2019:2). This perspective places emphasis on the 'subjective meaning' that people attach to events, objects or behaviours based on what they believe to be true. This aligns with the scope of this research study, where it is important to understand the subjective meaning that stakeholders place on the leadership development initiative events, as well as the behaviours that leaders demonstrate before, during and after a development initiative, in order to effectively ascertain the appropriate approaches required for the holistic impact evaluation of leadership development initiatives.

A feature synonymous with grounded theory is constant concurrent data generation/collection and analysis, because, "data is data, all is data" (Chun Tie,

Birks & Francis, 2019:4). This is supported by Charmaz and Thornberg (2021:306), who observe that, "Grounded theory enables the researchers to engage in an iterative process of data collection and analysis; researchers would sequentially focus on the most significant issues in the field of study". In addition, such a process of simultaneous data collection and analysis assists researchers to steadily focus on developing concepts about the data and to gather further data that augment their nascent concepts (Charmaz & Thornberg, 2021). Data analysis and theory generation thus occurs concurrently, allowing for both data collection and analysis to be done simultaneously. This research study made use of extant data, or specifically data from published literature, for the literature review section. In theory construction, the researcher made use of, "elicited data produced by participants in response to the researcher" (Chun Tie, Birks & Francis, 2019:4).

### 2.2.2 Program Theory

To maintain credibility, it is necessary for leadership development practitioners and human resources development specialists to understand and be able to quantify impact, as it is becoming increasingly critical for organisations to evaluate their investment options for sustainability and continuous improvement (Boulay, 2008).

In evaluation, the two most popular types of theories are, 1) Program theory, and 2) Social Science theory of evaluation (Donaldson & Lispey, 2011). The researcher deemed program theory as more appropriate and the most suitable for application, in reference to this specific study.

Program theory, according to Weiss (1997) can be traced to the early work of Suchman in 1967 where he discussed reasons for unsuccessful programmes, and it gained popularity by the late 1980s. It is further defined by Russon and Reinelt (2004:105) as, "the description of how and why a set of activities are expected to lead to outcomes and impact."

Chen (1990: 43) views program theory as, "a specification of what must be done to achieve the desirable goals, what other important impacts may be anticipated, and

how these goals and impacts would be generated", and furthermore states that, "program theory can be viewed as a configuration of the prescriptive and descriptive assumptions held by stakeholders and thus underlying the programs stakeholders create" (Chen, 2014:66). This research study aims to investigate current leadership development impact evaluation approaches through the lens of selected stakeholders to solicit their ideas on how impact evaluation should be conducted. Program theory, more especially through the lens of the definition provided by Chen (2014) provides the most appropriate approach to undertake the research study.

Funnell and Rogers (2011:19) define program theory as, "an explicit theory or model of how an intervention, such as a project, a program, a strategy, an initiative, or a policy, contributes to a chain of intermediate results and finally to the intended or observed outcomes". Program theory is defined by Bickman (1987:5) as a, "plausible and sensible model of how a program is supposed to work". With this in mind, this research study engages various stakeholders on what constitutes leadership effectiveness, what successful leadership development initiatives might look like and how the holistic impact of leadership development initiatives should be evaluated.

The challenge within evaluation in the field of learning and development or human resources development in general is that, "efforts for evaluation overwhelmingly assess participant reactions and rarely identify bottom-line impacts or returns on investments" (Boulay, 2008:1).

In this research study, the researcher draws on the work of Funnel and Rogers (2011) called Purposeful Program Theory, to make the argument that through program theory, which is based on two main components, being a) the theory of change, and b) the theory of action, are essential to effectively evaluate Leadership Development Programmes. The researcher argues that to do this it is important to understand the entire causal process which occurs between the design, deployment of the leadership development programme itself and the holistic impact that said

programme has or is intended to have. This is not possible without the input and involvement of all key stakeholders who have some level of vested interest in the leadership development initiative. To effectively evaluate leadership development impact, the views of all stakeholders on what, who, when, and how programmes should be evaluated are important.

The two main components of Program Theory, that is a) theory of change, and b) theory of action, are fundamentally useful in this research study as they enable the researcher to study leadership development impact evaluation methodologies by thinking through using the theory of change, on how, "the processes or drivers through which change comes about beyond economic measures, but holistically for individual, groups, or communities such as psychological processes, social processes, physical processes, and economic processes" and through the component of the theory of action, enables the researchers to study and understand, "how programs such as leadership development interventions are structured to activate the change" (Funnel & Rogers, 2011:19).

The evaluation theory applied in this research is theory-driven evaluation. This evaluation approach as advocated by Boruch (2004), Rossi (2004) and Chen (2005) emphasizes the importance of acknowledging the prescriptive and descriptive assumptions of stakeholders when building a program theory; as such, there was extensive consultation and engagement with stakeholders to solicit their assumptions as well as expectations in relation to how the impact of leadership development initiatives should be evaluated (Boulay, 2008).

To this end, the conceptualisation of the theory of change and the theory of action, as proposed by Funnel and Rogers (2011), is valuable in examining how holistic leadership development impact evaluation is tantamount to the end-to-end consideration of programme design, drivers of change and affected stakeholders from the onset.

Program theory, according to Funnel and Rogers (2011), may be used in conjunction with many different approaches to evaluation or models of evaluation for various reasons. For the purposes of this research study, the following uses of program theory in evaluation, as outlined by Funnell and Rogers (2011), are the pertinent reasons for the selection of Program theory as one of the main theories encompassed in the theoretical framework for this study. Program theory is both useful and relevant when:

1. Assisting with decisions about the type of evaluation that would be appropriate.
2. Identifying whether assumptions about all aspects of the programme as shown in the program theory are met.
3. Identifying where there may be alternative and possibly competing theories that could be explored in an evaluation.
4. Identifying the important aspects of the programme (problem, outcomes, and implementation) for which performance information should be collected.
5. Using program theory as a source of hypothesis or questions to be addressed in the evaluation, through highlighting which issues require investigation.
6. Ensuring that stakeholder perspectives concerning single issues are kept in perspective in an evaluation.

Grant and Osanloo (2014:19) state that, “there is no one ultimate theory that fits best with any enquiry”. The chosen theoretical framework is selected as it, “accentuates the purpose and importance of the study” (Adom, Hussein & Agyem, 2018). Leadership development programmes are evaluated on outcomes and impact, as evidenced by changes that occur during the leadership development process and post leadership development. Program theory based evaluation focuses on what programmes do, the programme impact as well as how participants respond to the programme.

In this research study, 38 learning evaluation approaches are identified that are centred on measuring change and outcome. Russon and Reinelt (2004) define

outcomes as changes which occur and are evidenced in behaviour, skills, attitudes, knowledge, status or level of functioning as a result of programme activities, and impact which is seen as long-term future social change that the programme aims to promote.

Russon and Reinelt (2004) observes that few leadership development programmes have an explicit program theory. In considering the scope of this research study, program theory can help to explain how an intervention such as a leadership development programme, is understood to contribute to a chain of results that produce the actual or intended impact.

This research study is informed by the premise that leadership can be developed through the adoption of various theories of learning, with selective focus on leadership capabilities as defined through the leadership theories and therefore leadership development can be evaluated. Program theory provides the foundation for examining leadership development and as such forms the basis of leadership development evaluation approaches, as well as for this research study.

Shadish (1998) argues that evaluation theory is not without its problems and points out the following concerns pertaining to program theory:

1. The general failure of most theorists to develop contingency theories of evaluation practice which tell evaluators how to make choices based on the contingencies of the situation.
2. The general omission of a consensual vision of the place of evaluation in the world.
3. The lack of widely accepted metatheoretical nomenclature that would help to classify any given theory about evaluation, and to use that classification to understand what a particular theory does and does not claim to do.
4. The neglect of a comparative theory of evaluation, that uses the common metatheoretical nomenclature to compare and contrast the relative strengths and weaknesses of individual theories.

Leeuw and Donaldson (2015:468) observe that, “Theory as understood in the field of evaluation is fragmented, a problem widely recognised in the evaluation community”. Christie and Vo (2015:54) agree that evaluation theories are not as strong as other theories and argue that, “since its inception, evaluation has struggled to generate viable theory. As Berk and Rossie (1999:33) explain, “so far, theory has not lived up to its promise in evaluation research”. Thus, the combination of program theory and grounded theory is found to be comprehensive and able to substantially serve as a foundation on which this research study is based.

Program theory was selected for this research study as it is the most appropriate of all the possible and available theories, as program theory provides an evaluative approach to change as a result of a specific programme or intervention by combining the theory of change and the theory of action. Furthermore, program theory is selected as, “Program theory provides an approach to evaluate the process and longer-term outcomes” (Lawless, et al., 2017:510).

This research study explores the impact evaluation approaches used in leadership development. For the purposes of this dissertation, grounded theory and program theory are used and applied in the exploration as well as examination of the three main concepts of which the study is concerned with, namely, a) Leadership Studies, b) Leadership Development, and c) Leadership Development evaluation. Grounded Theory and Program Theory for all intents, construction and purposes of this research study are specifically applied in the following manner:

1. In the literature review section, as the basis for all evaluation model designs.
2. Grounded theory is applied in the literature review.
3. Both grounded theory and evaluation theory are used to design the research methodology of the research study.
4. Evaluation theory is used specifically by applying the four-step process of planning an evaluation, as described by Funnel and Rogers (2011).
5. In the data collection and data analysis, grounded theory is used.
6. The Theory of Action is used in the programme design of leadership development programmes.

7. The theory of change is engulfed in leadership development initiatives and effectiveness.
8. Program theory is entrenched in the leadership studies section of this research, in understanding the ideal leadership behaviour required for effective leadership through the theory of action.
9. Grounded theory and evaluation theory are used in the theory development.

## 2.3 CONCEPTUAL FRAMEWORK

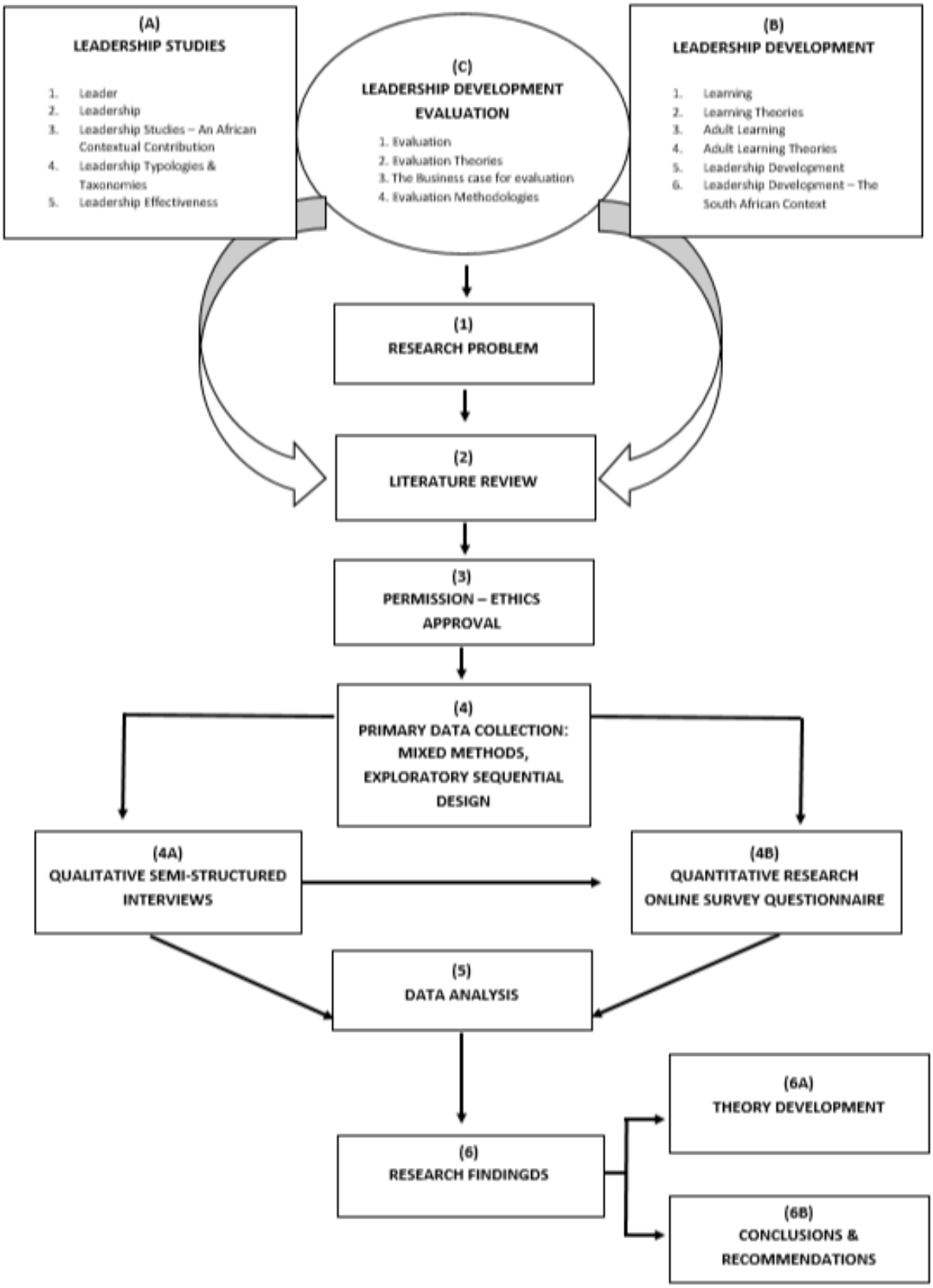
A conceptual framework is the logical master plan of the research study, meaning the logical conceptualization of the entire research project (Kivunja, 2018). The conceptual framework provides a representation of the researcher's synthesis of literature on how to explain a phenomenon, and therefore as postulated by Grant and Osanloo (2014) is a detailed illustration of how the researcher intends to explore the research problem and provides a visual outline of linkages between concepts. The conceptual framework offers a logical structure of connected concepts that provide a visual display of how ideas in a study relate to one another (Grant & Osanloo, 2014). The research philosophy and the philosophical grounding of this study is mapped out using the conceptual framework.

The conceptual framework encompasses, "thoughts on identification of the research topic, the problem to be investigated, the questions to be asked, the literature to be reviewed, the theories to be applied, the methodology to be used, the methods, procedures and instruments, the data analysis and interpretation of findings, recommendations and conclusions to be made" (Kivunja, 2018:47).

According to Van De Valk and Constas (2011), there is a growing interest to improve evaluation methods for leadership development interventions amongst key stakeholders such as participants, funders, researchers and leadership development practitioners. Conceptually this research can be seen as an interaction between three interdependent relevant concepts and bodies of work, namely, a) leadership studies, b) leadership development, and c) leadership development evaluation.

The research map outlined below provides a visual display of how ideas in this study relate and demonstrates the series of actions intended to be taken by the researcher in the study (Adom, Hussein & Agyem, 2018). The research map process below is applied to each of the case studies and data is integrated into the research findings.

**Figure 1: Research Map, Adapted from Jogulu and Pansin (2011)**



## 2.4 CRITICAL REVIEW OF LITERATURE

The grounded theory approach to the literature review is in contrast to the positivist's ideal *tabula rasa* unbiased approach to literature review of Glaser (1978; 1998; 2001; 2013) where it is suggested that data collection should be done first before a literature review is conducted. Glaser argues that literature review should not be done prior to data collection in order to avoid influencing the judgment of the researcher with preconceived notions and keep the research as "free" as possible to ensure that the research findings are not overly influenced by pre-existing concepts.

The approach adopted for literature review is the Straussian grounded theory method, which takes into consideration the reality that, "we all bring to the inquiry a considerable background in professional and disciplinary literature" (Bryant & Charmaz, 2019:209) as the researcher is a current leadership development practitioner. Through adopting this approach, the researcher, as advocated by Bryant and Charmaz (2019), brings a rich background of information which augments the understanding of the studied phenomenon.

Prior to discussing leadership development and leadership development evaluation, an in-depth understanding of leadership which includes leader and leadership concepts, theories and assumptions upon which leadership is based on, ergo leadership development, is necessary. Since leadership is at the core of the research study, the chapter begins with understanding leadership, its theories and assumptions.

### 2.4.1 Leadership studies

A fundamental question in human affairs, according to political scientists, is: Who shall lead? (Hogan, Curphy & Hogan, 1994). In seeking to interrogate this question, varying ideas have developed as to what the 'correct' response is. Rashid (1989) as cited in Akbar (2013:81) stated that, "Aristotle, the great Greek philosopher of 4$^{th}$ Century B.C. who tutored one of the greatest military leaders of the world, Alexander the Great, says a good

leader must have Ethos, Pathos and Logos. Ethos is his moral character, the source of his ability to persuade and inspire. Pathos is his ability to touch feelings, to move people emotionally. Logos is his ability to give solid reasons for his actions to move people intellectually".

Fiedler and Chemers (1974) consider a leader as someone others want to emulate and with the charisma to attract attention and loyalty. Hogan and Kaiser (2005) view leaders as those individuals who are in charge of organizations and their units. Stogdill (1950) defines a leader as a person who becomes differentiated from others in terms of the influence that person exerts upon the goal setting and achievement of that goal. Hogan, Curphy and Hogan (1994) disagree somewhat and argue that people who use power to get others to do something are not leaders.

The view of the researcher is that someone who employs power to drive others to action can be considered as a leader, and argues that it may be more accurate to suggest that people who utilise only power to achieve their objectives are not leaders since power should not necessarily be viewed as a negative connotation in leadership. Furthermore, the researcher argues that in leadership, both power and influence are important. A leader is someone who drives others to action, regardless of whether they have done so in a positive manner or otherwise, but provided they have driven people towards the attainment of the same goal, they have led. Emanating from this view is whether or not employing what is seen as 'negative' leadership is sustainable.

Relative to this research study, the concepts of leaders and leadership are examined as guided by Stogdill (1974) in the context of the relationship between persons and organizational structures, activities and goals.

### 2.4.2 Leadership

The concept of leadership is a complex phenomenon. Research conducted demonstrates a *nonpareil* focus on leadership, amongst, and in comparison with, other social research.

The study of leadership has spanned cultures, decades and theoretical beliefs (Horner, 1997). Leadership is an ancient subject of discussion, said to be one of the oldest preoccupations of the world (Vecchio, 2007) which has been conceptualized even before biblical times (King, 1990) and has been pronounced upon by Plato, Socrates, Confucius and Shakespeare, amongst others (Peltier, 2010). The study of leadership and interest in leadership theories can be traced back to as early as 500 B.C., as mentioned in Machiavelli's *'The Prince'* in the 16th century. Leadership is a universally relevant concept which is said to been in existence throughout recorded human history. Vecchio (2007) as well as Bass and Bass (2008) observed that leadership is a universal phenomenon found in both humans and animals, where leadership predates humans.

The study of leadership and leaders is a universal phenomenon that is conterminous with the rise of civilization (Bass & Stogdill, 1990). The first empirical research on leadership was published in 1904 (Fiedler & Chemers, 1974). The past 50 years of research, as stated by Day (2001), has demonstrated that the concept of leadership is not a simple one, nor reliant on a single facet, but is a complex interaction between the leader and economic, social and organizational environments, and thus the researcher argues that it is important to adopt a holistic approach to evaluation when attempting to ascertain the impact of leadership development initiatives. One of the most important aspects of applied psychology is leadership (Hogan, Curphy & Hogan, 1994) and understanding what makes for effective leadership as well as how to measure the initiatives that aim to develop leaders is of importance.

Leadership research and literature is one of the largest and the most complex research areas in the social sciences (Mumford, 1986). There has been extensive research undertaken into the subject of leadership as a behavioural science topic but it remains a topic that is not fully understood (Bennis, 1959). Nonetheless, interest in and research on leadership remains high, as seen in a google search on 17th April 2019 that provided 3,680 000 000 results in 0.51 seconds in response to a search for 'Leadership'. A search for

‘Leadership theories’ provided 126 000 000 search results in 0.32 seconds, and ‘Leadership Development’ provided 752 000 000 search results in 0.50 seconds.

The study of leadership has been at the centre of organisational behaviour literature for several decades (Yukl, 1989). The concepts of Leader and Leadership have been studied in various ways depending on the methodological preference of the researcher and the researcher’s perception of leadership (Yukl, 1989).

The terms ‘leader’ and ‘leadership’ are frequently used in everyday language but nonetheless some misunderstanding prevails regarding these concepts (Fiedler & Chemers, 1974). Peltier (2010:307) asserts that, “Leadership is a lot like love. Everyone thinks it is special but hardly anyone agrees on a definition”. In the past 60 years, leadership has been conceptualized in more than 65 different ways (Northouse, 2015).

Leadership as a concept has different connotations under different circumstances for different people, and this is one of the causality factors in the lack of consensus on the definition of leadership. Leadership has been defined as stated by Yukl (1981) in terms of individual traits, influence over other people, interaction patterns, the role relationships, occupation of an administrative position, and perceptions of others regarding legitimacy of influence.

Northouse (2015) asserts that although leadership means different things to different people, some commonly agreed concepts that accurately reflect what leadership is include that: 1) Leadership is a trait; 2) Leadership is an ability; 3) Leadership is a skill; 4) Leadership is a behaviour; 5) Leadership is a relation, and 5) Leadership is an influence process.

Adair (1968) observes that although there are numerous definitions of leadership, the underlying principles of leadership are the same. Stogdill (1950) concursthat although there different definitions of leadership, the minimal conditions for leadership to exist as stipulated by Stogdill (1950) are that there should be:

1. A group of two or more people;
2. A common task or goal-oriented activities; and
3. Differentiation of responsibility (where some of the members have different duties).

Scholars of leadership have attempted for many decades to define in consensus the meaning of leadership (Northouse, 2015). There is no universally accepted definition of Leadership (Bennis, 1959). Bass (1990) suggests that in order to accurately define leadership, the definition should be based and dependent on the purpose to be served by the definition. Yukl (1989) points out that the direction scholars take in defining leadership differs widely based on the scholarly focus or phenomenon of interest and individual perspective. The choice of definition is dependent on the purpose to be served (Bass & Bass, 2008) and is dependent on the chosen theory and its focus (Peltier, 2010).

The two common denominators found in most definitions of leadership is that leadership involves *influence* and *change* (Peltier, 2010). For purposes of this study, the following definition of leadership will apply:

- Leadership is defined as the action and ability to motivate and lead a group of people towards an attainment of shared goals. Leadership is when others adopt the goals of the group as their own for a period of time as a result of having been influenced by an individual called a leader.

### 2.4.3 Leadership Studies: An African contextual contribution

Africa has made theoretical contributions to the leadership philosophy through two concepts: '*Ubuntu'* and '*Satyagraha'. Ubuntu* is the belief in a universal bond that connects all humanity, whilst *Satyagraha* refers to the notion of passive resistance developed by Gandhi during his time in Africa (Eckert & Rweyongoza, 2015). *Ubuntu* means 'I am because you are' meaning no one exists in isolation, individuals need each other to survive and be fulfilled. According to Eckert and Rweyongoza (2015:3),

"Leadership philosophies like *Ubuntu* allude to a feeling of high responsibility for one's kin, loyalty to one's ethnic or family group and a focus on long time prosperity".

The concepts of what a leader is, what separates great leaders from bad leaders and leadership in general as will be illustrated in this research study, have been analysed and discussed by numerous academics and theoreticians from several dimensions over an extensive period since the inception of the 'leadership phenomenon'. This is explained in the various theories and leadership approaches below.

### 2.4.4 Leadership Theories

Bass and Bass (2008:117) states that, "Nothing is supposed to be as practical as a good theory (Lewin, 1947), but nothing seems more impractical than a bad one (Bass, 1974)".

The anthology on leadership studies is comprehensive, complex and includes the work of numerous scholars and theorists. Leadership is said to be governed by over 66 theories (Mango, 2018), which exist for the purpose of explaining how leadership emerged, the nature of leadership and its consequences (Bass, 1990).

Leadership theories have been studied for centuries. However, there is still a gap in the literature on how to evaluate the impact of initiatives deployed to develop and enhance leadership. Haley and Lazouskas (2006) traced the origins of leadership theories to Carlyle's 1841 essay on heroes and Galton's study in 1869 of inheritance of great men. The earliest studies of leadership focused on theories based on who the leader was and their specific traits. The first leadership theory identified was the 'Great Man theory' which gave rise to the trait theory. Researchers further explored and attempted to identify observable leader behaviour.

There are significant differences in scope between the various leadership theories. Peltier (2010) points out the following:

1. Trait theories are focused on individual characteristics of the leader;

2. Situational theories, on the other hand, are focused on the fit and match interaction between the characteristics of the leader and the situation that the leader is faced with; and
3. Behavioural theories are focused on the actions of the leaders.

#### *2.4.4.1 Leadership Typologies & Taxonomies*

According to Knock (2015:1), "Typology is used in anthropology and archaeology regarding the study of types. It **may** involve the analysis of how one thing led to another but not necessarily. Taxonomy is the science of classification. It would not be a science if it did not involve the broad study of relationships between things".

There are several leadership behaviour taxonomies of which Yukl's (1981) list is the broadest and includes planning and organizing; problem solving; clarifying; informing; monitoring; motivating; consulting; recognizing; supporting; managing conflict and team building; networking; delegating; developing and mentoring; and rewarding (Hogan, Curphy & Hogan, 1994). In examining the literature on leadership, it is found that a deficit of the early research was that it failed to assess typology of leadership behaviour (Thomas & Littig, 1985).

Typology refers to the classification schema of which one of the longest serving leadership typologies is formal versus informal leadership (Bass & Bass, 2008). This research study is focused specifically on formal leadership and does not relate to informal leadership. Formal leaders are those leaders who have been legitimately given authority or "the power" to lead. These leaders occupy positions that provide them with power, authority and legitimacy to lead (Bass & Bass, 2008). Informal leaders are those leaders who have not been formally placed in a position of power by the organization, but due to their personal characteristics are seen as leaders. The personal attributes and esteem affords these individuals influence over others (Bass & Bass, 2008).

Leadership theories have been conceptualized and taxonomized in various different ways in accordance with the preferences of different researcher. Bass and Stogdill (1990) as

cited in Haley and Lazouskas (2006) group leadership theories into three categories: 1) Personal and Situational Theories; 2) Interaction and Social learning theories; and 3) Perceptual and Cognitive theories.

1. **Personal and Situational Theories** of leadership include the early conceptual work on theories such as the great man theory, trait theories, and situational theories and includes some of the later work such as personal-situational theories, psychoanalytic theories, humanistic theories and contingency theories. Contingency theories, according to Fiedler (1974:89), are the best-validated leadership theories.
2. **Interaction and Social Learning Theories** include leader-role theory, theories of attainment of the leadership role, reinforced change theory, goal path theory, interactive process theories including vertical dyad linkage, exchange theories, behavioural theories and communication theories.
3. **Perceptual and Cognitive Theories** which mostly consist of theories about attribution, information processing, systems analysis and rational deduction.

For the purposes of this research study, Leadership theories have been conceptualized in a chronologically ordered sequence, as follows:

**1840s: The Great Man Theory** was popularized in the 1840s by Thomas Carlyle who coined the phrase "Leader as a Hero". The Great Man theory portrays leaders as mystic beings who are born with inherent heroic abilities, which make them destined to be successful as leaders. The basic premise is that leaders are born and not made, thus its either an ability that a person has or not. Great leaders will arise when there is a great need. Plato, Aristotle and Machiavelli all contributed to this school of thought. In contrast, Spencer in the 1860s challenged and opposed the Great Man theory when he suggested that leaders were products of their societies in which they lived which was in isolation from their natural environments.

**1910s: Trait Theory** emerged around 1910 and attempted to identify certain traits that make an individual "leader material". Following on the Great Man theory, Trait theory supports the idea of being "born with" capabilities and states that leadership abilities are inherent. The basic premise of the trait theory is that there are specific individual characteristics that make some people good leaders and others not. The underlying assumption behind trait theory was that people are natural leaders, endowed with certain traits which are not possessed by others (Yukl, 2013).

**1950s: Behavioural Theories** counters both the Great Man theory and Trait theory. Behavioural theory follows the school of thought as explained by Yukl (1989) that explores the actual activities that leaders engage in, looking at what it is that leaders and managers do in their job as well as the relationship between effectiveness of the leader and their behaviour. Leadership behaviour correlated to leadership effectiveness, thus effective leadership is based on leadership behaviour.

**1967: Contingency Theories** developed as a result of research having failed to demonstrate strong support for universal concepts of effective leadership (Yukl, 2013). Contingency theories aim to explain why behaviours and traits of effective leadership differ from situation to situation (Yukl, 2013) and how certain aspects of a leadership situation can shift the leader's effectiveness (Yukl, 2013). Contingency theories explain that there is no single ultimate leadership style which is universally appropriate or could be generically applied across the board, and that instead leadership is contingent on the situation .The ability of a leader to be effective will ultimately depend on the leader's ability to flex their leadership style to align with the situation at hand.

**Situational Theories** counter trait theories. Situational theories propose that it is situational factors which determine who emerges as a leader and is a matter of situational demands (Bass, 1987). Yukl (1989) explores 9 situational theories of leadership, namely: 1) Path goal theory, 2) Situational leadership theory, 3) Leader substitutes theory, 4) Normative decision theory, 5) Least Preferred Co-worker (LPC) theory, 6) Leader

Member Exchange (LMX) theory, 7) Cognitive resources theory, 8) Multiple-Linkage theory, and 9) Leader environment follower interaction theory.

**Path Goal Theory** explores effective leadership based on changing situations. According to Yukl (2013), the primary goal of the leader in path goal theory is to modify the perceptions and beliefs of the subordinates in order to gain their motivation to get the job done. Leaders are responsible for outlining the appropriate path for the subordinate to follow in order to attain specific goals, eliminating barriers that stand in the way of the attainment of goals and ensuring that a valuable and desirable reward exists. The leaders are able to do this by influencing the perceptions of the subordinates about the likely consequences of the different levels of effort (Yukl, 2013).

**Situational Leadership Theory** was developed based on the original work of Reddin (1976) in which he suggested that leader effectiveness varies according to style. Situational theory was developed by Hersey and Blanchard (1969) originally as the lifestyle theory of leadership and later in 1977 presented as situational leadership (Graeff, 1983). Situational Leadership is about, a) the relationship between the leaders and subordinates, b) the level of leader influence, and c) the performance required from the subordinate. Leaders analyse the situation and adjust their leadership style accordingly based on the subordinates' needs.

**Leader Substitutes Theory** is an alternative world-view proposed by Kerr and Jermier (1978) which offered a departure from contingency theories of leadership and universal theories of leadership (Tusi & Kiker, 1997), in which they identify certain aspects of a situation that require instrumental leadership and those aspects of a situation which call for supportive leadership (Yukl, 2013).

**Normative Decision Theory** was developed by Vroom and Yetton in 1973 and attempts to define and identify the most effective decision-making procedures in a particular situation (Yukl, 1989). In their original work, Vroom and Yetton (1973) define how effective decisions should be made and later revised their work in 1988 to focus on what

managers should not do with regard to decision-making. Normative Decision theory is about how people ought to make decisions, which differs from prescriptive decision theory that focuses on specifically how decisions are actually made.

**Least Preferred Co-worker (LPC) Theory** was developed by Fielder (1967), who posited that there is no ultimate best style of leadership. How effective a leader is, is based on the situation as a result of a match between leadership style and situational favourableness. Emphasis is placed on the relationship between leadership style and the situation. Leadership style is fixed and can be measured using the least preferred co-worker scale (LPC Scale).

**Leader Member Exchange (LMX) Theory** is a contingency theory focused on two-way relationships between leaders and their subordinates (Truckenbrodt, 2000) which describes how leaders develop different exchange relationships (Yukl, 1989). This theory is regarded as a contingency theory as the manner in which the leader treats the subordinates is contingent on whether they are classified as the in-group or out-group (Yukl, 1989). LMX theory explains how leaders develop relationships with their subordinates which could be either positive relationships or negative relationships.

**Cognitive Resource Theory (CRT)** was proposed by Fielder and Garcia (1987) as a reconceptualization of Fielders Contingency Model. CRT is a person-by-situation interaction theory in which experience and intelligence constitute the "person" variables, and stress experienced by followers and leaders make up the "situational" variable. This theory suggests that intelligence and experience interfere with each other (Saccomano, 2008).

**Multiple-Linkage Theory** operates on the assumption that performance primarily depends on six intervening variables: teamwork and cooperation, member effort, organizational work, member ability, availability of essential resources, and external coordination with other parts of the organisation (Yukl, 1989). Although leader behaviour

is dependent partially on the particular situation, the leader can influence the variables that are listed above.

**Leader Environment Follower Interaction (LEFI) Theory** is a situational theory similar to earlier versions of the Multiple Linkage model (Yukl, 1989). Leader environment follower interactions (LEFI) theory proposed by Wafford (1982) states that the performance of a subordinate is dependent on four intervening variables: task motivation, ability to do the work, clear and appropriate role perceptions, and the absence of environmental constraints. The leader has the ability to influence subordinate performance through influencing the intervening variables (Yukl, 1989).

**1985: Relational Theories**, for example transformational leadership theory, espouse the idea of transformational leadership instead of transactional and was first posited by Bass in 1985. **Transformational leaders** engage with their followers and create a connection. Transformational leaders are seen as charismatic to their followers, they stimulate employees intellectually, they excite, inspire and take care to meet each employee's emotional needs. In doing so, they drive the employees to go beyond their self-interest and move towards focusing on the needs, common goals and purpose of the wider group (Bass, 1990). **Transactional leadership** is a *quid pro quo*, or the "carrot-and-stick" approach. Good performance is promoted and rewarded, whereas mediocrity is not tolerated and substandard or poor performance is reprimanded. Transactional leaders clarify expectations and pay-offs in the achievement or lack thereof, which comes in the form of reward or punishment and leadership success is achieved through rewarding achievers and through showing lack of tolerance for poor performers by penalizing them (Bass, 1990).

**2015: Systems Leadership Theories** are based on the premise that in order to achieve success it must be recognised that people do not live in isolation, acknowledge the interconnectedness of the world that people live in and operate in and work collaboratively to function effectively as a system (Heifetz, 1994; Hafetz, Kania & Kramer, 2004; Senge, Hamilton & Kania, 2015).

Fielder and Chemers (1974) maintains that there is no leadership theory in existence that can explain all the problems that organisations face.

### 2.4.5 Leadership Effectiveness

To understand how to evaluate leadership development impact holistically, it is important to understand what constitutes effectiveness within leadership. Leadership and leadership effectiveness are synonymous in the discussion of leadership development in the context of this research and hence leadership effectiveness is explored and discussed in this research study.

A central overarching problem within leadership research is that researchers and scholars often focus too much attention on typical leadership behaviours and ignore leadership effectiveness (Hogan, Curphy & Hogan, 1994). The definition of what constitutes effective or ineffective leadership behaviour remains a challenge (Stogdill, 1974). The research that explores what leadership effectiveness entails or looks like remains limited (Hogan, Curphy & Hogan, 1994). The lack of focus on leadership effectiveness is a cause for concern since leadership effectiveness is the foundation for organizational performance and growth and can be seen as a source of competitive advantage (Amagoh, 2009).

At the centre of organisational performance are the leaders of that organisation. Regardless of the type of business or corporate organisation, one thing they all have in common is the expectation for the leaders to ensure organisational success. This does not mean automatically adopting a point of view or the assumption that leaders drive organisational success. It is thus worthwhile exploring what elements holistically drive organisational success.

According to Akbar (2012:78), “organizational effectiveness is achieved as an outcome of leadership, when leadership is seen as a collective phenomenon, a resource for

performance and survival of a collective". Akbar (2012) further adds that the perception that organizational moral and performance is influenced by leadership is a plausible argument. Hogan and Kaiser (2005) support this by stating that organizational success as well as the well-being of employees and citizens is tantamount to leadership effectiveness.

Bass and Stogdill (1990:6) assert that, "Leaders make a difference to whether their organizations succeed or fail". Some critics such as Meindle and Ehrlich (1987), as well as Meindle, Ehrlich and Durkerich (1985), argue that leadership influence on organizational performance is merely the subject of misperceptions (Vecchio, 2007). Fielder (1974), although not as dismissive of the leadership influence as Vecchio (2007), concurs that the aggrandised and overzealous correlation attached to leadership in relation to organizational success does not depend solely depend on the effectiveness of a leader, but rather on a range of related factors. Stogdill (1950:10) supports this point and states that, "leadership is subject to determination by factors which are external to the organization as well as by internal group factors". Amagoh (2009), however, suggests that leadership is important in organizational success and that the absence of effective leadership impacts the organization's ability to implement and sustain change initiatives.

Vecchio (2007) maintains that leaders impact on organizational outcomes and the research reveals that companies perceived as "well-led" grew 900% over a 10-year period in comparison to the companies who were perceived to be lacking leadership and which grew only 74% in the same period. This supports the argument that leadership impacts on the bottom line significantly (Bennis, 1990).

Bass and Bass (2008), as well as Vecchio (2007), argue that Leadership effectiveness is a fundamental point of discussion in relation to leadership, as Leadership effectiveness is regarded as the single most critical success or failure determinant factor for organisations. Leadership effectiveness is the standard by which leaders should be judged, as it is about the impact that a leader has on the organization's bottom line (Hogan, Curphy & Hogan, 1994).

Bennis (1990) states that leadership is the key to unleashing the full potential of intellectual capital within organizations. Critics argue, however, that leadership is a figment of the imagination and that leadership effectiveness is in the eyes of the beholder (Vecchio, 2007). Landis, Hill and Harvey (2014) further disagree with the critics and contend that leadership is indeed seen as a critical component for organizational success. Bass (1990:9) advocates for leadership effectiveness and impact when he states that, "Leadership has been considered a critical success factor in the military since records have been kept, that is better-led forces repeatedly have been victorious over poorly led forces".

To be successful in the 21st century, organizations require great leaders and demand leadership effectiveness. Leadership researchers and scholars, whilst examining factors which lead to organizational success, identified leadership effectiveness as the catalyst for organizational success or failure (Madanchian, Hussein, Noordin & Tacherdoost, 2017).

The impact and effectiveness that leaders have may vary in different contexts. Leaders can be extremely successful in the context of a particular organization yet mediocre in others. In studying Leadership in an attempt to determine the "right recipe" for ultimate leadership which leads to success, literature from both an empirical research perspective and from popular business books, points to some clear trends on leadership as outlined by Peltier (2010):

1. There are no universal traits that make for good leadership.
2. Leaders-Situation approach to leadership is central, since there are no universal qualities of leadership that guarantee success in all situations at all times.
3. Not every individual is well-suited for leadership owing to capability characteristics, motivation to lead, interest to lead, skills, and energy, amongst other attributes.

Defining the concept of leadership effectiveness is as difficult as defining leadership. A contributing factor to this is the various definitions of "Effectiveness". Theorists differ

quite strongly on the definition for leadership effectiveness (Fiedler, 1974) and on the indicators of leadership effectiveness (Yukl, 2013).

Pierro and Van Knippenberg (2010) define Leadership effectiveness as representing the ability of a leader in mobilizing and influencing followers.

In relation to this specific study, the researcher postulates that leadership effectiveness is important for organisational success; that leadership effectiveness can be acquired through leadership development and because it can be developed, it can be measured. The researcher supports the view of Akbar (2012) that effectiveness and success within an organisation is because of effective leadership, and that the single most critical determinant of success or failure for organisations is leadership effectiveness (Bass & Bass, 2008; Vecchio, 2007; Hogan, Curphy & Hogan, 1994).

For purposes of this study, the following definition of leadership effectiveness will apply:

> Leadership Effectiveness is defined as the ability for leaders to motivate, mobilize and influence their teams in order to achieve strategic business objectives by delivering through their teams.

Leadership effectiveness in the business and industrial sectors is measured objectively using matrices such as profit margins, sales increases, Return on Investment, market share, unit profit, unit productivity, cost per item produced and cost relative to budgeted cost (Bass & Bass, 2008). Other objective measures of leadership effectiveness include employee satisfaction which is observed through employee absenteeism, complaints, grievances, voluntary staff turnover, requests for transfers, work slowdowns and incidents of sabotage, to mention a few (Bass & Bass, 2008).

Stogdill (1950) argues that the effectiveness of an organization and thus that of leadership within organisations cannot always be evaluated in terms of the degree to which it has attained its objectives. Hogan and Kaiser (2005) argue from a slightly differently angle that leadership effectiveness should be evaluated in relation to performance. However, it

should be evaluated in relation to group performance over a period of time since leadership not only entails building a group but also involves maintaining group performance over a period of time.

The concept of leadership development implies that leadership can be taught and learnt. According to Amagoh (2009), systematically driven leadership development initiatives tend to lead to enhanced leadership effectiveness, while Eckert and Rweyongoza (2015:14) explain that, "Leadership is one of the most critical factors to the future success of organisations in Africa. Organisations that invest in developing leadership talent are investing in their future".

### 2.4.6 Learning

Learning is important to understand, as learning informs the design of leadership development initiatives and is an element that is measured in leadership development evaluation under the two most utilised models of evaluation, namely the Kirkpatrick model and the Phillips model.

#### *2.4.6.1 What is learning?*

This question is addressed by various scholars and theorists. De Houwer, Barnes-Holmes and Moors (2013) define learning functionally and mechanically. Functional definitions of learning attempt to explain the causes of changes in behaviour and are focused on explaining changes that occur when learning occurs. Mechanistic definitions of learning aim to reveal the mechanisms which drive the behaviour (Barnes-Holmes & Moors, 2013) and are focused on explaining each part and how it operates. Barnes-Holmes and Moors (2013) functionally define learning as changes in behaviour, which is a result of experience and mechanically learning is defined as changes in the organism, which result from experience.

Ertmer and Newby (2008) adopt the definition used by Schunk (1991) and define learning as “an enduring change in behaviour or in the capacity to behave in a given fashion which results from practice or other forms of experience”.

Knowles (1973) highlighted learning as defined by Burton (1963) as a change in the individual due to the interaction between the individual and their environment, which fills a need and makes them more capable of dealing adequately with their environment.

Of all the definitions of learning, the common criteria and characteristics of learning are that, a) there is a change of behaviour, and b) that the change is a result of an experience which has occurred. Learning is demonstrated by a change in behaviour resulting from experience (Cronbach, Spadling & Hilgard, 1963).

Learning in its simplest form is a process of obtaining new, or modifying existing, information, knowledge and skills. Learning in the leadership development sphere occurs at the level of learning referred to as adult learning. Adult learning refers to the practice and process of how adults learn and what motivates adults to learn.

Although there may be various definitions of learning, unlike leadership, and the theories of leaders, there is a high degree of concurrence as far as learning theories are concerned on the definition of what learning is (Knowles, 1990).

Learning theories are concerned with the study to understand how learning takes place in the human body and mind. Learning theory is primarily explored and developed in psychological disciplines as well as the adjacent disciplines of Pedagogy, Biology and Sociology (Illeris, 2008).

Although learning theory is noted as important, there appears to be a disconnect between learning theories, leadership theories and evaluation theory. This may be seen where leaders of the same calibre, operating in the same context, attending the same leadership development initiatives, tackle the same challenge but the output does not necessarily

become the same. Part of what is currently understood as the reason for ineffective learning is this disconnect that learning theory is hardly involved in the design and planning of development initiatives and often the central focus of learning design and planning is the financial considerations (Illeris, 2018).

#### *2.4.6.2 Various Theories of Learning*

For the purposes of this research study, Learning theories have been conceptualized in a chronologically dated sequence as explained below.

**Behaviourism Learning theory (1950s – 1960s)** has as the basic premise that learning is a response to external stimuli. The behaviourism theory of learning is focused, according to Ertmer and Newby (1993:55), on, "the importance of consequences of those performances and contends that responses that are followed by reinforcement are more likely to reoccur in the future". Learning transfer in behaviourism is evaluated based on how prior learning affects new learning and the application of learned knowledge in new ways or situations (Ertmer & Newby, 1993). Examples of well-known behaviourism learning theories are provided below.

**German Gestalt Psychology Theory – 1875** (**Behaviourism Learning Theory**) was one of the first schools of thought to explore and experiment on the process of learning and memory in exploring the simple acquisition of knowledge.

**American Behaviourism Theory – 1913** (**Behaviourism Learning Theory**) dominated the academic arena on learning theory for 60 years and is focused on the idea that the only scientifically accepted theory was that which could be directly observed and measured, and that all other concepts were excluded such as emotions, consciousness and meaning (Illeris, 2008).

**Russian Cultural-Historical Theory – Mid 1920s** (**Behaviourism Learning Theory**) was developed by the Soviet Union and explored the cultural-historical or activity-theoretical approach to Psychology (Illeris, 2008). In this theory, learning was seen as a

process which is not innate but something that needed to be directed and supported through the use of practical tools and higher mental functioning such as language, understanding and consciousness in the formal sense, for example, teaching and school (Illeris, 2008).

**Constructivism Learning Theory (1960s – 1970s)** has as its basic premise that learning is a process of building an understanding. Constructivism in essence "equates learning with creating meaning from experience'' (Ertmer & Newby, 1993:62). An example of a popular constructivism learning theory is **Piagets Constructivism Theory – 1920s** (**Constructivism Learning Theory**) which was the first comprehensive theoretical work to differentiate between the different types of learning as well as distinguish between learning by change or construction and learning by addition.

**Freud & Dewey** provided a profound contribution to the discourse, and although they did not deal directly with the theories of learning, Freud and Dewey contributed significantly to the understanding of learning.

**Cognitivism Learning Theory (1980s)** is informed by the basic premise that learning is a process of acquiring and storing information. In evaluation, Cognitivism theory of learning can be closely associated with Kirkpatrick's level two learning. Three examples of popular Cognitivism learning theories are provided below:

**Kegan's Constructive Developmental Approach Theory – 1982 (Cognitivism Learning Theory)** was introduced for the first time by Kegan and later versions followed in 1994 and 2000 (Illeris, 2008). In his five-stages approach, Kegan explains the lifelong process of general human development which is brought about through learning (Illeris, 2008).

**Kolb's Theory of Experiential Learning – 1984 (Cognitivism Learning Theory)** was proposed by David Kolb as a theory and model of experiential learning. This theory aimed

to explain human learning in general, and its premise was that all learning was basically experimental (Illeris, 2008).

**Engestrom's Activity Theoretical Reconceptualization Theory – 1987 (Cognitivism Learning Theory)** was introduced by Yrjo Engestrom as part of his dissertation in continuation of the cultural-historical or activity-theoretical approach (Illeris, 2008). Engestrom combined Gregory Bateson's Theoretical learning typology with the Russian theory and proposed three types of learning which bridges the cognitive and social learning dimensions.

#### *2.4.6.3 Adult Learning Theories*

Bass and Bass (2009:121) observe that, "If a theory of leadership is to be used for diagnosis, training and development, it must be grounded in the user concepts, assumptions, language and expressions" Therefore, it is important to delve deeper and maintain focus on adult learning theories, since this study is aimed at impact evaluation approaches of leadership development initiatives, which occurs through adult learning.

Though often cursorily mentioned by leadership scholars, adult learning theories are important factors in leadership development (Allen, 2007). Learning theories, and specifically adult learning theories, can be utilized to ensure leadership development learning is effective, understood, is sustained and leads to impact. A leadership development initiative that is interwoven into the thinking of learning theories and encompasses the thinking of Cognitivist, Behaviourist, Social learning theorist and developmentalist, will engage learners at a higher level and enable leadership development architects to design and implement interventions and environments more conducive to learning (Allen, 2007).

Malcom Knowles, one of the first scholars to theorize adult learning in the early 1970s, pronounced that Theory is, 1) the analysis of a set of facts in their relation to one another, 2) the general or abstract principles of body of fact, a science or an art, 3) a plausible or scientifically acceptable general principle or body of principles offered to explain a

phenomenon, 4) a hypothesis assumed for the sake of argument or investigation, and 5) abstract thought. Theories of learning subscribe to all of the above in one way or another (Knowles, 1973).

Adult learning theories are associated with several educational, social, psychological and philosophical theories (Taylor & Hamdy, 2013). One of the Adult learning theories is known as Andragogy. Andragogy is in contrast to Pedagogy which is the art and science of teaching children. Knowles (1973) formulated a theory of adult leading which he termed Andragogy, and based his theory on the disposition that adults learn differently from children as adults are differently motivated (Taylor & Hamdy, 2013).

Roulston (2010) states that adult learning differs from children learning with regard to the learning context, the learner and the learning process. Adult learners differ from children in six principles, as enumerated by Taylor and Hamdy (2013) as they differ in:

(1) the need to know,
(2) learner self-concept,
(3) learner experience – Roulston (2010) advocates for this point when stating that, in the adult learning process, adult learners tend to draw upon their lifetime of experiences,
(4) readiness to learn,
(5) orientation to learning, and
(6) motivation to learn.

Andragogy postulates that adults often need to understand why they are learning and are driven to learn by internal factors. Willingness to learn for adults increases when the learning is more relevant to their environment and offers immediate value. Past experiences are used to connect learning and inspire new ideas. Adults find task-oriented and problem-solving learning more appealing Knowles (1973).

Research conducted by Jay Conger in 1992 provides a clear demonstration linking learning theories and leadership development. Based on the research Conger postulated

that leadership development falls into four categories: 1) personal growth aligns with cognitivism, 2) conceptual understanding aligns with cognitivism, 3) feedback, and 4) skills building aligns with behaviourism (Allen, 2007).

### 2.4.7 Leadership Development

Leadership development has been in official existence for around 214 years and yet there appears to be a gap in approaches designed specifically for evaluating the holistic impact of leadership development initiatives. The research and literature on leadership has been predominately focused on theories and approaches to leadership (Bass & Stogdill, 1990; Boyett & Boyett, 1998; Brungardt, 1996; Gardner, 1990; Jackson, 1992; Northouse, 1997; Yukl & Van Fleet, 1992) with limited focus on leadership development, the impact of leadership development and the evaluation of leadership development impact.

According to Carmichael, Collins, Emsell and Haydon (2011), the first school dedicated to teaching leadership skills and competencies was established by the East India Company in 1805, which is essentially 104 years before the Harvard Business School was established. Business Schools exist for the purpose, *inter alia*, of leadership development. The primary goal of Leadership development is the expansion of the organisation's capacity to enact the basic leadership tasks needed for collective work (Hannum, Martineau & Reinelth, 2007).

For purposes of this study, the following definition of leadership development will apply:

> Leadership Development is defined as the activities which are designed to expand the competencies, capabilities and effectiveness of people in leadership roles or those intended to be in leadership roles with the aim of making them better leaders.

Leadership Development is a complex endeavour (Day, 2001). Leadership development tends to draw on different theories of learning and development (McCauley, 2008) and also draws on different theories of leadership. Understanding how to facilitate effective leadership development is now more crucial than ever (Ely et al., 2010) as in the context

of this case study research where leaders are operating in a VUCA environment and are still expected to deliver on high level targets despite the challenges of the business landscape in which they operate. Effective leadership development is about intentional consistent implementation rather than specific practices (Day, 2001) and understanding how to evaluate such development initiatives is important for the aforementioned reasons.

Day (2001) notes the following leadership development approaches as the most promising and most popularly used for leadership development in the context of ongoing work: Executive coaching; Mentoring; 360 Degree Feedback; Networking; Job assignment; and Action learning. Packard and Jones (2015) extend this list by adding assessment centres. Some leadership development initiatives such as Executive coaching are receiving more attention than others, for example, action learning, as is evident in the growing body of knowledge on those initiatives (McCauley, 2008).

Unlike other generic training and development initiatives, Leadership development is multifaceted and complex; as such, generic evaluation approaches appear inadequate and therefore this researcher argues that holistic evaluation of leadership development initiatives may require a more nuanced approach.

### 2.4.8 The business case for evaluation

Any organisation that values the investment it makes should care about the return on that investment, and that relates to all its investment which includes investment in people (Human Capital Investments). Businesses across the world are investing in learning initiatives, especially leadership development. However, they are not able to demonstrate the value that such initiatives bring to organisations. Research reveals that less than 12% of companies have an understanding of the return on investment on Human Capital Investments (Phillips, Phillips & Smith, 2016).

Leadership researchers have, for the past 15 years, been focused extensively on examining leadership theories, more specifically on Charismatic and Transformational

theories, and have not fully accounted for complexities involved in leadership. This leaves a gap for more attention to be directed to design, evaluation and improvement of leadership development offers (Day, 2001). The concern for measuring contribution of the HR function is not new, as it dates back to the 1920s (Phillips, Phillips & Smith, 2016).

Despite the growing interest in leadership development, much still remains to be learnt about evaluating the effectiveness of leadership development programmes (Packard & Jones, 2015). Tsyganenko (2014) concurs and asserts that regardless of the growing increase in leadership development spend, experts are in agreement that there is still a lack of emphasis on evaluation.

Leadership Development in most organisations is an HR function scope. The expectation is for HR to demonstrate value to the business in enabling the business to achieve its objectives and for the HR function to perform in a measurable and accountable way (Phillips, Phillips & Smith, 2016).

In the late 1960s and1970s, the HR function adopted a novel approach to evaluation called Human Resources Accountability, more commonly known as the HRA evaluation methodology (Phillips, Phillips & Smith, 2016). The concept of HRA is explained by Mohiuddin and Banu (2017) as an attempt to identify and report the investment that has been made in people for the organisation, which is not presently accounted for under conventional accounting practice. In its traditional sense, HR costs were treated as expenses against revenue without returns, but this has changed and investments made into HR initiatives should be capitalized as they are expected to yield benefits measurable in monetary terms.

Mohiuddin and Banu (2017) argues against HRA and elucidates that HRA is not an appropriate measure of HR initiatives as HRA is based on the false assumption that employees remain in the organisation for a specific period of time. Phillips, Phillips and Smith (2016) concurs and further propounds that HRA reflects the value and

contributions of all employees not purely focused on measuring performance in the HR function initiatives, and as such it is not a suitable measure for linking HR function performance to organisational performance, such as leadership development initiatives.

### 2.4.9 Leadership Development Evaluation Methodologies

Evaluation of learning and development initiatives has been in existence for approximately 69 years. According to Eseryel (2002), its history is based on systematic approaches to training, specifically typified by instructional system development methodologies (ISD). ISD emerged in the period of the 1950 and 1960s in the United States of America. Evaluation forms part of the ISD process which uses an instructional design process called Analysis, Design, Develop, Implement, and Evaluate (ADDIE).

Leadership development may be evaluated in a number of different ways for a range of different reasons (Patterson, Stawiski & Hannum, 2017). Reasons and motives for evaluating leadership development initiatives differ for different people and different stakeholders. A managing director may be more concerned with ensuring that development activities contributed to increased organisational performance whereas a finance director may be more concerned with whether the financial benefits for the organisation were greater than the cost of the development initiative (Carmichael, Collins, Emsell & Haydon, 2011) and therefore this researcher argues that the approaches to evaluating leadership development initiatives should not be designed in a vacuum by the HR function but should instead take into account the expectations and views of all stakeholders, as there may be significant differences in how different stakeholders view value, impact and returns.

Jason and Govender (2017) support the view of Brinkerhoff (2006) and that of Russ-Eft and Preskill (2005) that not all training benefits can be measured and translated into financial results and training alone cannot be responsible for success or failure of a business. However, this researcher argues that although not all benefits can be measured in monetary or financial terms, investments specifically into leadership development

should be evaluated in their holistic sense as leaders are seen as the drivers of success within organisations, and leaders impact on the wider society and environment.

### 2.4.10 Kirkpatrick Four Levels of Evaluation Methodology

Donald Kirkpatrick developed the Kirkpatrick model of evaluation as a part of his doctoral dissertation in 1959 and 60 years later the Kirkpatrick model remains one of the most popular and most widely used evaluation methodologies. The goal of developing the model for Kirkpatrick was to, "effectively measure the impact of the management development programs" (Kirkpatrick & Kirkpatrick, 2015:2).

The Kirkpatrick model is a four-level evaluation model. The levels as outlined by Kirkpatrick (1959) are Level 1-Reaction; Level 2-Learning; Level 3-Behaviour; and Level 4-Results.

The Kirkpatrick model, although it is one of the most popular and most widely used evaluation methodologies, is not without criticism and has been criticised by numerous researchers (Chan, 2016) and various scholars, for its assumptions. Guerci, Barlezzaghi and Solari (2010) note that the model leads to overly simplified vision regarding the effectiveness of training and the model devalues societal impact or usefulness and availability of organizational resources (Passmore & Velez, 2012).

Alliger and Janak (1989) criticized the Kirkpatrick model 30 years after its publication, observing that the model had three problematic assumptions: 1) the levels are arranged in ascending order of information provided – each succeeding level is more informative than the last, 2) the levels are causally linked – each level is caused by the previous level, and 3) the levels are positively intercorrelated – each succeeding level is correlated with the previous level, or more generally, there exists a positive manifold meaning that all correlations among levels are positive.

Similar evaluation methodologies to the Katzell (1956) model and the Kirkpatrick (1959) model have since been introduced, such as the Warr, Bird and Rackham (1970) evaluation methodology and the Hamblin (1974) evaluation methodology. Hamblin (1974) provides a comparative outline of the Kirkpatrick, Warr, Bird and Rackman as well as the Hamblin models.

The most widely used Kirkpatrick level is level 1 reaction (Topno, 2012) followed by level 2 learning, which is, however, not adequate for evaluating impact (Hunt & Baruch, 2003). Usage percentages of each level are 93% of courses evaluated at level 1 reaction, 52% at level 2 learning, 31% evaluated at level 3 behaviour and 28% at level 4 impact, suggesting that evaluation occurs mostly at the most simplified levels of evaluation (Eseryel, 2002).

### 2.4.11 Phillips Return on Investment Evaluation Methodology

Return on Investment (ROI) refers to the rewards or gains that one receives upon having first contributed something. Investment as defined by the Oxford English Dictionary (2019) is the action or process of investing money for purposes of gaining a profit.

Salicru, Wassenaar, Suerz and Spittle (2016) propose a holistic concept of evaluation, which in their view is evaluating Return on Expectations (ROE), a model developed by Kirkpatrick Partners® which is meant to demonstrate the overall value of all benefits realized from the programme.

Harris (2007) criticises the ROI methodology on the basis that human capital is a moving target and ROI is difficult to summarize as it has no constant value. Harris (2007) further adds that the human factor as an influencing variable cannot be correlated and this is a contributing causality in the problem to the accurate calculation of ROI.

The ROI model is criticised by Passmore and Velez (2012) on the basis of the complexity of the model in determining the returns on soft aspects of the business. Overton and Dixon

(2016) criticize the ROI methodology, stating that ROI methodology can be costly to implement and has a limited role in supporting decision-making. Passmore and Velez (2012) further argue that the ROI model is fundamentally flawed as it asks participants to estimate the value or benefit.

### 2.4.12 Return on Expectations (ROE) Evaluation Methodology

Kirkpatrick and Kirkpatrick (2011) observes that ROE is the most practical and most effective approach to demonstrating the value of an initiative. They propose the ROE model which is based on the original Kirkpatrick 4 Levels of Evaluation methodology in reverse (Kirkpatrick & Kirkpatrick, 2011).

In the ROE model, Kirkpatrick and Kirkpatrick (2011) propose six stages to effective evaluation as enumerated below:

- Stage 1: Focus on the organisational mission (Kirkpatrick Level 4)
- Stage 2: Identify leading indicators
- Stage 3: Define critical behaviours (Kirkpatrick Level 3)
- Stage 4: Determine required drivers
- Stage 5: Design learning (Kirkpatrick Level 2)
- Stage 6: Monitor and Adjust.

Pangarkar and Kirkwood (2012:1) criticize the ROE model based on senior management and management accounting rules. The primary points of criticism they put forward are that ROE is an inappropriate use of jargon, the term ROE is already widely accepted well-established and utilized accounting term, the ROE assumption that it supersedes needs assessments operating on the assumption that value of training begins before the programme starts, the ROE methodology takes credit for well-established accounting practices and that there is little that is new about the ROE concept which is simply a ‘re-packaged existing performance management business practice’, the model asks questions already answered by previous steps and models, it assumes that training has influence in

performance, the model does not recognize partnerships in the value chain, and the model is ‘reinventing the wheel’.

### 2.4.13 Brinkerhoff Success Case Model (SCM) Evaluation Methodology

The Brinkerhoff Success Case Model (SCM) was developed as a solution to the criticism of the Kirkpatrick model on relating changes to performance solely as a result of the learning intervention.

The Brinkerhoff Success Case Model proposes a wider focus on systems, and SCM proposes four key questions to be considered in the evaluation process:

1. What is really happening?
2. What results, if any, is the programme helping to produce?
3. What is the value of the results?
4. How could the initiative be improved?

The lack of complexity is the primary limitation of the SCM, which is attributed to its simplicity which causes some to question its usefulness and validity (Brinkerhoff, 2003).

Criticism offered by Casey (2006) on the Brinkerhoff Success Case Model is that the main disadvantage is that, “it requires some level of judgement regarding what trainers identify as critical success factors on the job as the model may not identify trainees’ problems when returning to work” (Passmore & Velez, 2012:319).

### 2.4.14 CIRO Model of Evaluation Methodology

The CIRO model of evaluation was introduced in 1970 by Warr, Bird and Rackham, and is focused on measuring learning using the CIRO elements which are C- for Context; I- for Input; R- for Reaction and O- for Outcome (CIPD, 2018).

The CIRO model was criticised by Tzeng, Chiang and Li (2007) on the basis that it does not indicate how measurement takes place (Passmore & Velez, 2012) which is a gap in literature that may be addressed through this research.

### 2.4.15 Easterby-Smith Model of Evaluation Methodology

The Easterby-Smith model was introduced by Mark Easterby-Smith in the mid-1990s. The model according to CIPD (2018) draws together four strands for the purposes of learning evaluation:

1. Proving – the training worked
2. Controlling – time required for training
3. Improving – course content, course facilitation
4. Reinforcing – using evaluation efforts for the purposes of deliberately contributing to the learning process.

### 2.4.16 Beyond Economic Returns, Advocating for more

Regardless of the growing literature, the comprehensive evaluation of leadership development as posited by Packard and Jones (2015) is not common. McCauley (2008) further adds to the limitations noted by Packard and Jones (2015), by postulating that the evaluation of leadership development programmes needs to go beyond evaluating impact on individuals alone. McCauley (2008) states that more research is needed on cross-level links and evaluation should holistically measure the impact of the role of leadership development, impacting at group level, team level, organizational level, and even industry level as well as societal level.

Overton and Dixon (2016:11) advocate for the need to challenge the current preoccupation with ROI models and instead call for re-focusing on delivering impact and demonstrating value, stating that, “the c-suite are 2.5 times more likely to invest in the workforce development if it improves productivity than if it delivers a positive ROI”.

Many businesses according to Wexley and Latham (1981) do not know the value and benefits received on training and development initiatives expenditure. Most investments are made based on financial value; however, in recent years businesses have seen a growing imperative to look beyond the financial value and focus on the triple bottom line. Triple bottom line is the term coined by John Elkington in 1994 and which refers to three focus areas of the bottom line for businesses being the economic, the social, and the environmental.

Organisations are increasingly, according to Asif and Palus (2014), starting to prioritise creating positive value for the societies in which they operate and it is within this realization that they are finding it necessary to understand and develop leadership capabilities in new ways which focus on both profit and societal impact. As such it becomes important to be able to effectively measure both.

Leadership development programmes are intended to impact participants on an individual level, but this is not to say that this is the only impact that occurs. Leadership development programmes may also go beyond individual impact to have impact at collective levels which include the individual, the group, the organisation and the society (Patterson, Stawiski & Hannum, 2017). As such, the evaluation of leadership development should take on a holistic approach which goes beyond economic impact evaluation and expands into societal impact evaluation.

Effective evaluation and measurement of the impact of leadership development programmes requires an evaluative shift from only focusing on individual impact as well as financial or economic impact, towards measuring the overall impact which includes economic, social, and environmental impact. Social Return on Investment (SROI) is a well-developed framework for measuring social impact which can be used to conduct such a holistic impact evaluation. When evaluating leadership development at the societal level, Patterson, Stawiski and Hannum (2017) propose that evaluators look for changes in social normal, social networks, policies, allocation of resources, and quality of life indicators.

Leaders know that what gets measured, gets attention (Quinn & Bates, 2006) which further accentuates the argument in support of the importance of holistic leadership development impact evaluation. If we are to evaluate the impact that leadership development has in its entirety then ROI evaluation alone is not adequate, and the concepts of SROI evaluation may prove valuable if explored further.

SROI evaluation of leadership development postulates that evaluation of leadership development programmes should be measured and tracked to also include the impact that leadership development has on the lives of all its key stakeholders, which includes the individuals and communities (Barker, 2003). Leadership development if evaluated not only in terms of economic returns but also measured with regard to social returns, may paint a more holistic picture of the impact of leadership development initiatives.

**In Summary,** the literature review suggests that in-depth research has been conducted on leadership; leadership development in the quest of attempting to understand how leaders learn in relation to adult learning theories and research has been done on evaluation. Although research on evaluation has been done, there appears to be a gap in the assessment of the impact of leadership development initiatives.

In the next chapter, the research methodology is explained.

# CHAPTER THREE: RESEARCH METHODOLOGY

## 3.1 CHAPTER INTRODUCTION

In this chapter the research approach and process for connecting the conceptual research problem to the pertinent empirical research is discussed, which includes the purpose of enquiry and research methodology that underpins the research design and research process.

The research study was approached as described in Table 1 below. The structure and process below was applied to each of the case studies and the data gathered, synthesized and integrated into the research findings in chapter four. Data was utilised in theory development, presented in chapter five.

**Table 1: Overview of the research methodology**

| Consideration | Adopted | Approach |
|---|---|---|
| Overarching Theory | ⇨ | Pragmatic Grounded Theory (Straussian Evolved Grounded Theory) |
| Underpinning Theory in instrument design | ⇨ | Interview Guides & Online Survey Questionnaire, underpinned by Program Theory; Evaluation Theory & Change Theory |
| Research Paradigm | ⇨ | Pragmatic |
| Research Logic | ⇨ | Deductive-Inductive |
| Research Method | ⇨ | Mixed Methods Research |
| Research Instruments Underpinning Theory | ⇨ | Interview Guides & Online Survey Questionnaire, underpinned by evaluation theory, program theory and theory of change. |
| Research Type | ⇨ | Case Study Research |
| Research Strategy | ⇨ | Exploratory Sequential |
| Validity & Reliability | ⇨ | Addressed through various approaches such as content validity and face validity, industry experts and peer review of research instruments, triangulation, audit trail and the investigator's position. |

According to Rajasekar, Philominathan and Chinnathambi (2013), research methodology is a systematic way to solve a problem. It is the science of studying how research is to be carried out. In this chapter and the respective sub-sections below, the researcher outlines how the research was approached, including describing, explaining and predicting phenomena.

## 3.2 RESEARCH PARADIGM

Guba and Lincoln (1994) view a paradigm as a set of basic beliefs that guide the research study: “A paradigm represents a worldview that defines for its holder the nature of the world that the individual places in it, and the range of possible relationships to that world and its parts” (Guba & Lincoln, 1994).

At an abstract level as a basic belief system, a research paradigm concerns itself with ontology, epistemology and methodology (Guba & Lincoln, 1994). A dominant research paradigm in business research, specifically organisational performance and organisational learning, is positivism due to its implicit orientation toward control and prediction (Kim, 2003).

At a metatheoretical level, the research paradigm adopted by the researcher for this research study was a pragmatic worldview. A pragmatic paradigm asserts that truth is relative and researchers may employ any approach that works in order to answer the research question; therefore the decision on the approach is dependent on, and determined based on, the nature and purpose of the research. A pragmatic worldview arises out of action, situation and consequences rather than antecedent conditions (as in positivism). Instead of focusing on methods, researchers operating from this worldview place emphasis on the research problem as well as research questions and make use of all relevant and available approaches to understand the research problem (Creswell & Creswell, 2018).

Although leadership in the context of this research study is viewed from a corporate lens, the dominant paradigm in business studies is positivism. In this research study, the paradigm lens used is that of pragmatism. Amongst the many reasons for adoption of this worldview, the main reason was that the research study employed pragmatic grounded theory, and secondly that the concerned variables in this research study are anchored on learning within organisations and “pragmatism has a significant impact on theories of learning within organisations” (Easterby-Smith, Thorpe & Jackson, 2015:16).

Furthermore, the Kolb 1984 learning cycle discussed in the literature review adopts a pragmatic approach. Pragmatism endorses theory that informs practice (Johnson & Onwuegbuzie, 2004) and this was critical for this research study as the outcomes were intended to yield to practical application in the field of leadership development evaluation.

Specific steps and actions were required to ensure that the approach to the research study was sufficiently pragmatic. Amongst the actions taken include but are not limited to:

- The selection of the type of grounded theory adopted. In this research study, the research applied Pragmatic Grounded Theory.
- Adopting a needs-based or possibility approach (Johnson & Onwuegbuzie, 2004) to choosing the most appropriate research methods and strategies which appear to be the most suitable to address the research problem. The choice of research methodology in this research study is based on appropriateness to address the research question. Duram and Salkind (2010) affirm that regardless of qualitative or quantitative approach, the selection of research method as in the case of this research study is based on the most effective approach to answering the research question/s.
- The scope of the research seeks to gain an understanding of leadership development impact evaluation approaches based on human experiences (Duram & Salkind, 2010).
- Pragmatism is not an exclusive component of any one system of philosophy and reality (Creswell, 2014), and emphasis in this research study is placed on practical solutions above philosophical discussion (Duram & Salkind, 2010). The researcher, through the use of mixed methods research, extrapolated data liberally from both quantitative and qualitative assumptions.
- Pragmatists, ergo the researcher of this paper, do not see the world as an absolute unity. In a similar way mixed methods researchers look at many approaches for collecting and analysing data rather than subscribing to only one way (qualitative or quantitative). In this way, the researcher attempted to obtain a holistic analysis.

- The researcher believes that truth is relative, meaning that truth is what works at the time. It is not based in a duality between reality independent of the mind or within the mind. Thus, the researcher made use of both qualitative and quantitative data because the researcher deemed the integrative combined use preferable in order to provide the best understanding of the research problem.
- This research study was focused on understanding and resolving a real-life problem (how to evaluate the holistic impact of leadership development initiatives) which occurs in an uncertain world (Duram & Salkind, 2010) with a sole focus on conducting research where the results can be translated into practical ends.
- Pragmatists believe in an external world that is independent of the mind as well as that lodged in the mind. The researcher of this study opened doors to multiple methods, different worldviews and different assumptions as well as various forms of data collection and analysis.
- This research study did not emphasise gender, class or racial differences, but rather sought to encourage each individual to participate in the study in a democratic way (Duram & Salkind, 2010).

This research study was shaped by a pragmatic worldview in that the pragmatic worldview has enabled the application and the use of mixed methods research, and as pragmatism is not committed to one specific philosophy, this enabled the researcher to draw liberally from both the qualitative and quantitative assumptions (Creswell & Creswell, 2018).

## 3.3 RESEARCH LOGIC

The two primary logic approaches, meaning the approaches to reasoning about the evidence in research comes in the form of deductive and inductive logic approaches. Deductive logic research refers to research that is focused on testing of existing theory and inductive logic research approach refers to research focused on generating new theory.

Although pragmatic research studies tend to be primarily inductive (Duram & Salkind, 2010) this research adopted the combination of both inductive and deductive research logic as this deductive-inductive cycle enabled the researcher to undertake theory generation in a single study without compromise (Jogulu & Pansiri, 2011).

The choice of research logic was primarily attributed to the nature of the research and the researcher's intentions in addressing the research problem which were directly linked to a) the deductive aspect of the research – being to test existing theory on leadership development evaluation approaches, and b) the inductive aspect of the research – pertaining to generating new theory on leadership development impact evaluation approaches.

### 3.3.1 Research Methodology

Research methodology is a systematic way to address a problem. It pertains to procedures whereby researchers describe, explain and predict phenomena (Achari, 2014).

Bouchard (1976) states that all research methods are fallible, and methods that are fallible in different ways complement each other, even if one is absolutely weaker than the other.

Research conducted in the past on Leadership and Management adopted an 'either-or' approach between qualitative and quantitative research, with qualitative research being the more dominant and relatively accepted methodology for studying behavioural and social sciences since the 20$^{th}$ century (Jogulu & Pansiri, 2011).

This study adopted a mixed methods research method, also known as the third research paradigm (Jogulu & Pansiri, 2011). The differing data collection and data analysis techniques afforded by a mixed methods study enabled greater depth and breadth in the overall results which enable the researcher to make inferences that are more accurate with increased credibility (Jogulu & Pansiri, 2011).

Johnson, Onwuegbuzie and Turner (2007) view mixed methods research as, "an approach to knowledge (theory and practice) that attempts to consider multiple viewpoints, perspectives, positions, and standpoints". Bryman et al (2017) add that mixed methods research integrates qualitative and quantitative research methods within a single research project.

Bouchard (1976) as cited in Johnson, Onwuegbuzie and Turner (2007) argue that the convergence of findings that emerge from two or more methods enhances the beliefs that the results are more valid and that they are not a methodological artefact.

By combining both quantitative and qualitative research through employing the mixed methods research approach, this study aimed to provide better insights into the research problem which would not otherwise be possible through the adoption of an 'either/or' qualitative or quantitative research approach alone.

Leadership studies and leadership development social phenomena from a social studies qualitative angle in the form of semi-structured interviews provided the social viewpoint and provided research participants with an opportunity to expand on their feedback. Furthermore, the mixed methods approach provided the opportunity to confirm and clarify understanding. Exploring the various impact evaluation approaches requires a quantitative approach to research. An in-depth study of the literature also demonstrates that the majority of existing impact evaluation approaches involve quantitative analysis.

Examining the existing and potential new leadership development impact evaluation approaches using benchmarking of approaches, variables measured within those approaches to gauge popularity, and reasons for choosing one over the other, required quantitative analysis. Quantitative research alone may fail to ascertain the underlying meanings and expectation (Rahman, 2016). Quantitative research tends to operate from a positivism worldview whereas this research study adopted a pragmatic worldview and

positivism does not account for how the social reality is shaped nor maintained nor does it explain how people interpret their actions and those of others (Rahman, 2016).

Qualitative research component of mixed methods research was driven by the desire to explain real-world events through existing emerging concepts. The benefits of the qualitative phase of the research is that the views and perspectives of the participants in the study (Yin, 2011) were represented and interpreted.

Leadership development evaluation was explored in the context of program evaluation. Program evaluation pertains to the systematic collection of information about the activities, characteristics and outcomes of the programs in order to make a judgment about the program, improve the program effectiveness and to inform decisions regarding what those programs are doing and affecting (Patton, 1997).

To present a more comprehensive overview of leadership development evaluation approaches and to gain a thorough understanding of the problem as well as validate qualitative data with quantitative data, triangulation was used to offset the perceived weaknesses of one research methodology, that is for example qualitative with the other methodology strengths, namely quantitative and vice versa.

This research approach was chosen based on the research questions to enhance the reliability and validity of the overall research findings. In addition, mixed methods allows for both inductive and deductive research logic, which enabled the matching of deductive-inductive dichotomies that enhanced the researcher's abilities to provide better inferences.

## 3.4 RESEARCH TYPE: CASE STUDY RESEARCH

In social sciences research studies, case study research is considered an established research method and is considered the most ideal method when "the aim of research is to

find answers to ‘why’ and ‘how’ types of questions, and when it is not possible to control the behavioural events” (Teegavarapu & Summers, 2008:4).

Although mixed methods research is generally associated with action research, this specific research study was a multiple case study research and not action research. Initially the researcher intended including two organisations in the case study as guided by the PhD panel in the research proposal presentation and defence session. The researcher sought to increase this number to three organisations (ABSA, JSE, and IBM) and received permission to conduct research from all three organisations.

However, IBM subsequently became non-responsive when the time came to commence data collection. Taking into consideration the unprecedented period in which the data collection was being done, that is during a pandemic (Covid-19) where organisations as well as individuals were going through a variety of pressures and also given the ethical considerations of academic research studies, the researcher felt it prudent to not exert undue pressure on IBM and proceeded with the research study with two organisations (ABSA and JSE). The choice of which research type and approach taken was based on:

(1) the nature of the research problem;
(2) the need to gain contextually concrete data, relevant to the research problem;
(3) the objective, which was to explore and understand leadership development evaluation and to explore its particularities of each in the context of the organisations (ABSA and JSE) that invest incrementally into leadership development.
(4) the desire to gain an in-depth appreciation of the research problem.

Through selecting case study research, the researcher was able to engage data sources found within the system directly (McMillan & Schumacher, 2014).

The research type selection was done with the intended purpose of building theory from the multiple case study using the process and roadmap proposed by Eisenhardt (1989) which presents the following important steps in building theory from case study research:

- Getting started through defining research questions and constructs
- Making a selection choice of cases
- Thereafter crafting the instruments and protocols through multiple data collection methods as in this case through qualitative and quantitative data collection methods combined
- Analysing the data through cross-case pattern search using divergent techniques
- Shaping the hypotheses through the iterative tabulation of evidence from each of the cases
- Encapsulating and enfolding literature through the comparison of similar and differentiating literature
- Reaching closure

In order to examine the approaches to leadership development initiatives employed, a multiple case study research approach was identified as the most suitable research type and therefore chosen for this research study. The reasons for selecting case study research over action research is due to the nature of this specific research study:

- The researcher did not intend to be directly participating in the study, but rather would play the role of the researcher and not a dual role.
- Case study research aims to conduct an in-depth analysis of a specific case or event over a period of time, which is in line with leadership development and evaluation research studies.
- This research study was exploratory research and thus case study research enabled the appropriate scope and setting for this research study.
- Case study research as postulated by Noor (2008) is meant for research that aims to focus on a specific issue (such as leadership development impact evaluation, in this case) and is not intended to be a study of the entire organisation.
- This research study is based on specific events, namely leadership development initiatives.

- It is case study research as this research study is an empirical inquiry aimed at investigating a contemporary phenomenon, namely leadership development impact evaluation approaches, in its real-life context through the use of different sources of evidence (Noor, 2008).

## 3.5 RESEARCH STRATEGIES

Research design, also known as research strategies or strategies of enquiry, is the strategy for the study and the plan by which the strategy is carried out (Coldwell & Herbst, 2004). It is the framework for the collection and analysis of data to answer the research questions and to meet the research objectives, providing reasoned justification for the choice of data sources, collection methods and analysis techniques (Saunders, Lewis & Thornhill, 2012) and in doing so, the research design provides "the glue which holds the research project together" (Coldwell & Herbst, 2004).

This study addressed and explored leadership development impact evaluation approaches, existing and potential new approaches. The study adopted an exploratory sequential research strategy, which is the opposite of explanatory sequential strategy.

Exploratory sequential design is defined by Saunders, Lewis and Thornhill (2012) as a mixed methods research design where the initial research phase is exploratory qualitative data collection which is followed by a second phase of quantitative data collection. Exploratory research strategies are essentially the initial research into a hypothetical or theoretical idea, as in the case of this research study where the researcher has a hypothetical sense of holistic leadership development evaluation, and the researcher intended to understand more about the concept. Exploratory sequential design is often used to explore a phenomenon, identify themes, or design an instrument and test it. By adopting this approach, the researcher aimed to lay the groundwork for further research.

The purpose of exploratory sequential design in the context of this study as planned by the researcher was to first qualitatively explore with a small sample (n=12) and then determine if the qualitative findings generalize to a large sample (n=120) as well as gain depth in the data. The researcher planned to do this through:

- Gaining understanding of current practices related to leadership development impact evaluation.

- Analysing if those approaches and practices provide a holistic view of leadership development impact beyond the economical, inclusive of social, economic and environmental.
- Generating a holistic leadership development evaluation approach.

### 3.5.1 Qualitative Research Phase

The first phase of the study as outlined in Table 2 below was the qualitative exploration of the perceptions of key stakeholders on leadership development impact evaluation approaches to current practices employed. The structure and process below was applied to each of the cases studied and data was integrated into the research findings discussion section.

**Table 2: Research Phase 1, Qualitative Research**

| **Consideration** | **Adopted** | **Approach** |
|---|---|---|
| Research Strategy | ⇨ | Case Study research |
| Method | ⇨ | Semi-Structured Interviews |
| Data Collection procedure | ⇨ | Qualitative interview guide as outlined in Appendix 4 (Underpinned by Pragmatic Grounded Theory) |
| Data Analysis | ⇨ | Coding – Open coding; Axial coding; Selective coding (Through Straussian Evolved Grounded Theory) |
| Population | ⇨ | 2 pre-identified organisations (Technology, Financial services sector and a mix of both being Fintech – that being Financial Technology Organisation)<br>ABSA, JSE |
| Sample | ⇨ | Purposive sampling<br>n=8 to n=12 Participants to be interviewed across 2 organisations |

| | | |
|---|---|---|
| Target Participant Description |  | The targeted participants for the qualitative research phase differed from the quantitative phase, as the two groups appeared to potentially having differences in their expectations of returns and possibly having competing interests in their views of impact and returns.<br><br>For the Qualitative research phase the target participants were Executive Committee members (Exco) and Exco -1 Level, Exco-2 Level staff members such as: Chief Finance Officers, Finance Managers, Chief Executive Officers, Chief People Officers (CPO) or Chief Human Resources Officers (CHRO), Human Resources Directors (HRD), Managing Executives, Chief Learning Officers, Heads of Leadership Development, Heads of Learning, Heads of Talent, Department Heads as program funders i.e. Budget Cost Centre owners. |
| Reasons for selecting the specific participants mentioned above |  | Participants are senior leaders within the organisations as far as employee hierarchy is concerned; they have a vested interest in leadership development as they have either invested money into the leadership development initiatives, and or their key performance indicators (KPIs) are dependent on said initiatives.<br><br>Within the abovementioned targeted participants, outside of the human resources functions, these individuals are typically not included, consulted or involved in the design of impact evaluation approaches. |

| | | |
|---|---|---|
| Access to Participants |  | First step to accessing participants was to acquire permission to conduct the research, which was done through initial email contact to the CPO, CHRO or HRD.<br><br>Second step was using the detailed description of the targeted participants mentioned, the HR function (Office of the CPO, CHRO, HRD) was asked to make recommendations of participants who fit the criteria.<br><br>Third step identified participants were contacted directly via email to check for participation interest in the research study. |

### 3.5.2 Quantitative Research Phase

The second phase of the research as outlined in Table 3 below was the quantitative research phase for the purposes of generalizing the findings and gaining further understanding of the answers to the research problem. The data collected from qualitative research was used to enhance the quantitative research instruments items.

The reason for collecting qualitative data first was that the variables which constitute a holistic leadership development impact evaluation approach were not clearly known at the start of the research study, and the researcher had planned that those would be gathered as well as validated through the qualitative research phase. As such, the researcher had planned that the research instrument would be adapted accordingly post the qualitative research phase. The structure and process below was applied to each of the case studies and data was integrated into the research findings discussion sections.

**Table 3: Research Phase 2, Quantitative Research**

| Consideration | Adopted | Approach |
|---|---|---|
| Research Strategy | ⇨ | Case Study research |
| Method | ⇨ | Quantitative Online survey |
| Data Collection procedure | ⇨ | Online survey questionnaire using the research instrument outlined in Appendix 5, the online survey was distributed through the Qualtrics online survey platform. |
| Data Analysis | ⇨ | Descriptive statistics and Inferential Statistics |
| Population | ⇨ | Two pre-identified organisations (ABSA & JSE) |
| Sample | ⇨ | Probability sample, more specifically simple random sampling<br>n=120 Participants across 3 organisations |
| Target Participant Description | ⇨ | Leadership development specialists, Leaders who have participated in leadership development initiatives, their subordinates, Learning & Development specialists, Human Resources Business partners or People partners. |
| Reasons for selecting the specific participants mentioned above | ⇨ | The abovementioned target participants have a vested interested in evaluating the impact of leadership development initiatives as they are a direct beneficiary (have attended the program or designed, deployed the program) or are indirectly impacted by the program (they experience the outputs of the program). |
| Access to Participants | ⇨ | The same steps outlined in the qualitative phase of the research will be followed. |

## 3.6 POPULATION AND SAMPLE

There is no single widely accepted typology of mixed methods sampling strategies (Teddlie & Yu, 2007). Sandelowski (1995) states that whether primarily qualitative or quantitative and regardless of whether designed for purposes of completeness or for confirmation, such mixed methods studies require that samples be drawn either simultaneously or sequentially according to the logic of sampling.

As this research study was a mixed methods study, sampling considerations were from each respective methodology, that is, from a qualitative and quantitative method.

According to Teddlie and Yu (2007), mixed methods sampling strategies involve the selection of units and cases for a research study using both probability sampling employed in order to increase validity and purposive sampling strategies in order to increase transferability. Sampling in this research study involved both probability sampling (simple random sampling) and non-probability sampling (purposive sampling).

In the first phase of the research, which was the qualitative phase, the researcher used non-probability sampling, more specifically purposive sampling which is theoretically aligned with interpretive qualitative research. Barratt, Ferris and Lenton (2014) affirm that purposive sampling relies on the researcher's own industry expertise as a subject matter expert to make judgements, through situated knowledge of the field as well as rapport within the community of targeted networks. In the context of this research study, the researcher chose purposive sampling as the researcher had planned to rely on own judgement for the selection of members of the population to participate in the study. Drawing on industry experience in the field of learning and development over a period of eighteen years, the researcher made use of professional networks for the two identified organization in order to obtain access to the research participants.

According to Gelo, Braakmann and Benetka (2008), the intention in sampling from a quantitative research perspective is to select individuals representative of the population

in order for the results to be generalized (external validity). For the quantitative research phase, the researcher made use of probability sampling, more specifically simple random sampling. The reason for this choice was to ensure generalizability of the results through the generalization of the population. Simple random sampling was furthermore chosen due to its simplicity and lack of bias and to minimize sampling error (Bryman et al, 2017) as each individual in the population had an equal probability of being selected (Creswell & Creswell, 2018).

### 3.6.1 Overview of the population description

The population described in this research study refers to all key stakeholders within leadership development, meaning all the individuals with interest in the outcomes, or lack thereof, of leadership development initiatives within the two case studies, namely 1) ABSA and 2) JSE.

The population in each of the two cases was defined as those who have a vested interest. This implies being involved in leadership development, where said individuals were directly involved in the development, input, investment, and/or impacted by the outputs directly or indirectly.

The population in both cases was the same for the qualitative research phase and quantitative phase of the research; however, the sample differs in the qualitative and quantitative phase, as outlined in Tables 5 and 6 above respectively.

### 3.6.2 Reasons for selecting this specific population

The reasons for the selection of this specific population were:

a) **Geographical location:** Both organisations operate across the African continent and are headquartered in South Africa. This speaks to geographical relevance of the research, as very little research has been done on ascertaining training and development impact evaluation within the African context. In addition, literature

suggests that many organisations in Africa are underperforming, as many leaders have not received structured L&D support (Eckert & Reyongoza, 2015).

b) **Legislation on Skills Development:** Being headquartered in South Africa means these organisations have to adhere to the stringent legislative requirements of the Broad-Based Black Economic Empowerment (B-BBEE) scorecard, which stipulates that 6% of what these organisations spend on salaries annually must be directed towards developing skills and as such understanding how to direct that spend in an efficient manner through holistic impact evaluation approaches would be of value to these organisations.

c) **Competitive landscape:** Each of the named organisations is one of the leading organisations within their field respectively, operating in a VUCA environment. It is assumed that these organisations would like to remain top performers within their field, and to do so as well as remain relevant, they are required to invest into developing leaders within their businesses.

d) **Investment into Leadership Development:** All three organisations make significant investment into leadership development initiatives, and therefore would have a vested interest in demonstrating the impact of such investment.

### 3.6.3 Population scope description

The Banking Association of South Africa (BASA) (2018) reported that South African banks spent R3.3 Billion ($207 Million) in learning and development in 2018, which was a 23% increased investment from 2017.

The population of the research study was focused on two leading corporate organisations operating within the African context, headquartered in South Africa. Both are in the financial services sector, namely the Johannesburg Stock Exchange (JSE) and the Amalgamated Banks of South Africa (ABSA). The two organisations operate within the financial services sector in South Africa although they differ slightly as the JSE is predominately focused on the stock exchange side of financial services and ABSA is focused on banking and is positioned as a Fintech (Financial Technology) Organisation.

### *3.6.3.1 Population case study site description: ABSA*

There are approximately 72 banking institutions operating in the South African economy servicing around 15 million people (Chitamba, 2018). Established 29 years ago, ABSA remains one of the top five banks, operating in a highly competitive landscape, and remains a strong contender having reported increased earnings of 3% in the first quarter of 2019 from $461 Million to $476 Million. Revenue increased to $2.2 billion and dividends increased by 3% to $29.01 per share (ABSA, 2020). With a global spread of some of the world's most highly recognized shareholders in the United Kingdom, United States, Canada, Citigroup, Prudential Investments, Barclays and Old Mutual Assets Management; the pressure to perform and remain a top performer are dominant.

ABSA's vision is to become a digitally led bank, which means it needs to be a leader in innovation in the era of the 4$^{th}$ Industrial revolution (4IR). To be successful in this, investing into leadership development to drive the strategy towards achieving this vision is required.

Listed on the JSE, Absa Group Limited operates in 14 countries across the African continent, has 991 physical bank branches and a further 9 734 ATMs and employs 36 737 permanent employees (ABSA, 2021). As a financial services provider, ABSA provides financial services across a variety of spheres such as consumer banking, retail banking and business banking, corporate and investment banking. To remain competitive, it is in ABSA's interest to invest large amounts of money in a strategic manner in order to develop its human capital.

According to the B-BBEE 2018 scorecard, ABSA reportedly spent $31, 3 Million on training in 2018 of which 77% of this (an astounding $24, 1 Million) was directed towards leadership development (ABSA Group Limited, 2018). In 2019 ABSA spent $50.2 Million on learning and development for internal staff, and an additional $30.6 Million for training unemployed people as part of the organisation's corporate citizenship mission to play an influential and progressive role in society.

In 2020 ABSA spent $55.6 Million on learning and development for internal staff and an additional R406 Million ($27.5 Million) for training unemployed people (ABSA, 2021).

#### *3.6.3.2 Population case study site description: Johannesburg Stock Exchange (JSE)*

The JSE is a self-regulatory multi-asset class stock exchange organisation headquartered in South Africa. The JSE has been in operation for 132 years, it is the 16th largest stock exchange in the world and is the largest stock exchange by market capitalisation in Africa. It offers deep liquidity across a variety of tradable products and post-trade, as well as information and technology services. The JSE employs 406 permanent employees (JSE, 2021).

As a stock exchange organisation, the JSE's mandate is not only to channel funds into the South African economy but also to provide investors with returns on investments in the form of dividends. As the economy's leading driver of investor dividends, it is useful to examine how the JSE goes about developing its leaders and how it establishes the holist impact of its leadership development investments. In 2017, the JSE spent $358,000 on learning and development (JSE Limited, 2018). In 2018, this figure further increased to $365,000 spent on training of which 72% of this towards developing black talent (JSE Limited, 2018). The JSE (2021) reported spending a total skills development spend (learning & development) of $542,000 in 2020 of which 78% of beneficiaries were previously disadvantaged individuals. The JSE strongly believes in attracting and investing in diverse top talent. "We invest and develop the skills needed in our increasingly digital and interconnected markets to support the growth of our economy in a manner that embraces inclusion and diversity" (JSE, 2021).

#### *3.6.3.3 Population description: summary*

The two organisations have invested incremental amounts into leadership development and face similar challenges. This is an unavoidable requirement should they wish to remain competitive and relevant in spite of strong competition within the African content. Although the need is clear and investments continue to be made and increased on an

annual basis, the value and impact directly attributed to leadership development is not clearly articulated or measured. With development costs increasing annually, businesses can no longer continue to 'throw money down a rabbit hole and simply hope for the best'. Thus a more accurate approach is required in order to quantify the true investment value of leadership development programs.

#### *3.6.3.4 Qualitative Research Sampling*

To ensure adequate representation and to attempt to avoid data saturation, the sample size for the qualitative research phase was n=12. Sample size determination was done based on the guidance provided by Creswell and Creswell (2018) who explain,

- "a) choose a sample size based on selecting a fraction of the population for example 10%''; in addition the sampling decision was further decided based on
- b) the time structure of the semi-structured interviews being 30-45 minutes and access as well as availability of the executive level leaders required for semi-structured interviews; furthermore
- c) literature states sample sizes in qualitative research studies tends to be small (n=8 to n=20) as qualitative studies are idiographic in approach, and focusing on depth of analysis in samples of participants (Castro, Kellison, Boyd & Kopak, 2010). A sample size of n=12 was further decided based on the central limit theorem, which postulates the distribution of the sum of large numbers of identically distributed variables to be approximately normal regardless of the underlying distribution (Peters, 2001).

### 3.6.4 Quantitative Research Sampling

In the quantitative research phase, sampling decisions were based on the guidance and rationale provided by Teddlie and Yu (2007) for sample selection approach, as explained below:

1. The researcher selects cases that are collectively representative of the population (which in the case of this research study n=120), and

2. Are large enough to establish representativeness (usually at least 50 units). For the purposes of this research study the sample was anticipated to be n=60 expected responses with a 50% non-response rate from the n=120 distributed population.

Furthermore, the quantitative sampling decision similar to the qualitative sampling decision was decided based on the central limit theorem, which postulates the distribution of the sum of large number of identically distributed variables to be approximately normal regardless of the underlying distribution (Peters, 2001).

## 3.7 DATA COLLECTION PROCEDURE

The mixed methods design matrix used was a sequential approach, where the researcher conducted a qualitative research study phase first followed by the quantitative data collection. This was done as the researcher intended on using the qualitative finding to inform the quantitative study and substantiate as well as strengthen the findings of the quantitative research with the qualitative research findings, with respect to data triangulation.

In summary therefore:

- The qualitative data collection stage preceded the quantitative data collection phase.
- Qualitative data collection was done through semi-structured interviews.
- Quantitative data collection was done through an online survey.
- Data collection was collected sequentially, starting with qualitative data, which was followed by quantitative data. This was done in order to strengthen the key findings in the qualitative research phase, as this afforded the researcher the opportunity to verify and interpret data and to integrate the statistics with thematic data in order to credibly answer the research questions (Jogulu & Pransisi, 2011).

## 3.8 THE RESEARCH INSTRUMENT

As the study was a mixed methods study, the researcher made use of two research instruments for data collection.

The first research instrument referred to as appendix four was used for the qualitative phase of the study and consisted of a set of both open-ended and closed questions included in the semi-structured interview. The questionnaire was designed specifically for this research study and was grounded on evaluation theory.

The second research instrument referred to as appendix five was constructed based on the initial attempt to address the research problem prior to phase one of data collection, being the qualitative research data collection phase. The instrument was further strengthened by findings from the first phase of the data collection, in particular the key variables from the qualitative study being used to enhance the second research instrument, which was used in the second phase of the research, that being the quantitative data collection phase.

In the data collection phase, the design of the research questionnaires for both the qualitative research phase and the quantitative research phase were grounded on the Evaluation theory, whereby the questions for evaluation practice as shown below in Figure 2 as postulated by Boulay (2008) were used as a foundation and adapted for this specific research study.

| Criteria | Questions |
|---|---|
| Context | • What is evaluated?<br>• What is the rationality of evaluation?<br>• Who are the stakeholders/customers? |
| Value | • What is the evaluator's value?<br>• Whose values and perspectives should be considered?<br>• Why should their or your values and perspectives be considered? |
| Use | • How will evaluation results to be used?<br>• When will the results be used? |
| Role | • What is the role of evaluators and stakeholders?<br>• How do you define the relationship between an evaluator and stakeholders? |

**Figure 2: Questions for evaluation practice (Boulay, 2008)**

### 3.8.1 Programme Theory Integration

Program theory is defined as "a plausible and sensible model of how a program is supposed to work" (Bickman, 1987). This depiction of how a plausible and sensible program is meant to work is a view generally provided by the stakeholders. In this research study, program theory was applied in the research instruments to engage key stakeholders in the qualitative research phase on questions specific to their perceptions on a plausible and sensible leadership development program:

- 1.4. What would a successful leadership development initiative look like in your perception?
- 2.1. Is there a perceived relationship between leadership development initiatives and leadership effectiveness? If yes, what is it?
- 2.4. How can you be sure that the leadership development initiative achieved its intended outcomes (that it actually did what it said it would do)?

### 3.8.2 Evaluation Theory Integration

Evaluation theory is defined as offering, "a set of rules, prescriptions, prohibitions, and guiding frameworks that specify what a good or proper evaluation is and how evaluation

should be done" (Alkin, 2004b). In this, evaluation theory attempts to offer guidance on what "good" evaluation looks like.

In this research study, evaluation theory was applied in the research instruments to engage key stakeholders in the qualitative research phase on questions specific to their perceptions on how a good or proper evaluation should be done:

- 1.0. How are we ensuring that the approaches we are using to evaluate impact of leadership development, are not a case of a self-fulfilling prophecy?
- 1.1. How are we ensuring that the approaches we are using to evaluate impact of leadership development, are not a case of a self-fulfilling prophecy?
- 1.2. How is the holistic impact of leadership development initiatives evaluated?
- 1.3. As a key stakeholder within this organisation, what are your perceptions of the approaches of evaluating the impact of leadership development?
- 1.5. As a key stakeholder within this organisation, what are your perceptions of the approaches of evaluating the impact of leadership development?
- 1.6. What matrixes would you like to see being used to evaluate the impact of leadership development initiatives?
- 1.8. In relation to the role of a leader having a direct relation with some or all aspects of triple bottom line (Organisational level, Societal Level & Environmental Level), to what extent should leadership development be evaluated?
- 1.9. What are some of the barriers to implementing leadership development impact evaluation approaches, if any?
- 2.0. How can you be sure that you are actually measuring what you think you are measuring (that being the impact of the leadership development initiatives) and not something else?
- 2.1. Are you actually measuring the impact of leadership development initiatives or are you measuring the effectiveness of the HR practitioners / leadership development specialist's abilities to deploy leadership development?

- 2.3. In-case the answer is “we are measuring the impact of leadership development initiatives” How can you be sure that you are measuring the impact of leadership development initiatives and not something else?
- 2.5. Given our ideas around leadership and what that means and our ideas around learning how people learn, learning theories, etcetera, to what extent should we integrate those into how we evaluate?

### 3.8.3 Theory of Change Integration

Change theory is defined as describing, “the processes of change by outlining causal linkages in an initiative (like a new policy program) and shorter term, intermediate, and longer term outcomes” (Leeuw & Donaldson, 2015).

In this research study, the theory of change was also applied in the research instruments to engage key stakeholders in the qualitative research phase on processes of change pertaining to outcomes of leadership development initiatives:

- 1.7. Theory of Change focused question: Given your ideas of the impact you want to see through the deployment of a leadership development initiative, what would the measureable outcomes be?

### 3.8.4 Evaluation Theory and Theory of Change Integration

In this research study, the combination of evaluation theory and theory of change were applied in the research instruments to engage key stakeholders in the quantitative research phase on questions specific to their perceptions on how a good or proper evaluation should be done as well as questions specific to process of change outcomes:

- A1. How important is it to evaluate the impact of leadership development at this level of scope (Social level, Environmental level, Economic level)?
- A2. How important is it to include the following measures (that is measure of learning; measures of on-the-job application; outcomes, and measures of societal impact) when evaluating the impact of leadership development?

- A3. How important do you consider the involvement of the following individuals (leader as a participant, line manager, family, community members, direct reports, HR partner, leadership development specialist, coach/mentor, friends) in the evaluation process?
- A4. How important do you consider the following evaluation approaches to leadership development (Multisource, quantitative, qualitative, stretched over a period of time, include various other life factors, how leaders show up pre-and post-evaluation, engagement, implementation of learning, evaluation dependent on leadership level)?
- A5. What do you think some of the reasons are for why evaluation is not done or not done effectively?
- B1. How important is the following measure of outcomes to evaluate organizational outcomes?
- B2. How important is the following measure of financial outcomes to evaluating the return on investment, for leadership development?
- C1. How important is the following measure of societal impact to evaluating the impact of leadership development at a social level?
- D1. Which criteria would be most important in determining the most effective approach of evaluating the impact of leadership development initiatives?

## 3.9 DATA ANALYSIS METHOD

Data analysis using mixed methods amalgamates statistics and thematic approaches and enables data triangulation to occur which strengthens the findings of the research study (Jogulu & Pansiri, 2011). The researcher's reason for selecting mixed methods was data triangulation, not merely as a means to cross-validate the data but primarily for using both semi-structured interviews and online survey in order to explore the same phenomenon from different dimensions as a way of assuring the validity of the research, which comes to life in the process of data analysis. Qualitative data analysis was done first preceded by Quantitative data analysis, as the findings from the qualitative analysis phase were intended to inform amendments to the quantitative research instrument.

Qualitative data was analysed using categorising of the data, also known as coding. Coding is a process whereby large amounts of raw information or data are subdivided and subsequently assigned to categories. Codes are the labels or tags allocated to identified topics or themes compiled in the study (Wong, 2008). The process that was followed in coding is that proposed by O'Connor and Gibson (2003) as this was considered the most systematic process and made the most sense to the researcher in the context of this research. O'Connor and Gibson (2003) explain the following steps in Table 4 below, which was applied for each semi-structured interview. The structure and process below was applied to each of the case studies and data was integrated into the research findings.

**Table 4: Qualitative Data Analysis, the Coding Process**

| **Steps** | **Sub-actions within the step** |
|---|---|
| **Step 1:** Organizing the data | - Transcribed the interviews<br>- Listened to the interview recordings and read transcripts (notes)<br>- Kept a list of questions asked and consolidated verbatim responses to the research questions.<br>- The researcher thereafter carefully re-listened and read the responses collated. |
| **Step 2:** Finding & Organizing ideas and Concepts | - From the verbatim responses, the researcher used a highlighter to highlight recurring words. |
| **Step 3:** Building overarching themes in the data | - The researcher wrote a list of recurring words, and grouped the words into ideas, themes and concepts.<br>- Using the identified categories, the researcher ascertained the associated themes, which gave deeper meaning to the data. The researcher did this by collapsing the data under one main prevalent and over-arching theme.<br>- Coding Decision: Items were coded in instances where:<br>• The researcher thought it relevant/important based on previously read scientific journal articles. |

| | |
|---|---|
| | • The response was linked to a specific concepts and or theory.<br>• The responses were repeated in several places.<br>• The response or parts of the response jumped out or strikes the researcher as odd or unusual.<br>• The interviewee stated explicitly that it was important. |
| **Step 4:** Ensuring reliability and validity in the data analysis and in the findings, whilst finding plausible explanations for findings. | - To ensure reliability and validity the researcher tested emergent hypotheses and findings, as and when patterns and themes emerged from the data through carefully searching for any negative instances in the patterns and identifying possible explanations to the outliers.<br>- Throughout the process, the researcher remained cognizant of researcher effects and made a conscious effort to check for researcher effects. |
| **Step 5:** Validating the findings | - Firstly, the researcher validated the coding strategies through external validation of the coding strategies.<br>- Secondly, the researcher validated the research findings from the analysis with the participants through obtaining the participant feedback, and going back to the participants to check for accuracy of interpretation. |

In accordance with the criteria for quantitative research proposed by Alborz and McNally (2004), the researcher followed the process outlined in Table 5 below for quantitative analysis. Quantitative data was analysed using both descriptive and inferential statistics. To summarize data in a coherent manner, descriptive statistics were drawn on first (Kaur, Stoltzfus & Yellapu, 2018) to determine trends in the responses and thereafter inferential statistics were used through describing the correlation between variables in the population or sample. The structure and process below was applied to each of the case studies and data was integrated into the research findings.

**Table 5: Quantitative Data Analysis Process**

| Analysis Stage | Steps | Sub-actions within the step, the researcher |
|---|---|---|
| **Stage 1:** Preparing Data | **Step 1:** Data Validation | - Inferred respondent participation<br>- Screened to ensure alignment of respondents with initial research criteria<br>- Checked and validated the adherence to data collection procedures<br>- Checked for completeness of responses to the questions. |
| | **Step 2:** Data Editing | - Checked for errors and outliers<br>- Edited the raw data where required (example: Spelling errors identified in the open fields commentary sections) |
| | **Step 3:** Data Coding | - Grouped and assigned values to the responses from the online survey |
| **Stage 2:** Conducting the first level of analysis | **Step 1:** Using Descriptive statistics | - **Measure Frequency:** In-order to demonstrate how often a specific value occurs. Used: Percentages, Rates and Frequencies<br>- **Measure Variation:** For the purposes of identifying the spread of values. Used: Standard deviation, Range, Variances<br>- **Measure Central Tendency:** In-order to indicate the distribution of values. Used: Median, Mode, Means<br>- **Measure Position:** To ascertain where values fell in relation to each other. Used: Quartile ranks, Percentile ranks |
| **Stage 3:** Conducting the second level of analysis | **Step 1:** Using Inferential analysis to demonstrate relationships between variables | - **Correlation:** Was used to describe how variables relate (Cronbach Alpha was used for internal consistency or average correlation of items in a survey instrument to gauge its reliability). |

## 3.10 INTERPRETATION OF THE DATA AND INTERPRETIVE LENS

The interpretation of data lens applied was through grounded theory. Specifically in the qualitative research phase of the research study, the Straussian Evolved Grounded Theory lens was applied. The adopted mixed methods research study approach made it possible to obtain meaningful in-depth insights through subjective interpretation using qualitative data and also support in strengthening the validity and reliability of the research through quantitative research.

Data was interpreted in consideration of:

4. Concepts and theories relevant to the field of leadership development and impact evaluation studies.
5. Results from previous or similar studies published in scientific journal articles.

### 3.10.1 Pragmatic Grounded Theory Integration

In this research study, pragmatic grounded theory was applied in the approach used to engage with the literature and also used in the iteration between data gathering and data analysis.

### 3.10.2 Acknowledgement of biases

In applying grounded theory in this research study, the first step was to acknowledge and disclose any potential influences which may cause bias in the study. In doing this, the research study "gains a degree of scientific hardiness" (Jones & Alony, 2011). The researcher acknowledged their current role, as a practitioner in the field of leadership development and therefore in contrast to the recommendations by Glaser and Strauss (1967) is not able to approach the research study without any preconceived idea of the subject area.

### 3.10.3 Engaging with the literature

In engaging with the literature, a pragmatic grounded theory approach was adopted. This Pragmatist concept of abduction is neutral with regard to the researcher engaging with literature prior to data collection and emphasizes that insights can be broadly derived (Bryant, 2009).

### 3.10.4 Commencing with Data Collection

In line with the pragmatic approach of grounded theory on the appropriate approach to beginning a research project, as pronounced by Day (1999), the research started with a "general subject or problem conceived only in terms of a general disciplinary perspective" and thereafter continually focused on a specific focus area. This research study began data collection in a general opening approach to the subject area of leadership as seen in the literature review, where emphasis was placed on understanding past research and theories of 1) leader, 2) leadership, 3) leadership effectiveness and thereafter the research study

proceeded to zone in on the focus of, 4) learning, 5) adult learning, 6) leadership development, and 7) leadership development evaluation. The same approach was followed in data gathering through the qualitative research phase semi-structured interviews and in the quantitative research phase using online survey questionnaires.

In sampling, purposive sampling was used, while in grounded theory "theoretical sampling" is generally used. Theoretical sampling can be seen as a variation of purposive sampling. The differentiator is primarily that the researcher had a clear set of sampling criteria prior to commencing the research, whereas in its stricter sense, theoretical sampling occurs during the data collection process. It was important to have clarity on who to engage with in data collection prior to the research, as this was central to the research topic and perceived to be a potential gap in relation to the individual 'key stakeholders' involved in leadership impact evaluation.

### 3.10.5 Data Analysis using Grounded Theory

In the iteration between data gathering and data analysis, the Pragmatist point of view was utilised where "Pragmatism helps dispel some of the most problematic dichotomies and dualities that otherwise seem to present unavoidable obstacles and distractions to researchers" (Bryant, 2009:22). Theoretical sampling in contrast to random sampling was applied, whereby "researchers can develop their initial theoretical analysis, fleshing out and enhancing the concepts identified in the earlier stages of their work" (Bryant, 2009:22).

Once the initial qualitative data has been collected, grounded theorists begin data analysis through coding. In the Straussian grounded theory adopted for this research study, the next step is categorizing qualitative data to provide a view of matters arising from the data. The three sequential levels of coding for evolved grounded theory in Straussian fashion were employed, starting with 1) Open coding, followed by 2) Axial coding, and 3) Selective Coding.

The final phase in the adoption of grounded theory is that a basic social process should be produced as an outcome of the final research results. The findings of the research study are presented in chapter four, and the theory generated as an outcome is discussed in chapter five.

## 3.11 METHODOLOGICAL LIMITATIONS OF THE STUDY

The limitation attributed to methodology was specifically related to the length of the research, as this was a mixed methods study and as such was more time consuming than a single method study.

Bryman et al (2017) state that mixed methods shouldn't be seen as superior to single method research. The researcher took the following into consideration before selection of mixed methodology:

1. To avoid yielding suspect results, mixed methods research must be appropriate to the research area and research questions, completely designed and conducted which has been done so in this research methodology chapter.
2. Mixed methods approach in this project has been looked at as components related to each other and that feed off each other from the onset as opposed to separate components. This is evidenced in the chosen exploratory sequential design approach which makes use of qualitative data from phase one of the research to inform the design of variables of the quantitative research in phase two of the study.
3. 'Trained incapacities' related to skill set, as mixed methods researchers need to be highly and equally competent in both qualitative and quantitative research methodologies. This was addressed in that the researcher is skilled in both approaches having attended several seminars as well as reading numerous books and articles on qualitative research.
4. Mixed methods studies may dilute the research effort, as it may be (depending on the perspective of the researcher) time-consuming and resources may need to be

spread. This is addressed through a detailed project plan which has been carefully scaled to counter the potential time delays.

## 3.12 VALIDITY AND RELIABILITY

Validity and Reliability are closely related as validity presumes reliability, meaning that if a measure is not reliable, it cannot be valid (Bryman et al, 2017). The different approaches to data collection used in this mixed methods study complement each other, as well as enhancing validity and dependability of the data (Zohrabi, 2013). In addition, validity concerns for this research study were addressed through content validity, face validity and internal validity.

### 3.12.1 Reliability in the qualitative research phase

To strengthen reliability in the qualitative phase of the research, the following techniques provided by Lincoln and Guba (1985) and Merriam (1998) as cited in Zohrabi (2013) were employed:

1. The investigator position is where reliability is strengthened when the investigator explains the different processes and phases of the enquiry that is done through the research study and supporting documents such as the qualitative research interview guide.
2. Triangulation is achieved through the use of different procedures such as through semi-structured interviews and survey questionnaires.

### 3.12.2 Reliability in the quantitative research phase

Reliability, according to Zohrabi (2013:259), deals with the "consistency, dependability and replicability of the results obtained from a piece of research". Reliability concerns addressed through quantitative research approach are concerned with the measure of quality in a quantitative study or instrument accuracy pertaining to the research instrument consistency to deliver the same results when applied repeatedly to the same situation (Heale & Twycross, 2015).

Acquiring the same or similar results is straightforward in quantitative research as data are in numerical form. Furthermore, reliability in the qualitative phase of this research study was strengthened through the following three techniques as provided by Lincoln and Guba (1985) and Merriam (1998), as cited in Zohrabi (2013):

1. Triangulation achieved through the use of different procedures such as through semi-structured interviews and survey questionnaires.
2. An audit trial was fulfilled as the researcher described in detail how the data are collected, analysed and how different themes are derived, as well as how the results were obtained.

### 3.12.3 Validity in the qualitative research phase

The different approaches to data validation to further enhance validity on the qualitative aspect of the research utilise the following approaches as suggested by Seale and Silverman (1997). Data was recorded objectively and comprehensively through the use of an audio recorder used online live during the semi-structured interviews, and through the use of an interview guide and interview notepad used to capture non-verbal cues and messages. Brink (1993) states that such mechanical recording enhances the accuracy of the transcripts.

### 3.12.4 Validity in the quantitative research phase

Content validity and in-person validity in the quantitative research phase was addressed as guided by Zohrabi (2013) through having the research instruments and data reviewed by experts in the field of leadership studies and leadership development research. Furthermore, internal validity was addressed through triangulation as data was collected through several sources, namely phase one being the qualitative research data collected through semi-structured interviews and phase two being the quantitative research data collected through online survey questionnaires.

## 3.13 ETHICAL CONSIDERATIONS

The following ethical considerations were taken into consideration in much as they pertain to this research study:

**Minimizing the risk of harm in relation to anonymity and confidentiality:**
As the research study was a mixed methods exploratory sequential study design, the first phase pertaining to qualitative research study was semi-structured interviews where detailed accounts of the discussion and information acquired were recorded. In consideration of minimizing risk related to anonymity and confidentiality, the names of the participants were kept confidential. Data collected was treated confidentially at all stages of the research. Participants were anonymized and data was only used in the findings of the research.

**Informed Consent:**
In consideration of informed consent, the researcher acquired informed consent from the research participants to participate in the study through the process of, a) firstly ensuring that the research study participants were aware that they would be participating in the study, and b) by explaining the intent of the research study in its integrity to the participants, specifically the study requirements, objectives, purpose, and possible risk, that all were explained in detail prior to the participants participating in the study. For the qualitative phase of the study, this was done through a letter requesting consent and a conversation whereby the researcher explained the study and answered questions. For the quantitative study, this was done through a research study outline, and disclaimer that was displayed on the first page of the online survey questionnaire.

**Participants right to withdraw:**

Participants were informed of their rights at all stages of the research, which included the abovementioned and the Participants right to withdraw. Participating in the research study was not compulsory for any participant and the decision of whether or not to take part was for prospective participants to freely decide. Participants were informed of their right to withdraw from the research study at any point in time without any losses or penalties of any kind to individuals or organizations, related to participating in the study or in refusing to participate in the study.

**In Summary,** this chapter explained the approaches undertaken to conduct this mixed methods research study, covering what was done and how it was done.

The findings of the research study are explained in detail in the next chapter.

# CHAPTER FOUR: DISCUSSIONS OF THE FINDINGS

## 4.1 CHAPTER INTRODUCTION

In this chapter, the findings gathered from the data analysis process are discussed. The chapter further outlines the main patterns and trends in relation to the research problem. The foundation for the next chapter is laid, which moves the evidence and data analysis into the scope of theory development.

## 4.2 DATA MANAGEMENT

This research study was anchored on grounded theory and theory-based evaluation, also known as purposeful program theory, and as such the data collection, data management and data analysis was done through the use of those lenses. Similarly, in the spirit of pragmatic research and the research logic subscribed to in this research study being deductive-inductive, the primary lens adopted for the data analysis was inductive logic, in accordance with grounded theory.

The data was collected through an exploratory sequential research methodological approach as explained in chapter three. Phase one of the research was undertaken through a qualitative research approach, where 20 semi-structured interviews were conducted across the organizations included in the case study research. The semi-structured interviews occurred over a 6-month period commencing on 14 August 2020 and concluding 26 January 2021. All interviews were conducted virtually through the Microsoft Teams online meetings platform, and all were recorded with the permission of the research participants being obtained upfront. Phase two of the research was conducted through a quantitative research approach, making use of an online questionnaire through the Qualtrics survey platform. Quantitative data was collected over a 3-week period, which commenced on 20 May 2021, followed by a survey reminder which was sent 2 weeks into the data collection process and the survey was closed on 14 June 2021. Data

management was facilitated as articulated in chapter three and all protocols were observed.

### 4.2.1 Data gathering and coding using Grounded Theory

In the data collection process, in line with the practices of grounded theorists, the researcher has provided in this study a transparent view of how the research was conducted thoroughly and systematically (Charmaz & Thornberg, 2021). Data analysis was done through the grounded theory method which not only helps researchers to synthesize data but moreover to move beyond description through constructing new concepts that explicate what is happening (Charmaz & Thornberg, 2021).

The first step adopted in coding data through the grounded theory perspective is initial open coding which constitutes the preliminary data analysis. In Vivo coding through open coding was used, where emphasis is placed on the exact words spoken by the research participants, and as such coding begins with verbatim quotes from the research participants. To transform the fractured basic data from initial coding to more abstract concepts the next phase in the coding process was to enable the theory to emerge from the data through Axial coding. Axial coding was done "to direct collection of additional data that will inform the developing theory" (Chun Tie, Birks & Francis, 2019:5).

The grounded theory method offers useful strategies to develop theoretical analyses (Charmaz & Thornberg, 2021). To facilitate the transition and integration of the final grounded theory, advanced coding was done through selective coding to produce solid theory that is grounded on data (Chun Tie, Birks & Francis, 2019).

## 4.3 QUALITATIVE RESEARCH DATA ANALYSIS

Through following the exploratory sequential research approach, qualitative data was collected and analysed first; this was followed by quantitative data collection and analysis. The data collected in phase one was transcribed, anonymized and thereafter

analysed through coding. The semi-structured interviews were transcribed, and analysis began with listening to the recorded interviews whilst in parallel reviewing if the content transcribed was accurately recorded.

Through reading each transcript, notes were taken of key points emphasised by the interviewee and central themes highlighted as they evolved. In this process, interviewee data was anonymized through the removal of any identifying information. Data analysis was done through the adoption of Grounded Theory data analysis approach, which is an exploratory approach to qualitative research analysis (Charmaz, 2008).

The data was transferred to the qualitative data analysis template, which contained, 1) each research question asked; 2) the interview question ( or sub-questions ) for each research question; 3) the verbatim response to each question acquired from the interviewee; 4) the key phrases that were used by the interviewee in response to the question; and 5) the key themes/categories that emerged from each interview, captured per interviewee and per question. This is aligned to the practice of grounded theorists, as in grounded theory the process of coding is done based on the exact extracts of the data, and what the data indicates as opposed to preconceived ideas. The findings of phase one are summarized in section 4.4 below.

## 4.4 QUALITATIVE RESEARCH RESULTS

The detailed findings of the qualitative research outlined in the appendix section were used to inform the final design of the quantitative research questionnaire. Using the qualitative research summary of the findings from phase one of the research study, for purposes of data triangulation, the phase two research instrument was amended and enhanced to be more fit for purpose. In the refinement of the quantitative research questionnaire, the researcher concluded with a total of 9 questions from the 35 questions in the initial research instrument. Furthermore, findings from the qualitative research phase were used to explore potentially relevant variables/measures that could be used in designing what would be the proposed holistic leadership development approach. Word

clouds for key themes and concepts extrapolated from the qualitative research data analysis are provided below.

Theory emerged from phase one of the research study, where data from the semi-structured interviews revealed that the current leadership development evaluation approaches are a case of self-fulfilling prophecy, enabled by the unilateral design of the current evaluation approaches. It was also found that evaluation approaches are designed by HR practitioners without the involvement of key business stakeholder and matricxes for evaluation are not agreed in advance. Furthermore, the current approaches do not measure leadership impact holistically. This is problematic as business stakeholders are not able to get a sense of the true and holistic impact of leadership development initiatives, in relation to their context and matrices that are important for them as business stakeholders are not included. The word clouds of the key findings from phase one of the research study are depicted in items 4.4.1. to 4.4.3 below.

### 4.4.1 Key challenges in leadership development evaluation

**Exact extracts**

[Current approaches are a self-fulfilling prophecy] [Organizations are not taking any deliberate or proactive efforts] [Leadership development initiatives are not necessarily designed for business impact] [No proactive approaches] [No feedback sent back to key stakeholders] [Lack of stakeholder engagement] [Lack of stakeholder alignment] [No link to KPIs or business strategy] [No prior agreement of impact measurements or metrics] [Impact is not measured] [There's no standard, consistent approach of evaluating leadership development].




### 4.4.2 Approaches to Leadership development impact evaluation

**Exact extracts**

[Time-frame to ROI] [Evaluation approach should appreciate that human beings that participate in the leadership development program are not homogeneous] [Impact of the leadership development initiative success is influenced by various factors] [Evaluation should be dependent on the level of leadership] [Impact should be measured in relation to the job] [Should be designed consciously against the business strategy, especially at Exco level] [Pin-point organizational performance as a matrix] [Culture as a matrix] [Business Performance] [Cluster Performance] [Measure longevity in the company in terms of retention] [Measure performance] [Evaluate the way that leaders used to show up, versus how they show up post-development] [Check if leaders engaged differently post-development] [Feedback from direct reports, people that report directly to that leader] [Feedback from Peers and Line manager] [Conduct a 360-Degree] [Measure Financial performance] [Build in an evaluation mechanism to determine the efficiency or efficacy of the program] [Check productivity increase] [Predefined clear measurements and performance indicators before and after] [Shifts in performance] [Evaluates how effectively the leaders are implementing what they have learnt] [Continuous feedback,

Performance reviews is how you can evaluate] [Measurement aspects in terms of your participant, colleague, organization, return on investment] [Has Multi-source feedback on the individual] [Should be quantitative and qualitative].




### 4.4.3 Matrices to be included in leadership development evaluation

**Exact extracts**

[Periodic reviews post-assessment and post-training, there assessments] [Psychometrics] [360 Feedback] [Measure change in behaviour] [Measure the sustainability of the change in behaviour, over a period of time] [Measure ability, knowledge, attribute and skills] [Measure impact on strategic outcomes and purpose] [Measure team pulse] [A bit of a leading indicator, but also small pulses] [Measure share price, operations, efficiency and effectiveness] [Percentage of OKRs achieved] [Retention, growth in their career] [Have the leaders introduced new ideas or strategies that help save costs in the organization] [Did they help other people to grow?] [Check if the leader is creating a high performing environment] [Is the leader engaging with their team and peers?] [How is the leader trying

to create a learning organization?] [From a people perspective, the feedback from employees reporting to their leader in terms of impact, in terms of execution, of their decision] [From a process perspective, improvements in that. And there could be either business processes or operating models] [And if there's a technology component to it that can be justified through return on investment, things like NPF scores from your clients].




## 4.5 QUANTITATIVE RESEARCH DATA ANALYSIS

This section of the report covers phase two of the exploratory sequential design research study which was conducted as quantitative research. The data collection was facilitated using a quantitative research questionnaire distributed through an online Qualtrics survey, which was informed by the data gathered through phase one of the study through semi-structured interviews.

The data collected was sorted in the order and flow of the questions included in the research questionnaire. This approach was adopted as a systematic approach to the

analysis of the data, in order to utilize the findings to concurrently design the framework which would be positioned as the contribution to the academic body of knowledge.

The survey, which was made up of 9 questions, with an estimated duration of 10 minutes, was first distributed through electronic mail at 12h40pm on 20th May 2021 to n=120 participants across both organizations that made up the case study research, being ABSA & the JSE. A survey e-mail reminder was sent to all participants at 10h59am on 3rd June 2021. On 14th June 2021 the survey was closed, with a final response rate of 50% with final participants at n=60 as planned in chapter three, outlining the research methodology.

As a first step of the quantitative data analysis, descriptive statistics were used in the study, to provide basic features and findings of the data. An additional analytical lens was further applied in the analysis of the data, in the form of inferential data analysis, for the purposes of making deductions and generalization of the population. In this section of the report, descriptive statistics are applied to the variables in order to provide an analysis of the gathered data.

Descriptive statistics (means and standard deviations) were calculated for each of the questions, namely A1) the importance of the level of scope; A2) the importance of the specific measures of impact; A3) the importance of the involvement of specific individuals; A4) the importance of specific evaluation approaches; B1) the importance of the specific measures of outcomes; B2) the importance of the specific measures of financial outcomes; C1) the specific measures of societal impact; D1) the importance of the specific criteria to be used in the design of the approach of evaluating the impact of leadership development initiatives.

The mean is a familiar arithmetic average and is defined as the sum of a set of values divided by their numbers; its computation involves algebraic manipulation of the individual values. In layman's terms the mean is the average. The mean can also be defined as an appropriate measure of central location for metric data only (Diamantopoulos, 2004). It can also be described as the total of all scores divided by the

number of scores, which is also known as the average. The mean can also be seen as the sample mean, which is an unbiased estimate of the population mean. Although unbiased, the sample mean varies considerably around the population mean (Cochran, 1963). For the purposes of understanding the interpretation of the analysis for this specific study, the higher the mean the more significant the variable, item or element is.

The standard deviation represents the variations in the responses of the group being studied and can also be defined as the measure of variability in which 1) each data point is squared, 2) the sum of the squares is calculated, 3) this sum is divided by the total number of data points, and 4) the square root of the result, which is a frequently used value in parametric statistics, is calculated. The number is obtained to know the standing of the group as pertaining to the variables (Leedy & Ormrod, 2010). A high Standard Deviation (*SD*) is an indication that the group varies or differs highly in their responses to the specific question, and a low standard deviation represents the inverse, being more coherence in the responses of the study group.

The reliability information was therefore generated by calculating Cronbach's alpha, which determines the internal consistency or average correlation of items in a survey instrument to gauge its reliability. Cronbach's alpha was developed by Lee Cronbach in 1951, to provide a measure of the internal consistency of a test or scale. It is expressed as a number between 0 and 1 (Tavakol & Dennick, 2011). There are different reports about the acceptable values of Cronbach's alpha, ranging from .70 and .95 (Tavakol & Dennick, 2011). Cronbach's alpha calculation in this research was done by the researcher to assess the effectiveness of the measure to determine the constructs being studied in this research, for the purposes of asserting the appropriate measures in the framework that would be developed and submitted as the final contribution to the academic body of knowledge.

The researcher also performed a one-way analysis of variance (ANOVA), which is a way to test the equality of three or more means at one time by using variances (Statistics South Africa, 2017). The one-way analysis was done to assess the homogeneity of mean scores between organisations. In one-way analysis, the result will either indicate that

homogeneity exists or alternatively that the groups differ. In this study it was done to establish if the entire organisation could be pooled, or if the organisation differed fundamentally on the different levels of the phenomena.

## 4.6 QUANTITATIVE RESEARCH RESULTS

The statistics per item are presented in the tables below. The statistics provided reflect the responses from the research questionnaire. Research participants were asked to respond to the 9 questions starting with specific statements in Questions A1, A2, A3, A4, and B1 using a 6-point scale by inputting one of the following: 1 = insignificant 0% importance; 2 = very-low 1-19% importance; 3 = low 20-39% importance; 4 = medium 40-59% importance; 5 = high 60-79% importance; and 6 = crucial 80-100% importance. Question A5 was a multiple-choice question, with 11 multiple-choice items. Questions B2 and C1 used a 7-point scale where participants were asked to select rating by inputting one of the following: 0 = n/a not sure; 1 = insignificant 0% importance; 2 = very-low 1-19% importance; 3 = low 20-39% importance; 4 = medium 40-59% importance; 5 = high 60-79% importance; and 6 = crucial 80-100% importance. Question D1 used a 10-point ranking scale that offered a ranking from 1 most important and 10 least important.

In this research study, Cronbach's alpha was calculated using the online statology Cronbach's alpha calculator (Zach, 2021). Cronbach's alpha is used to measure reliability to evaluate the internal consistency. An acceptable coefficient benchmark level, as indicated in Chapter 3, is between .70 and .95. All measuring instruments were found to be reliable. The descriptive statistics and Cronbach's alpha coefficient per instrument are presented in the tables below.

| Scope: A1. How important is it to evaluate the impact of leadership development at this level of scope? | Range | Minimum | Maximum | Mean | Std. Deviation | Variance | Cronbach's Alpha | Total Count of participants |
|---|---|---|---|---|---|---|---|---|
| Social Level (People) | 1-6 | 3.00 | 6.00 | 5.36 | 0.91 | 0.84 | .95 | 100% |
| Environmental Level (Planet) | 1-6 | 1.00 | 6.00 | 4.75 | 1.14 | 1.29 | .95 | 100% |
| Economic Level (Profits) | 1-6 | 3.00 | 6.00 | 5.30 | 0.84 | 0.71 | .95 | 100% |

The reliability coefficient (Cronbach's alpha) for A1_Scope_of _Impact, which was the measuring questionnaire for the importance of evaluating leadership at the 3 levels of scope of impact i.e., Societal Level (People); Environmental Level (Planet); and Economic Level (Profits) was .95, which was found to be excellent as the Cronbach's alpha coefficient was above the acceptable benchmark level of .70, as indicated above.

| Scope: A1. How important is it to evaluate the impact of leadership development at this level of scope? | 0% **Insignificant (1)** | 1-19% **Very Low (2)** | 20-39% **Low (3)** | 40-59% **Medium (4)** | 60-79% **High (5)** | 80-100% **Crucial (6)** | Insignificant - to - Low Overall Score | Medium - to - Crucial Overall Score | Total |
|---|---|---|---|---|---|---|---|---|---|
| Social Level (People) | 0% | 0% | 4% | 20% | 14% | 63% | 3.57% | 96.43% | 100.00% |
| Environmental Level (Planet) | 2% | 0% | 13% | 25% | 29% | 32% | 14.29% | 85.71% | 100.00% |
| Economic Level (Profits) | 0% | 0% | 2% | 20% | 25% | 54% | 1.79% | 98.21% | 100.00% |

The first variable A1) was the Scope of Impact and in the measurement thereof, the researcher used a six-point Likert Scale [1–6], which had items Societal Level (People); Environmental Level (Planet); and Economic Level (Profits). In this, participants were asked to indicate their response to the question in reference to each level, "**How important is it to evaluate the impact of leadership development at this level of scope?**" In the first variable, the item that scored the lowest at a crucial score of 32% was "environmental level" with a mean score of 4.75 (*SD* = 1.14). The response rate for this variable was 100% (*N* = 60). This section of the questionnaire was about the "importance of evaluating the impact of leadership development at the specific level of scope".

The research participants indicated that when evaluating leadership development, across the different levels of scope, it was least important to include evaluation at an environmental level.

In the first variable, the item that scored the highest at a crucial score of 63% was "social level" with a mean score of 5.36 (*SD* = 0.91). The response rate for this variable was 100% (*N* = 60). This section of the questionnaire was about the "importance of evaluating the impact of leadership development at a social level (e.g., People)" scope. This variable was followed very closely by the "economic level" at a crucial score of 54% with a mean score of 5.30 (*SD* = 0.84). In examining the combined scores ratings from Medium to Crucial Overall Scores, the economic level was rated at an overall combined score of 98.21%, and the social level was rated at an overall combined score of 96.43%.

The highest and lowest responses to the first variable demonstrate the point that the impact of leadership development at a corporate leadership dimension is most important to be evaluated at primarily a people level scope, followed by the economic level scope, and least at the environmental level scope.

| **Measures: A2. How important is it to include the following measures, when evaluating the impact of leadership development?** | **Range** | **Minimum** | **Maximum** | **Mean** | **Std. Deviation** | **Variance** | **Cronbach's Alpha** | **Total Count of participants** |
|---|---|---|---|---|---|---|---|---|
| Measures of Learning (example: tests) | 1-6 | 1.00 | 6.00 | 4.11 | 1.26 | 1.59 | .71 | 100% |
| Measures of on the Job Application (example: performance) | 1-6 | 1.00 | 6.00 | 5.00 | 1.06 | 1.13 | .71 | 100% |
| Measures of outcomes (example: employee engagement) | 1-6 | 2.00 | 6.00 | 5.35 | 1.03 | 1.06 | .71 | 100% |
| Measures of Societal Impact (example: BBBEE scorecard) | 1-6 | 2.00 | 6.00 | 5.35 | 0.99 | 0.99 | .71 | 100% |

The reliability coefficient (Cronbach's alpha) for A2_Importance_of _Measures, which was the measuring questionnaire for the importance of specific measures to be included in evaluating the impact of leadership development being i.e. Measure of Learning (example: tests); Measures of on the Job Application (example: performance); Measures of outcomes (example: employee engagement); and Measure of Societal Impact (example: B-BBEE scorecard) was .71, which was found to be acceptable as the Cronbach's alpha coefficient was above the acceptable benchmark level of .70, as indicated above.

| **Measures: A2. How important is it to include the following measures, when evaluating the impact of leadership development?** | 0% **Insignificant (1)** | 1-19% **Very Low (2)** | 20-39% **Low (3)** | 40-59% **Medium (4)** | 60-79% **High (5)** | 80-100% **Crucial (6)** | **Insignificant - to - Low Overall Score** | **Medium - to - Crucial Overall Score** | **Total** |
|---|---|---|---|---|---|---|---|---|---|
| Measures of Learning (example: tests) | 1.82% | 14.55% | 10.91% | 25.45% | 38.18% | 9.09% | 27.28% | 72.72% | 100.00% |
| Measures of on-the-Job Application (example: performance) | 1.82% | 1.82% | 3.64% | 16.36% | 40.00% | 36.36% | 7.28% | 92.72% | 100.00% |
| Measures of outcomes (example: employee engagement) | 0.00% | 5.45% | 1.82% | 3.64% | 30.91% | 58.18% | 7.27% | 92.73% | 100.00% |
| Measures of Societal Impact (example: BBBEE scorecard) | 0.00% | 3.63% | 1.82% | 10.91% | 23.64% | 60.00% | 5.45% | 94.55% | 100.00% |

The second variable A2) was the specific measures and in the measurement thereof the researcher used a six-point Likert Scale [1–6], which had items Measure of Learning (example: tests); Measures of on the Job Application (example: performance); Measures of outcomes (example: employee engagement); and Measure of Societal Impact (example: B-BBEE scorecard). In this, participants were asked to indicate their response to the question in reference to each measure, "**How important is it to include the following measures, when evaluating the impact of leadership development?**" In the second variable, the item that scored the lowest at a crucial score of 9.09% was "measures of learning" with a mean score of 4.11 (*SD* = 1.26). The response rate for this variable was 100% (*N* = 60). This section of the questionnaire was about the "importance of evaluating specific measures". The research participants indicated that when evaluating leadership development, it was least important to include measures of learning.

In the second variable, the item that scored the highest at a crucial score of 60.00% was "measures of societal impact" with a mean score of 5.35 (*SD* = 0.99). The response rate for this variable was 100% (*N* = 60). This section of the questionnaire was about the "importance of evaluating the impact of leadership development using measures of societal impact (i.e. B-BBEE scorecard)". This variable was followed very closely by the "measures of outcomes" at a crucial score of 58.18% with a mean score of 5.30 (*SD* = 1.03). In examining the combined scores ratings from Medium to Crucial Overall Scores, the measures of societal impact were rated at an overall combined score of 94.55%, and the measures of outcomes was rated at an overall combined score of 92.73%.

The highest and lowest responses to the second variable corroborate the findings of the first variable and goes to demonstrate the point that when evaluating the impact of

leadership development at a corporate leadership dimension, it is important to evaluate a social level using measures of societal impact and furthermore it is important to evaluate at an economic level, using measures of outcomes.

| **Involvement: A3. How important do you consider the involvement of the following individuals in the evaluation process?** | **Range** | **Minimum** | **Maximum** | **Mean** | **Std. Deviation** | **Variance** | **Cronbach's Alpha** | **Total Count of participants** |
|---|---|---|---|---|---|---|---|---|
| The leader as a participant (the person who has participated in the development initiative) | 1-6 | 2.00 | 6.00 | 4.96 | 1.28 | 1.64 | .82 | 100% |
| The Line Manager of the participant. | 1-6 | 1.00 | 6.00 | 4.67 | 1.27 | 1.60 | .82 | 100% |
| The Participant's Family | 1-6 | 1.00 | 6.00 | 3.91 | 1.16 | 1.36 | .82 | 100% |
| The Participants' community members (outside of work) | 1-6 | 1.00 | 6.00 | 4.09 | 1.27 | 1.61 | .82 | 100% |
| The Peers of the participant. | 1-6 | 2.00 | 6.00 | 4.87 | 0.92 | 0.84 | .82 | 100% |
| The Direct Reports of the participant. | 1-6 | 1.00 | 6.00 | 5.11 | 1.06 | 1.12 | .82 | 100% |
| The HR partner. | 1-6 | 2.00 | 6.00 | 4.44 | 1.19 | 1.41 | .82 | 100% |
| The Leadership Development Specialist. | 1-6 | 2.00 | 6.00 | 4.64 | 1.13 | 1.29 | .82 | 100% |
| The Coach/Mentor of the participant | 1-6 | 2.00 | 6.00 | 5.18 | 0.90 | 0.80 | .82 | 100% |
| The Participants Friends (outside of work) | 1-6 | 1.00 | 6.00 | 4.00 | 1.55 | 2.40 | .82 | 100% |

The reliability coefficient (Cronbach's alpha) for A3_Importance_of _Involvement, which was the measuring questionnaire for the importance of specific involvement to be included in evaluating the impact of leadership development being, for example, The leader as a participant (the person who has participated in the development initiative); The line manager of the participant; The participants community members (outside of work); The peers of the participant; The direct reports of the participant; The HR partner; The leadership development specialist; The coach/mentor as a participant; and the participant's friends (outside of work) was .82, which was found to be acceptable as the Cronbach's alpha coefficient was above the acceptable benchmark level of .70, as indicated above.

| **Involvement: A3. How important do you consider the involvement of the following individuals in the evaluation process?** | 0% **Insignificant (1)** | 1-19% **Very Low (2)** | 20-39% **Low (3)** | 40-59% **Medium (4)** | 60-79% **High (5)** | 80-100% **Crucial (6)** | **Insignificant - to - Low Overall Score** | **Medium - to - Crucial Overall Score** | **Total** |
|---|---|---|---|---|---|---|---|---|---|
| The leader as a participant (the person who has participated in the development initiative) | 0.00% | 9.09% | 7.27% | 7.27% | 30.92% | **45.45%** | 16.36% | 83.64% | 100.00% |
| The Line Manager of the participant. | 1.82% | 5.45% | 12.73% | 12.73% | 38.18% | 29.09% | 20.00% | 80.00% | 100.00% |
| The Participant's Family | 3.64% | 9.09% | 18.18% | 36.36% | 27.28% | 5.45% | 30.91% | 69.09% | 100.00% |
| The Participants' community members (outside of work) | 1.82% | 12.73% | 12.73% | 34.55% | 23.62% | 14.55% | 27.28% | 72.72% | 100.00% |
| The Peers of the participant. | 0.00% | 3.64% | 1.82% | 21.82% | 49.08% | 23.64% | 5.46% | 94.54% | 100.00% |
| The Direct Reports of the participant. | 1.82% | 0.00% | 7.27% | 10.91% | 36.36% | **43.64%** | 9.09% | 90.91% | 100.00% |
| The HR partner. | 0.00% | 7.27% | 18.18% | 16.36% | 39.99% | 18.20% | 25.45% | 74.55% | 100.00% |
| The Leadership Development Specialist. | 0.00% | 7.27% | 9.09% | 18.18% | 43.64% | 21.82% | 16.36% | 83.64% | 100.00% |
| The Coach/Mentor of the participant | 0.00% | 1.82% | 3.64% | 10.91% | 41.81% | **41.82%** | 5.46% | **94.54%** | 100.00% |
| The Participants Friends (outside of work) | 9.09% | 7.27% | 20.00% | 25.45% | 14.55% | 23.64% | 36.36% | 63.64% | 100.00% |

The third variable A3) was the importance of involvement of specific individuals and in the measurement thereof, the researcher used a six-point Likert Scale [1–6], which had items such as The leader as a participant (the person who has participated in the development initiative); The line manager of the participant; The participant's community members (outside of work); The peers of the participant; The direct reports of the participant; The HR partner; The leadership development specialist; The coach/mentor as a participant; and the participant's friends (outside of work).

In this, participants were asked to indicate their response to the question in reference to the potential involvement of each individual, "**How important do you consider the involvement of the following individuals in the evaluation process?"** In the third variable, the item that scored the lowest at a crucial score of 5.45% was "involvement of the participant's family" with a mean score of 3.91 (*SD* = 1.16), followed closely by the second lowest scoring item at a crucial score of 14.55% being the "involvement of Participants' community members (outside of work)". The response rate for this variable was 100% (*N* = 60). This section of the questionnaire was about the "importance of the involvement of specific individuals". The research participants indicated that when

evaluating leadership development, the involvement of individuals outside of the work context was least important.

In the third variable, the item that scored the highest at a crucial score of 45.45% was "the involvement of the leader as the participant" with a mean score of 4.96 (*SD* = 1.28). The response rate for this variable was 100% (*N* = 60). This section of the questionnaire was about the "importance of evaluating the impact of leadership development through involving the leader as a participant". This variable was followed very closely by the "involvement of direct reports" at a crucial score of 43.64% with a mean score of 5.11 (*SD* = 1.06). In examining the combined scores ratings from Medium to Crucial Overall Scores, the involvement of the leader as a participant was rated at an overall combined score of 83.64%, and the "involvement of direct reports" was rated at an overall combined score of 90.91%, where the analysis further revealed the "involvement of coach/mentor of the participant" at a combined score of 94.54% and the "involvement of the peers of the participant" at a combined score of 94.54%.

The highest and lowest responses to the third variable corroborate the findings of the first and second variables and demonstrates the point that leadership development should be evaluated at a social level using measures of societal impact, and should be evaluated at an economic level, using measures of outcomes. This evaluation should be done with the involvement of 1) the leader as the participant; 2) the direct reports of the leader; 3) the peers of the leader; and 4) the coach/mentor of the leader.

| Evaluation Approaches: A4. How important do you consider the following evaluation approaches to leadership development? | Range | Minimum | Maximum | Mean | Std. Deviation | Variance | Cronbach's Alpha | Total Count of participants |
|---|---|---|---|---|---|---|---|---|
| Evaluation should be Multisource (obtained from or involving more than one source). | 1-6 | 2.00 | 6.00 | 5.28 | 0.93 | 0.87 | .94 | 100% |
| Should be Quantitative. | 1-6 | 2.00 | 6.00 | 4.80 | 1.21 | 1.46 | .94 | 100% |
| Should be Qualitative. | 1-6 | 1.00 | 6.00 | 5.24 | 1.00 | 1.00 | .94 | 100% |
| Evaluation should be done over a stretched period of time (not as a once off-activity). | 1-6 | 1.00 | 6.00 | 5.04 | 1.09 | 1.18 | .94 | 100% |
| Include various other life factors and activities that may be occurring with the particular leader, in that timeframe. | 1-6 | 3.00 | 6.00 | 4.94 | 0.93 | 0.87 | .94 | 100% |
| Evaluate how leaders used to show up before, versus how they show up post development, | 1-6 | 2.00 | 6.00 | 5.04 | 0.98 | 0.96 | .94 | 100% |
| Check if leaders engaged differently post development. | 1-6 | 4.00 | 6.00 | 5.39 | 0.62 | 0.39 | .94 | 100% |
| Evaluate how effectively the leader is implementing what they have learnt. | 1-6 | 2.00 | 6.00 | 5.30 | 0.87 | 0.76 | .94 | 100% |
| Evaluation should be dependent on the level of leadership. | 1-6 | 1.00 | 6.00 | 4.74 | 1.31 | 1.71 | .94 | 100% |

The reliability coefficient (Cronbach's alpha) for A4_Importance_of _Approaches, which was the measuring questionnaire for the importance of specific evaluation approaches to be included in evaluating the impact of leadership development being multisource; quantitative; qualitative; stretched over a period of time; life factors; how the leader shows up before versus how they show up post-development; if the leaders engage differently post-development; how effectively the leader is implementing what they have learnt; and evaluation dependent on the level of leadership was .94, which was found to be acceptable as the Cronbach's alpha coefficient was above the acceptable benchmark level of .70, as indicated above.

| **Evaluation Approaches: A4. How important do you consider the following evaluation approaches to leadership development?** | 0% **Insignificant (1)** | 1-19% **Very Low (2)** | 20-39% **Low (3)** | 40-59% **Medium (4)** | 60-79% **High (5)** | 80-100% **Crucial (6)** | **Insignificant - to - Low Overall Score** | **Medium - to - Crucial Overall Score** | **Total** |
|---|---|---|---|---|---|---|---|---|---|
| Evaluation should be Multisource (obtained from or involving more than one source). | 0.00% | 1.85% | 3.70% | 11.11% | 31.49% | **51.85%** | 5.55% | 94.45% | 100.00% |
| Should be Quantitative. | 0.00% | 9.26% | 3.70% | 18.52% | 35.19% | 33.33% | 12.96% | 87.04% | 100.00% |
| Should be Qualitative. | 1.85% | 1.85% | 1.85% | 5.56% | 42.59% | **46.30%** | 5.55% | 94.45% | 100.00% |
| Evaluation should be done over a stretched period of time (not as a once off-activity). | 1.85% | 1.85% | 5.56% | 11.11% | 40.74% | 38.89% | 9.26% | 90.74% | 100.00% |
| Include various other life factors and activities that may be occurring with the particular leader, in that timeframe. | 0.00% | 0.00% | 9.26% | 18.52% | 40.74% | **31.48%** | 9.26% | 90.74% | 100.00% |
| Evaluate how leaders used to show up before, versus how they show up post development, | 0.00% | 1.85% | 7.41% | 12.96% | 40.74% | 37.04% | 9.26% | 90.74% | 100.00% |
| Check if leaders engaged differently post development. | 0.00% | 0.00% | 0.00% | 7.41% | 46.29% | **46.30%** | 0.00% | 100.00% | 100.00% |
| Evaluate how effectively the leader is implementing what they have learnt. | 0.00% | 1.85% | 1.85% | 11.11% | 35.19% | **50.00%** | 3.70% | 96.30% | 100.00% |
| Evaluation should be dependent on the level of leadership. | 3.70% | 5.56% | 3.70% | 20.37% | 33.34% | 33.33% | 12.96% | 87.04% | 100.00% |

The fourth variable A4) was the importance of specific evaluation approaches and in the measurement thereof the researcher used a six-point Likert Scale [1–6], which had items i.e. multisource; quantitative; qualitative; stretched over a period of time; life factors; how the leader shows up before versus how they show up post-development; if the leaders engage differently post-development; how effectively the leader is implementing what they have learnt; and evaluation dependent on the level of leadership. In this, participants were asked to indicate their response to the question in reference to the inclusion of specific evaluation approaches, "**How important do you consider the following evaluation approaches to leadership development?"** In the fourth variable, the item that scored the lowest at a crucial score of 31.48% was "the inclusion of various other life factors and activities that may be occurring with the particular leader, in that timeframe" with a mean score of 4.94 (*SD* = 0.93), followed closely by the second lowest scoring item at a crucial score of 33.33% being the evaluation "should be dependent on the level of leadership". Although the item "Should be Quantitative" was also rated a crucial score of 33.33%, this item had a zero "insignificant" rating, whereas "should be dependent on the level of leadership" was rated as insignificant at 3.70% and therefore considered less important. The response rate for this variable was 100% (*N* = 60). This section of the questionnaire was about the "the importance of the inclusion of specific evaluation approaches".

The research participants indicated that when evaluating leadership development, it was least important to include the various other life factors and activities that may be occurring with the particular leader in that timeframe; furthermore, conducting evaluation at various levels dependent on the level of leadership is not critical in the evaluation process.

In the fourth variable, the item that scored the highest at a crucial score of 51.85% was "Evaluation should be Multisource" with a mean score of 5.28 (*SD* = 0.93). The response rate for this variable was 100% (*N* = 60). This variable was followed very closely by the importance of "evaluating how effectively the leader is implementing what they have learnt" at a crucial score of 50.00% with a mean score of 5.30 (*SD* = 0.87). In examining the combined scores ratings from Medium to Crucial Overall Scores, the importance of checking "if leaders engaged differently post-development" as part of the evaluation was rated at an overall combined score of 100.00%, and the "evaluation of how effectively the leader is implementing what they have learnt" was rated at an overall combined score of 96.30%. The analysis further revealed the "evaluation should be multisource" at a combined score of 94.45% and the evaluation "should be qualitative" at a combined score of 94.45%.

The highest and lowest responses to the fourth variable corroborate the findings of the first, second and third variables and demonstrates the point that leadership development should be evaluated at a social level using measures of societal impact and should be evaluated at an economic level using measures of outcomes. This evaluation should be done with the involvement of 1) the leader as the participant; 2) the direct reports of the leader; 3) the peers of the leader; and 4) the coach/mentor of the leader. Evaluation should include the following evaluation approaches: 1) evaluated using multisource; 2) evaluating how effectively the leader is implementing what they learnt; 3) checking if the leader engaged differently post-development; and that the evaluation 4) should be qualitative.

In the process of studying the various leadership development impact evaluation approaches, it was prudent to also understand the inhibitors of evaluation or the reasons

why evaluation was either not done or not done effectively. In order to gain a perspective on this, a multiple-choice question with unlimited selection was introduced into the questionnaire, henceforth referred to as the fifth variable. The items included in the fifth variable, choice options were gathered from the literature review in chapter two as well as the responses acquired in phase one of the research study – qualitative research, semi-structured interviews.

| **A5. What do you think are some of the reasons why evaluation is not done or not done effectively? Check all that apply.** | **Choice Count** |
|---|---|
| ☐ **Lack of an appropriate impact evaluation tool or approach.** | **14%** |
| ☐ Evaluation is not a priority. Not required by the organization | 6% |
| ☐ **Impact matrixes are not agreed up front.** | **16%** |
| ☐ Lack of buy-in from leaders. | 10% |
| ☐ **Evaluation approaches available use matrixes purely defined by HR and L&D without the involvement of key stakeholders as such are inadequate to effectively evaluate this.** | **13%** |
| ☐ The cost in person-hours and/or capital. | 3% |
| ☐ Current approaches measure leadership development impact within the immediate business context and do not go beyond this context to ascertain the holistic value of the investment, and thus perceived of little to no value to the organization. | 11% |
| ☐ Evaluation takes too much time. | 8% |
| ☐ Lack of training or experience in evaluation. | 11% |
| ☐ Leadership development initiative is done only to meet legal requirements or to tick a box. | 8% |
| ☐ Policy prohibits the evaluation of leadership development. | 1% |
| **Total** | 100% |

| **If the item that you would have liked to have included is not in the list above, please add it here.** |
|---|
| 1. Robust return on investment metrics should be included, to quantify business impact. |
| 2. This is usually because most assessment procedures are influenced by organizational politics, they are not standard based, and the items on which a leader is assessed are undefined or poorly defined. |
| 3. Leadership behaviour is multi-dimensional, would be a challenge to isolate the impact of development. Other factors might be sponsorship/recognition of effective leadership behaviour in the organization, the culture, the nature of the team, development as a priority, etc. |
| 4. Participates in political activities. |

In the fifth variable, 11 multiple-choice items were included i.e. Lack of an appropriate impact evaluation tool or approach; Evaluation is not a priority - not required by the organization; Impact matrices are not agreed up front; Lack of buy-in from leaders; Evaluation approaches available use matrices purely defined by HR and L&D without the involvement of key stakeholders as such are inadequate to effectively evaluate this; The

cost in person-hours and/or capital; Current approaches measure leadership development impact within the immediate business context and do not go beyond this context to ascertain the holistic value of the investment, and thus perceived of little to no value to the organization; Evaluation takes too much time; Lack of training or experience in evaluation; Leadership development initiative is done only to meet legal requirements or to tick a box; Policy prohibits the evaluation of leadership development. In this, participants were asked to indicate their response to the question in reference to reasons for not evaluating, "**What do you think are some of the reasons why evaluation is not done or not done effectively? Check all that apply".**

In the fifth variable, the items with the least selections were "policy prohibits the evaluation of leadership development", at 1%, followed by "the cost in person-hours and/or capital" at 3% and "evaluation is not a priority, not required by the organization" at 6%.

The items which had the most selections were "Impact matrices are not agreed up front" at 16%, and the "Lack of an appropriate impact evaluation tool or approach" at 14%, as well as "Evaluation approaches available use matrices purely defined HR and L&D without the involvement of key stakeholders as such are inadequate to effectively evaluate this" at 13%.

The response rate for this variable was 100% ($N$ = 60). This section of the questionnaire was about the "reasons for evaluation not being done or not done effectively".

The research participants indicated that the reasons for lack of leadership development impact evaluation had very little to do with policy prohibiting evaluation or the cost associated with evaluation or evaluation not being a priority; but rather the lack of evaluation was attributed to impact matrices not being agreed upfront, and evaluation approaches using matrices designed by HR in isolation, as well as the lack of an appropriate impact evaluation tool or approach.

| Evaluation Approach: B1. How important is the following measure of outcomes to evaluate organizational outcomes? | Range | Minimum | Maximum | Mean | Std. Deviation | Variance | Cronbach's Alpha | Total Count of participants |
|---|---|---|---|---|---|---|---|---|
| Anecdotal information (A factual claim relying only on personal observation. Example: stories that people tell about what has happened to them) | 1-6 | 2.00 | 6.00 | 4.73 | 1.06 | 1.12 | .87 | 100% |
| OKRs (Objectives and Key Results) | 1-6 | 4.00 | 6.00 | 5.06 | 0.69 | 0.48 | .87 | 100% |
| Estimates of improved productivity before and after measures related to the learning & development goal | 1-6 | 1.00 | 6.00 | 4.63 | 1.26 | 1.58 | .87 | 100% |
| Individual leader or Group/team performance | 1-6 | 2.00 | 6.00 | 5.06 | 1.12 | 1.25 | .87 | 100% |
| Cost savings | 1-6 | 1.00 | 6.00 | 4.44 | 1.32 | 1.75 | .87 | 100% |
| Net promoter score | 1-6 | 1.00 | 6.00 | 4.71 | 1.08 | 1.17 | .87 | 100% |
| Career Growth (both the leader, and or team) | 1-6 | 2.00 | 6.00 | 4.90 | 1.04 | 1.09 | .87 | 100% |
| Individual leader and Group/team performance | 1-6 | 3.00 | 6.00 | 5.15 | 0.66 | 0.44 | .87 | 100% |
| Longevity (retention of the leader who participated in the development) | 1-6 | 1.00 | 6.00 | 4.58 | 1.13 | 1.28 | .87 | 100% |
| Retention of key employees | 1-6 | 1.00 | 6.00 | 4.88 | 1.10 | 1.22 | .87 | 100% |
| Organizational Culture Survey | 1-6 | 1.00 | 6.00 | 5.05 | 1.10 | 1.21 | .87 | 100% |
| Talent dashboard - Trajectory of the leaders' career | 1-6 | 1.00 | 6.00 | 4.87 | 1.09 | 1.19 | .87 | 100% |
| Employee Engagement Scores | 1-6 | 2.00 | 6.00 | 5.17 | 0.85 | 0.72 | .87 | 100% |
| Compliance with regulatory requirements | 1-6 | 2.00 | 6.00 | 4.73 | 1.21 | 1.47 | .87 | 100% |
| Isolate for effects of the program | 1-6 | 1.00 | 6.00 | 4.92 | 1.22 | 1.49 | .87 | 100% |

The reliability coefficient (Cronbach's alpha) for B1_Importance_of _Measures of Outcome, which was the measuring questionnaire for the importance of specific measures of outcomes to be included in evaluating the impact of leadership development being i.e. Anecdotal information; OKR's; estimates of improved productivity; individual leader or team performance; cost savings; net promoter score; career growth; individual leader and team performance; longevity; retention of key employees; organizational culture; talent dashboard; employee engagement scores; compliance with regulatory requirements; and isolating for the effects of the program was .87, which was found to be acceptable as the Cronbach's alpha coefficient was above the acceptable benchmark level of .70, as indicated above.

| **Evaluation Approach: B1. How important is the following measure of outcomes to evaluate organizational outcomes?** | 0% **Insignificant (1)** | 1-19% **Very Low (2)** | 20-39% **Low (3)** | 40-59% **Medium (4)** | 60-79% **High (5)** | 80-100% **Crucial (6)** | **Insignificant - to - Low Overall Score** | **Medium - to - Crucial Overall Score** | **Total** |
|---|---|---|---|---|---|---|---|---|---|
| Anecdotal information (A factual claim relying only on personal observation. Example: stories that people tell about what has happened to them) | 0.00% | 1.92% | 13.46% | 21.15% | 36.55% | 26.92% | 15.38% | 84.62% | 100.00% |
| OKRs (Objectives and Key Results) | 0.00% | 0.00% | 0.00% | 21.15% | 51.93% | 26.92% | 0.00% | 100.00% | 100.00% |
| Estimates of improved productivity before and after measures related to the learning & development goal | 3.85% | 5.77% | 5.77% | 13.46% | 50.00% | 21.15% | 15.39% | 84.61% | 100.00% |
| Individual leader or Group/team performance | 0.00% | 7.69% | 1.92% | 7.69% | 42.32% | 40.38% | 9.61% | 90.39% | 100.00% |
| Cost savings | 3.85% | 3.85% | 17.31% | 17.31% | 34.60% | 23.08% | 25.01% | 74.99% | 100.00% |
| Net promoter score | 1.92% | 3.85% | 3.85% | 23.08% | 46.15% | 21.15% | 9.62% | 90.38% | 100.00% |
| Career Growth (both the leader, and or team) | 0.00% | 3.85% | 7.69% | 13.46% | 44.23% | 30.77% | 11.54% | 88.46% | 100.00% |
| Individual leader and Group/team performance | 0.00% | 0.00% | 1.92% | 9.62% | 59.61% | 28.85% | 1.92% | 98.08% | 100.00% |
| Longevity (retention of the leader who participated in the development) | 1.92% | 3.85% | 9.62% | 23.08% | 42.30% | 19.23% | 15.39% | 84.61% | 100.00% |
| Retention of key employees | 1.92% | 3.85% | 1.92% | 19.23% | 42.31% | 30.77% | 7.69% | 92.31% | 100.00% |
| Organizational Culture Survey | 1.92% | 1.92% | 3.85% | 17.31% | 34.62% | 40.38% | 7.69% | 92.31% | 100.00% |
| Talent dashboard - Trajectory of the leaders' career | 1.92% | 1.92% | 7.69% | 13.46% | 46.16% | 28.85% | 11.53% | 88.47% | 100.00% |
| Employee Engagement Scores | 0.00% | 1.92% | 1.92% | 11.54% | 46.16% | 38.46% | 3.84% | 96.16% | 100.00% |
| Compliance with regulatory requirements | 0.00% | 9.62% | 3.85% | 21.15% | 34.61% | 30.77% | 13.47% | 86.53% | 100.00% |
| Isolate for effects of the program | 3.85% | 1.92% | 5.77% | 11.54% | 40.38% | 36.54% | 11.54% | 88.46% | 100.00% |

The sixth variable B1) was the importance of specific measures of organizational outcomes influenced by leaders and in the measurement thereof, the researcher used a six-point Likert Scale [1–6] which had items such as Anecdotal information; OKR's; estimates of improved productivity; individual leader or team performance; cost savings; net promoter score; career growth; individual leader and team performance; longevity; retention of key employees; organizational culture; talent dashboard; employee engagement scores; compliance with regulatory requirements; and isolating for the effects of the program. Participants were asked to indicate their response to the question in reference to the inclusion of specific measures of outcomes, "**How important is the following measure of outcomes to evaluate organizational outcomes?"** In the sixth variable, the item that scored the lowest at a crucial score of 19.23% was "Longevity (retention of the leader who participated in the development)" with a mean score of 4.58

(*SD* = 1.13), followed closely by the second lowest scoring item at a crucial score of 21.15% being the evaluation "Estimates of improved productivity before and after measures related to the learning & development goal" and the evaluation of "Net Promoter Score". The response rate for this variable was 100% (*N* = 60). This section of the questionnaire was about the "the inclusion of specific measures of outcome".

The research participants indicated that when evaluating leadership development, it was least important to include the longevity/retention of the leader that has participated in the leadership development; furthermore, conducting evaluation on the productivity levels of the leader before and after the leadership development initiative, as well as including the evaluation of the Net Promoter Score are not critical in the evaluation process.

In the sixth variable, the items that scored the highest at a crucial score of 40.38% were "Organizational Culture" with a mean score of 5.05 (*SD* = 1.10) and "Individual leader or Group/team performance" also a crucial score of 40.38% with a mean score of 5.15 (*SD* = 0.66). The response rate for this variable was 100% (*N* = 60). This variable was followed very closely by the importance of "employee engagement scores" at a crucial score of 38.46% with a mean score of 5.17 (*SD* = 0.85). In examining the combined scores ratings from Medium to Crucial Overall Scores, the importance of including "OKRs (Objectives and Key Results)" as part of the evaluation was rated at an overall combined score of 100.00%, and the evaluation of "Individual leader and Group/team performance" was rated at an overall combined score of 98.08%. The analysis further reconfirmed the importance of evaluating "employee engagement scores" at a combined score of 96.16%.

The highest and lowest responses to the sixth variable corroborate the findings of the first, second, third, fourth and fifth variables and further illustrates the point that leadership development should be evaluated at a social level using measures of societal impact, and should be evaluated at an economic level, using measures of outcomes. This evaluation should be done with the involvement of 1) the leader as the participant; 2) the direct reports of the leader; 3) the peers of the leader; and 4) the coach/mentor of the leader, and evaluation should include the following evaluation approaches 1) evaluated using

multisource; 2) evaluating how effectively the leader is implementing what they learnt; 3) checking if the leader engaged differently post-development; and that the evaluation 4) should be qualitative, and in the analysis of organisational outcome influenced by the leader who has undergone the leadership development initiative, it is important to include the analysis of 1) organisational culture; 2) Individual leader or Group/team performance; 3) Employee engagement scores, and 4) OKR's.

With Questions B2 and C1 below, a 7-point scale was used, where participants were asked to select rating by inputting one of the following: 0 = n/a not sure; 1 = insignificant 0% importance; 2 = very low 1-19% importance; 3 = low 20-39% importance; 4 = medium 40-59% importance; 5 = high 60-79% importance; and 6 = crucial 80-100% importance.

| **Evaluation Approach: B2. How important is the following measure of financial outcomes to evaluating the return on investment, for leadership development? If you are not sure or are not familiar with this financial measure, please circle N/A - Not sure - 0.** | **Range** | **Minimum** | **Maximum** | **Mean** | **Std. Deviation** | **Variance** | **Total Count of participants** | **Cronbach's Alpha** | **Total Count of participants** |
|---|---|---|---|---|---|---|---|---|---|
| Traditional Return on Investment (ROI) Calculation (a financial analysis method that is used to determine if resources are being used profitably) | 1-7 | 3.00 | 7.00 | 5.80 | 0.97 | 0.94 | 100% | .84 | 100% |
| Cost/Benefit Analysis (The relationship between the program benefits (returns) and program costs) | 1-7 | 4.00 | 7.00 | 5.88 | 0.92 | 0.85 | 100% | .84 | 100% |
| Payback Period (the length of time required to recover an original amount invested) | 1-7 | 1.00 | 7.00 | 5.06 | 1.47 | 2.17 | 100% | .84 | 100% |
| Net Present Value (NPV) (a financial analysis method where all expected cash inflows and outflows are discounted to the present point in time) | 1-7 | 1.00 | 7.00 | 5.08 | 1.48 | 2.19 | 100% | .84 | 100% |
| Internal Rate of Return (IRR) (a financial analysis method that uses a time-adjusted rate of return) | 1-7 | 1.00 | 7.00 | 5.37 | 1.36 | 1.84 | 100% | .84 | 100% |
| Utility Analysis (examines the relationship between productivity and job performance) | 1-7 | 1.00 | 7.00 | 5.57 | 1.36 | 1.84 | 100% | .84 | 100% |
| Balanced Scorecard (a framework to evaluate organizational performance by linking four perspectives: financial, customer, internal business, and innovation learning) | 1-7 | 1.00 | 7.00 | 5.55 | 1.43 | 2.05 | 100% | .84 | 100% |
| Opportunity Costs (Consequences of not deploying the learning & development initiative) | 1-7 | 1.00 | 7.00 | 5.88 | 1.45 | 2.10 | 100% | .84 | 100% |

The reliability coefficient (Cronbach's alpha) for B2_Importance_of _Measures of Financial outcomes, which was the measuring questionnaire for the importance of

specific measures of financial outcomes to be included in evaluating the impact of leadership development being i.e. Traditional ROI; Cost/Benefit Analysis; Payback Period; Net Present Value; Internal Rate of Return; Utility Analysis; Balanced Scorecard; and Opportunity Costs was .84, which was found to be Acceptable as the Cronbach's alpha coefficient was above the acceptable benchmark level of .70, as indicated above.

| **Evaluation Approach: B2. How important is the following measure of financial outcomes to evaluating the return on investment, for leadership development? If you are not sure or are not familiar with this financial measure, please circle N/A - Not sure - 0.** | N/A **Not Sure (0)** | 0% **Insignificant (1)** | 1-19% **Very Low (2)** | 20-39% **Low (3)** | 40-59% **Medium (4)** | 60-79% **High (5)** | 80-100% **Crucial (6)** | **Not Sure - to - Low Overall Score** | **Medium - to - Crucial Overall Score** | **Total** |
|---|---|---|---|---|---|---|---|---|---|---|
| Traditional Return on Investment Calculation | 0.00% | 0.00% | 1.96% | 5.88% | 29.41% | 35.30% | 27.45% | 7.84% | 92.16% | 100.00% |
| Cost/Benefit Analysis | 0.00% | 0.00% | 0.00% | 9.80% | 19.61% | 43.14% | 27.45% | 9.80% | 90.20% | 100.00% |
| Payback Period | 1.96% | 5.88% | 7.84% | 11.76% | 29.41% | 27.46% | 15.69% | 27.44% | 72.56% | 100.00% |
| Net Present Value (NPV) | 3.92% | 1.96% | 7.84% | 17.65% | 19.61% | 35.29% | 13.73% | 31.37% | 68.63% | 100.00% |
| Internal Rate of Return (IRR) | 1.96% | 1.96% | 5.88% | 9.80% | 29.41% | 29.42% | 21.57% | 19.60% | 80.40% | 100.00% |
| Utility Analysis | 3.92% | 0.00% | 1.96% | 7.84% | 13.73% | 43.14% | 29.41% | 13.72% | 86.28% | 100.00% |
| Balanced Scorecard | 3.92% | 1.96% | 1.96% | 9.80% | 15.69% | 43.14% | 23.53% | 17.64% | 82.36% | 100.00% |
| Opportunity Costs *(Consequences of not deploying the learning & development initiative)* | 3.92% | 1.96% | 0.00% | 7.84% | 9.80% | 35.30% | 41.18% | 13.72% | 86.28% | 100.00% |

The seventh variable B2) was the importance of specific measures of financial outcomes and in the measurement thereof, the researcher used a seven-point Likert Scale that offered seven different answer options ranged [0–6], which had items such as Traditional ROI; Cost/Benefit Analysis; Payback Period; Net Present Value; Internal Rate of Return; Utility Analysis; Balanced Scorecard; and Opportunity Costs. In this, participants were asked to indicate their response to the question in reference to the inclusion of specific measures of financial outcomes, "**How important is the following measure of financial**

**outcomes to evaluating the return on investment, for leadership development? If you are not sure or are not familiar with this financial measure, please circle N/A - Not sure - 0."** In the seventh variable, the item that scored the lowest at a crucial score of 13.17% was "Net Present Value (NPV)" with a mean score of 5.08 (*SD* = 1.48), followed closely by the second lowest scoring item at a crucial score of 15.69% being the evaluation "Payback Period". The response rate for this variable was 100% (*N* = 60). This section of the questionnaire was about the "the inclusion of specific measures of financial outcome".

The research participants indicated that when evaluating leadership development, it was least important to include the Net Present Value; furthermore, the inclusion of Payback Period is not critical in the evaluation process.

In the seventh variable, the item that scored the highest at a crucial score of 41.18% was "Opportunity Cost" with a mean score of 5.88 (*SD* = 1.45). The response rate for this variable was 100% (*N* = 60). This variable was followed very closely by the importance of "Utility Analysis" which is a measure that examines the relationship between productivity and job performance, at a crucial score of 29.41% with a mean score of 5.57 (*SD* = 1.36), followed closely by Return On Investment and Cost Benefit Analysis each with a crucial score of 27.45%.

In examining the combined scores ratings from Medium to Crucial Overall Scores, the importance of including "Return on Investment" as part of the evaluation was rated at an overall combined score of 92.16%, and the evaluation of "Cost Benefit Analysis" was rated at an overall combined score of 90.20%. The analysis further reconfirmed the importance of evaluating "opportunity cost" and "utility analysis" each at a combined score of 86.28%.

The highest and lowest responses to the seventh variable corroborate the findings of the first, second, third, fourth, fifth and sixth variables and further revalidates the point that leadership development should be evaluated at a social level using measures of societal

impact and should be evaluated at an economic level using measures of outcomes. At an economic level, to assess the impact using the measures of financial outcomes, it is important to include 1) opportunity cost; 2) utility analysis; 3) return on investment; and 4) cost benefit analysis. This evaluation should be done with the involvement of 1) the leader as the participant; 2) the direct reports of the leader; 3) the peers of the leader; and 4) the coach/mentor of the leader, and evaluation should include the following evaluation approaches 1) evaluated using multisource; 2) evaluating how effectively the leader is implementing what they learnt; 3) checking if the leader engaged differently post-development; and that the evaluation 4) should be qualitative, and in the analysis of organisational outcome influenced by the leader who has undergone the leadership development initiative, it is important to include the analysis of 1) organisational culture; 2) Individual leader or Group/team performance; 3) Employee engagement scores; and 4) OKRs.

| **Evaluation Approaches: C1. How important is the following measure of societal impact to evaluating the impact of leadership development at a social level? If you are not sure or are not familiar with this societal impact measure, please circle N/A - Not sure - 0.** | **Range** | **Minimum** | **Maximum** | **Mean** | **Std. Deviation** | **Variance** | **Cronbach's Alpha** | **Total Count of participants** |
|---|---|---|---|---|---|---|---|---|
| Anecdotal information (A factual claim relying only on personal observation. Example: stories that people tell about what has happened to them) | 1-7 | 1.00 | 7.00 | 5.59 | 1.43 | 2.05 | .92 | 100% |
| BBBEE Scorecard *(All elements of the Codes of Good Practice)* | 1-7 | 3.00 | 7.00 | 5.69 | 1.09 | 1.20 | .92 | 100% |
| BBBEE Scorecard (Skills Development) | 1-7 | 3.00 | 7.00 | 5.90 | 1.00 | 0.99 | .92 | 100% |
| BBBEE Scorecard (Socio-Economic Development) | 1-7 | 1.00 | 7.00 | 5.84 | 1.27 | 1.62 | .92 | 100% |
| BBBEE Scorecard (Enterprise & Supplier Development) | 1-7 | 2.00 | 7.00 | 5.78 | 1.16 | 1.35 | .92 | 100% |
| Activity and output based social impact surveys | 1-7 | 1.00 | 7.00 | 5.22 | 1.54 | 2.37 | .92 | 100% |
| Outcomes and impact based social impact surveys | 1-7 | 1.00 | 7.00 | 5.67 | 1.44 | 2.07 | .92 | 100% |
| Impact Benchmarking Assessments (https://b-analytics.net/) | 1-7 | 1.00 | 7.00 | 4.12 | 2.26 | 5.12 | .92 | 100% |
| Impact Benchmarking Assessments (https://bimpactassessment.net/) | 1-7 | 1.00 | 7.00 | 4.08 | 2.29 | 5.25 | .92 | 100% |

The reliability coefficient (Cronbach's alpha) for C1_Importance_of _Measures of Societal Impact, which was the measuring questionnaire for the importance of specific measures of societal impact to be included in evaluating the impact of leadership development being Anecdotal information; B-BBEE scorecard elements; activity and output based on social impact surveys; impact benchmarking assessments was .92, which was found to be Acceptable as the Cronbach's alpha coefficient was above the acceptable benchmark level of .70, as indicated above.

| **Evaluation Approaches: C1. How important is the following measure of societal impact to evaluating the impact of leadership development at a social level? If you are not sure or are not familiar with this societal impact measure, please circle N/A - Not sure - 0.** | N/A **Not Sure (0)** | 0% **Insignificant (1)** | 1-19% **Very Low (2)** | 20-39% **Low (3)** | 40-59% **Medium (4)** | 60-79% **High (5)** | 80-100% **Crucial (6)** | **Not Sure - to - Low Overall Score** | **Medium - to - Crucial Overall Score** | **Total** |
|---|---|---|---|---|---|---|---|---|---|---|
| Anecdotal information (A factual claim relying only on personal observation. Example: stories that people tell about what has happened to them) | 3.92% | 0.00% | 1.96% | 13.73% | 19.61% | 29.41% | 31.37% | 19.61% | 80.39% | 100.00% |
| BBBEE Scorecard *(All elements of the Codes of Good Practice)* | 0.00% | 0.00% | 1.96% | 17.65% | 15.69% | 39.21% | 25.49% | 19.61% | 80.39% | 100.00% |
| BBBEE Scorecard (Skills Development) | 0.00% | 0.00% | 1.96% | 9.80% | 13.73% | 45.10% | 29.41% | 11.76% | 88.24% | 100.00% |
| BBBEE Scorecard (Socio-Economic Development) | 1.96% | 1.96% | 3.92% | 3.92% | 5.88% | 54.91% | 27.45% | 11.76% | 88.24% | 100.00% |
| BBBEE Scorecard (Enterprise & Supplier Development) | 0.00% | 1.96% | 1.96% | 7.84% | 25.49% | 29.42% | 33.33% | 11.76% | 88.24% | 100.00% |
| Activity and output based social impact surveys | 3.92% | 5.88% | 5.88% | 3.92% | 23.53% | 43.14% | 13.73% | 19.60% | 80.40% | 100.00% |
| Outcomes and impact based social impact surveys | 3.92% | 1.96% | 1.96% | 7.84% | 11.76% | 45.11% | 27.45% | 15.68% | 84.32% | 100.00% |
| Impact Benchmarking Assessments (https://b-analytics.net/) | 25.49% | 11.76% | 0.00% | 1.96% | 21.57% | 27.46% | 11.76% | 39.21% | 60.79% | 100.00% |
| Impact Benchmarking Assessments (https://bimpactassessment.net/) | 29.41% | 7.84% | 0.00% | 1.96% | 17.65% | 35.30% | 7.84% | 39.21% | 60.79% | 100.00% |

The eighth variable C1) was the importance of specific measures of societal impact and in the measurement thereof, the researcher used a seven-point Likert Scale that offered seven different answer options ranged [0–6], which had items i.e. Anecdotal information; B-BBEE scorecard (All the elements of the codes of good practice); B-BBEE scorecard (Skills Development); B-BBEE scorecard (Socio-Economic Development); B-BBEE scorecard (Enterprise & Supplier Development); activity and output based on social impact surveys; and impact benchmarking assessments. Participants were asked to indicate their response to the question in reference to the inclusion of specific measures of societal impact, "**How important is the following measure of societal impact to evaluating the impact of leadership development at a social level? If you are not sure or are not familiar with this societal impact measure, please circle N/A - Not sure – 0".** In the eighth variable, the item that scored the lowest at a crucial score of 7.84% was "impact benchmarking assessment – *b-analytics*" with a mean score of 4.12 (*SD* = 2.26), followed closely by the second lowest scoring item at a crucial score of 11.76% being the evaluation "impact benchmarking assessment *b-impact assessment*". The response rate for this variable was 100% (*N* = 60). This section of the questionnaire was about the "the inclusion of specific measures of societal impact".

The research participants indicated that when evaluating leadership development, it was least important to include societal impact benchmarking assessments.

In the eighth variable, the item that scored the highest at a crucial score of 33.33% were "B-BBEE Scorecard (Enterprise & Supplier Development)" with a mean score of 5.78 (*SD* = 1.16). The response rate for this variable was 100% (*N* = 60). This variable was followed closely by the importance of "Anecdotal information", at a crucial score of 31.37% with a mean score of 5.59 (*SD* = 1.43). This was followed closely by B-BBEE Scorecard (Skills Development) at a crucial score of 29.41%. In examining the combined scores ratings from Medium to Crucial Overall Scores, the importance of including the "B-BBEE scorecard elements" as part of the evaluation was rated at an overall combined score of 88.24% for each of the elements i.e., skills development; socio-economic development and enterprise & supplier development, was further emphasized.

The highest and lowest responses to the eighth variable further concretize and corroborate the findings of the first, second, third, fourth, fifth, sixth and seventh variables and reaffirms the point that leadership development should be evaluated at a social level using measures of societal impact and should be evaluated at an economic level using measures of outcomes. In conducting evaluation at a social level, it is important to include Anecdotal information and the B-BBEE scorecard elements as measures of societal impact. At an economic level, to assess the impact using the measures of financial outcomes, it is important to include 1) opportunity cost; 2) utility analysis; 3) return on investment; and 4) cost benefit analysis. This evaluation should be done with the involvement of 1) the leader as the participant; 2) the direct reports of the leader; 3) the peers of the leader; and 4) the coach/mentor of the leader. Evaluation should include the following evaluation approaches: 1) evaluated using multisource; 2) evaluating how effectively the leader is implementing what they learnt; 3) checking if the leader engaged differently post-development; and that the evaluation 4) should be qualitative. In the analysis of organisational outcome influenced by the leader who has undergone the leadership development initiative, it is important to include the analysis of 1) organisational culture; 2) Individual leader or Group/team performance; 3) Employee engagement scores; and 4) OKRs.

| **D1. Which criteria would be most important in determining the most effective approach of evaluating the impact of leadership development initiatives? Rank the following ten items (including your specified 'other' item) in order of importance: 1 is most important; 10 is least important. Drag and drop items in the list below, in your order priority.** | **Minimum** | **Maximum** | **Mean** | **Std. Deviation** | **Variance** | **Cronbach's Alpha** | **Total Count of participants** |
|---|---|---|---|---|---|---|---|
| Simple | 1.00 | 10.00 | 3.65 | 2.82 | 7.95 | .87 | 100% |
| Be appropriate for a variety of programs | 1.00 | 10.00 | 5.88 | 2.62 | 6.85 | .87 | 100% |
| Economical | 2.00 | 10.00 | 6.63 | 2.64 | 6.98 | .87 | 100% |
| Be applicable with all types of data | 1.00 | 10.00 | 6.59 | 2.22 | 4.91 | .87 | 100% |
| Credible | 1.00 | 9.00 | 2.98 | 2.23 | 4.96 | .87 | 100% |
| Include program costs | 1.00 | 10.00 | 7.18 | 2.41 | 5.79 | .87 | 100% |
| Theoretically sound | 1.00 | 10.00 | 4.43 | 2.62 | 6.87 | .87 | 100% |
| Have a successful track record | 2.00 | 10.00 | 6.94 | 2.24 | 5.00 | .87 | 100% |
| Account for other factors | 2.00 | 10.00 | 6.76 | 2.27 | 5.16 | .87 | 100% |
| Evaluation should be done across all three levels of the triple bottom line (Social, Environmental, Economic) | 1.00 | 10.00 | 3.96 | 2.38 | 5.65 | .87 | 100% |

The reliability coefficient (Cronbach's alpha) for D1_Evaluation_Approach_Criteria, which was the measuring questionnaire for the criteria considered the most important in designing and selecting the approach to be used for evaluating the impact of leadership development initiatives, namely simple; be appropriate for a variety of programs; economical; be applicable with all types of data; credible; include program costs; theoretically sound; have a successful track record; account for other factors; evaluation should be done across all three levels of the triple bottom line was .87, which was found to be Acceptable as the Cronbach's alpha coefficient was above the acceptable benchmark level of .70, as indicated above.

| **D1. Which criteria would be most important in determining the most effective approach of evaluating the impact of leadership development initiatives? Rank the following ten items (including your specified 'other' item) in order of importance: 1 is most important; 10 is least important. Drag and drop items in the list below, in your order priority.** | **1 Most Important** | **2** | **3** | **4** | **5** | **6** | **7** | **8** | **9** | **10 Least Important** | **Total** |
|---|---|---|---|---|---|---|---|---|---|---|---|
| **Simple** | **29%** | **20%** | **12%** | **10%** | 4% | 8% | 2% | 4% | 8% | 4% | 100% |
| Be appropriate for a variety of programs | 4% | 10% | 6% | 14% | 14% | 10% | 10% | 14% | 10% | 10% | 100% |
| Economical | 0% | 12% | 8% | 6% | 4% | 12% | **14%** | **16%** | **14%** | **16%** | 100% |
| Be applicable with all types of data | 2% | 2% | 2% | 14% | 14% | 12% | 22% | 12% | 8% | 14% | 100% |
| **Credible** | **33%** | **24%** | **14%** | **6%** | 8% | 6% | 2% | 6% | 2% | 0% | 100% |
| Include program costs | 4% | 2% | 4% | 6% | 6% | 10% | **14%** | **22%** | **16%** | **18%** | 100% |
| **Theoretically sound** | **8%** | **16%** | **31%** | **2%** | 14% | 10% | 2% | 4% | 8% | 6% | 100% |
| Have a successful track record | 0% | 2% | 10% | 6% | 8% | 14% | **14%** | **14%** | **24%** | **10%** | 100% |
| Account for other factors | 0% | 2% | 2% | 14% | 22% | 6% | **20%** | **8%** | **6%** | **22%** | 100% |
| **Evaluation should be done across all three levels of the triple bottom line (Social, Environmental, Economic)** | **20%** | **12%** | **12%** | **24%** | 8% | 14% | 2% | 2% | 6% | 2% | 100% |
| **Total** | **100%** | **100%** | **100%** | **100%** | **100%** | **100%** | **100%** | **100%** | **100%** | **100%** | **100%** |

The ninth variable and final variable D1) was the evaluation approach criteria and in the measurement thereof, the researcher used a ten-point ranking scale that offered a ranking from 1 most important and 10 least important, with the different answer options ranged [1–10], which had items i.e. simple; be appropriate for a variety of programs; economical; be applicable with all types of data; credible; include program costs; theoretically sound; have a successful track record; account for other factors; evaluation should be done across all three levels of the triple bottom line.

In this, participants were asked to indicate their response to the question in reference to the criteria that should be used in determining the most effective approach, "**Which criteria would be most important in determining the most effective approach of evaluating the impact of leadership development initiatives? Rank the following ten items (including your specified 'other' item) in order of importance: 1 is most important; 10 is least important. Drag and drop items in the list below, in your order priority".** In the ninth variable, the bottom 4 items that scored the lowest rankings were "include program costs" at a combined 7-10 least important ranking score of 69% and a

mean score of 7.18 (*SD* = 2.41); “have a successful record” at a combined 7-10 least important ranking score of 61% and a mean score of 6.94 (*SD* = 2.24); “economical” at a combined 7-10 least important ranking score of 59% and a mean score of 6.63 (*SD* = 2.64); “account for other factors” at a combined 7-10 least important ranking score of 55% and a mean score of 6.76 (*SD* = 2.27). The response rate for this variable was 100% (*N* = 60). This section of the questionnaire was about the “criteria which is considered the most important in designing and selecting the approach to be used for evaluating the impact of leadership development initiatives”.

The research participants indicated that when evaluating leadership development, it was least important to use a tool that includes program costs; has a successful record; economical; and accounts for other factors.

In the ninth variable, the top 4 scoring items which scored the highest rankings were “credible” at a combined 1-4 most important ranking score of 76% and a mean score of 2.98 (*SD* = 2.23); “simple” at a combined 1-4 most important ranking score of 71% and a mean score of 3.65 (*SD* = 2.82); “evaluation should be done across the three levels of the triple bottom line” at a combined 1-4 most important ranking score of 67% and a mean score of 3.96 (*SD* = 2.38); “theoretically sound” at a combined 1-4 most important ranking score of 57% and a mean score of 4.43 (*SD* = 2.62).

The highest and lowest responses to the ninth variable, aid in the design of an appropriate leadership development evaluation approach which is informed by the findings of the first, second, third, fourth, fifth, sixth, seventh and eighth variables and that assert that leadership development should be evaluated at a social level using measures of societal impact, and should be evaluated at an economic level, using measures of outcomes. In conducting evaluation at a social level, it is important to include Anecdotal information and the B-BBEE scorecard elements as measures of societal impact. At an economic level, to assess the impact using the measures of financial outcomes, it is important to include 1) opportunity cost; 2) utility analysis; 3) return on investment; and 4) cost benefit analysis.

This evaluation should be done with the involvement of 1) the leader as the participant; 2) the direct reports of the leader; 3) the peers of the leader; and 4) the coach/mentor of the leader, and evaluation should include the following evaluation approaches: 1) evaluated using multisource; 2) evaluating how effectively the leader is implementing what they learnt; 3) checking if the leader engaged differently post-development; and that the evaluation 4) should be qualitative. In the analysis of organisational outcome influenced by the leader who has undergone the leadership development initiative, it is important to include the analysis of 1) organisational culture; 2) Individual leader or Group/team performance; 3) Employee engagement scores; and 4) OKRs.

The findings highlight the importance of having a leadership development evaluation approach that is 1) credible; 2) simple; 3) enables the evaluation to be done across all three levels of the triple bottom line; and an approach that is 4) theoretically sound.

**In Summary,** this chapter discussed the findings of the data gathered. The findings are used in next chapter, for the purposes of theory development.

# CHAPTER FIVE: THEORY DEVELOPMENT

## 5.1 CHAPTER INTRODUCTION

This chapter pertains to the theory development and contributions to the academic body of knowledge. In this research study, a theoretical contribution is made that has been generated in this case study research using grounded theory. Combining Case Study methods together with Grounded Theory and Evaluation Theory provides synergies that enable rigorous as well as reliable iterative data collection and analysis through which themes and emerging theory are generated (Arshad, Ahlan & Ibrahim, 2013).

A theoretical contribution in this research study is provided to explain how the impact of leadership development should be evaluated. A proposed holistic leadership development impact evaluation approach is presented as an evaluation framework with underlying principles used to explain what informs the framework and how the framework may be applied in the evaluation of leadership development initiatives within the context of corporate leadership in South Africa. This contribution evolved through making sense of what research participants had said through data analysis and interpretation, using thematic analysis and grounded theory to conceptualize what was said, reducing data, elaborating and then relating data and themes to integrate them as an emergent model or a theory (Arshad, Ahlan & Ibrahim, 2013).

As asserted by Chun Tie, Birks and Francis (2019), “the hallmark of grounded theory is the generation of theory ‘abstracted from, or grounded in, data generated and collected by the researcher”.

Grounded theorists concentrate on the meanings that people make (Flick, 2014) pertaining to the situation they are directly or indirectly involved in. The researcher in this study was interested in the meanings, perceptions and perspectives that stakeholders have regarding the impact evaluation of leadership development initiatives.

## 5.2 THEORY DEVELOPMENT

Theory development in the context of grounded theory, according to Charmaz (2008), refers to systematic inductive methods of developing theory through data that has been systematically gathered and analysis done through comparative methods. In this, theories are constructed directly from data analysis, through the use of systematic analytic strategies which integrate flexibility together with explicitness (Charmaz, 2008).

The theory generation in this research study was done using grounded theory and program theory, whereby theory was generated through a meticulous process of constant application of essential grounded theory methods which continued to be refined throughout the data gathering and analysis process, thereby producing the final emergent results being theory generated which explains the process related to a particular phenomenon, in this case being the process of evaluating the holistic impact of leadership development initiatives.

Pragmatism as the primary research paradigm in which this research is anchored, is applied as a basis in which theory in this research study is generated through grounded theory. In pragmatism, researchers focus more on the consequences of actions arising from a set of beliefs as opposed to arguing about whether something is true or not (Morgan, 2020).

In the pragmatic approach of grounded theory, induction is replaced with abduction. Abduction refers to reasoning from observation in order to generate a hypothesis. Instead of the reliance on prior knowledge or prior observation to repeat itself in the future; abduction as applied in pragmatism is the creation of a hypothesis through the production of new insights (Morgan, 2020).

**Example of theory generation, using the pragmatic lens of grounded theory:**

The pattern of abduction can be summarized as follows:

**Observation:** The dog at the scene of the crime did not bark at the criminal.

**Insight:** The criminal must have been known to the dog.

**Further Implications:** The criminal could be a member of the victim's household, etc." (Morgan, 2020).

**Example of theory generation – for this research study, using the pragmatic lens of grounded theory:**

**Question:** How should leadership development be evaluated?

**Verbatim Response:** Interviewee: [00:06:53] So dependent on what level we are talking about the leadership.

Interviewee: [00:06:58] but if you if you design it very consciously against, you know the business strategy, you know, you can pinpoint organizational performance as a as a matrix and pinpoint culture a sentiment's, you know, as a as a matrix so differently, you know, business performance culture measurements and then also, you know, maybe feedback from peers and subordinates.

Interviewee: [00:08:00] What was the measurement before and then what was the measurement afterwards to see to see, you know, what the difference is and potentially what the impact could be

**Insight:** The role of a leader is multifaceted, and the impact may be demonstrated on various levels.

**Further Implications:** It is important to isolate the effects of the leadership development initiative, to link and articulate the impact. (Chapter 4, section 4.5.).

The above example does not denote an exclusion of the relevance of prior research conducted, as much of this research study is anchored on prior literature and research. Heydarian (2016) asserts that a review of the literature and qualitative data aids in the process of data collection and analysis. Constant review of the literature related to leadership development, leadership studies and program evaluation was an essential part

of the theory generation process, conducted throughout the data collection as well as data analysis phases of both the qualitative as well as quantitative research phases of this research study.

Grounded Theory results are "communicated as a set of concepts, related to each other in an interrelated whole, and expressed in the production of a substantive theory" (Chun Tie, Birks & Francis, 2019).

The theoretical academic contribution to the body of knowledge, positioned in this paper as a result of the research conducted is outlined in section 5.3 and is based on the findings of this research based on six areas, namely:

1. The current approaches to leadership development impact evaluation are a self-fulfilling prophecy, and they lack stakeholder engagement and alignment. Organizations are not making deliberate or proactive efforts to ensure that the current evaluation approaches are not a case of a self-fulfilling prophecy and this needs to change, due to not only the large quantum of funding invested in leadership development but also because of the critical role that leaders play in organizations and the society (as explained in Chapter 4, section 4.3.1.).
2. Leadership, as well as leadership development is complex and multifaceted (as explained in Chapter 2, section 2.4.2. and section 2.4.7).
3. The impact of leadership development touches beyond the leader, it extends to groups, teams, the organization, and the wider society; and as such the approach to evaluating impact should encompass various levels (as explained in Chapter 2, section 2.4.8, and Chapter 4, section 4.3.2).
4. The evaluation of leadership development should incorporate various measures of outcomes, measures of societal impact, should be multisource; should be qualitative and quantitative; should evaluate how effectively leaders are implementing what they have learnt; should check if leaders engaged differently (as explained in Chapter 4, section 4.5).
5. The evaluation approach should be able to isolate the impact of development, as leadership behavior is multi-dimensional (as explained in Chapter 4, section 4.5).

6. An important criterion in determining the most effective approach of evaluating the impact of leadership development initiatives is that the evaluation approach should be 1) credible; 2) simple; 3) evaluation should be done across the three levels of the triple bottom line, and 4) should be theoretically sound (as explained in Chapter 4, section 4.5).

Section 5.3. below presents a holistically integrated leadership development evaluation approach that has been developed as a result of this research study.

### 5.2.1 Anchoring the Theory Development in Evaluation Philosophy

In developing theory, this search study makes use of a learner performance-centred evaluation philosophy, which is anchored on adult learning theories and evaluation theory. In this evaluation philosophy, the sole focus and emphasis is the impact that the learning translates into, rather than being learning-focused or split-focused, meaning focused on measuring learning acquired and retained – as done in previous learning evaluation methodologies i.e. Kirkpatrick.

In this regard, the researcher advocates for a position of value generated through impact and argues that acquiring knowledge and retaining knowledge are meaningless if they do not translate into impact, and as such, evaluation in leadership development should be focused on measuring the impact.

The origins of the principles associated with a learner-centred approach are linked to the constructivism school of thought (Piaget, 1973; Vygotsky, 1978) which opposes the practices associated with the ‘teacher-as-expert’ approach and sees learners as active thinkers that bring prior knowledge to construct meaning from their contextual environments

A learner performance-centred evaluation philosophy can be seen as contrary to a teacher performance centred evaluation philosophy, where emphasis is on the performance of the

teacher and their ability to employ effective teaching strategies to aid the transfer of knowledge.

## 5.3 POSITIONING OF THE PROPOSED EVALUATION APPROACH

The evaluation approach positioned in this research is based on program theory and theory-based evaluation and moves towards encouraging the application of theory-driven (TD) program evaluation whilst advocating for the involvement of key business stakeholders in the evaluation process. Rogers, Petrosino, Huebner and Hacsi (2000:5) defined theory-driven program evaluation as an "explicit theory or model of how the program causes the intended or observed outcomes and an evaluation that is at least partly guided by this model". Historically program theory tends to be developed largely by those primarily associated with the program, usually being practitioners and evaluators and in doing so, intentionally and unintentionally excludes key stakeholders (Rogers, Petrosino, Huebner & Hacsi, 2000).

In the proposed leadership development impact evaluation framework, emphasis is placed on the involvement of key stakeholders in the evaluation process as being essential. This is because, "the collaboration between practitioners/ researchers/ evaluators and stakeholders is of paramount importance for successful evaluation, this means providing diverse stakeholders with opportunities to witness and engage with the "steps" of evaluation" (Havaei & MacPhee, 2015:67).

### 5.3.1 Anchoring the proposed evaluation approach on Learning Theory

Evaluation in learning and development initiatives has been researched extensively and various frameworks, theories and models have emerged as the literature reveals throughout this research paper, in particular in chapter two. A gap still exists in the evaluation of management and leadership development (Hirsh, Tamkin, Garrow & Burgoyne, 2012) and more specifically in impact evaluation thereof.

This research postulates that the success indicator for learning and development for leaders is not demonstrated through how much knowledge the leader has acquired, but through the impact that the newly acquired knowledge has, and as such, the impact of leadership development initiatives cannot be illustrated through testing for knowledge acquisition or retention but through demonstrated impact. Furthermore, the evaluation of leadership development needs be focused on impact, as that is where the results matter the most, unlike other forms of learning and development where the acquisition of knowledge and the transfer of learning is seen as critical elements in the evaluation process. Leadership development evaluation should be more concerned with the impact that the learning intervention has translated into.

As evidenced in the research findings with the lowest at a crucial score of 9.09% being "measures of learning" with a mean score of 4.11 (SD = 1.26), the research suggests that the Reaction to learning (Level 1 of Kirkpatrick) and Learning acquisition and transfer (Level 2 of Kirkpatrick) are not pertinent to the evaluation of leadership development initiatives, as participants of learning interventions at a leadership level are adult learners, and in accordance with the theory of adult learning or "Andragogy" and in line with the adult learning principles, as pioneered by Knowles (1980):

- Adults are motivated to learn by internal factors, are autonomous and self-directed learners.
- Adults draw on their life experiences and "institutionalized" knowledge acquired over time and integrate this into new learning acquired in a practical realm for benefit realization.
- Adult learners are goal-orientated; problem focused; want to apply new learning immediately and have a need to see the "fruits" of their learning.
- Adult learners have an appreciation for enablement learning, meaning that adult learners are practical learners, will focus more energy, effort and attention towards that which will prove most useful to them, within their work environment.
- Adult learners are goal-oriented learners who embark on learning aligned to their life stage.

- Adult learners take on transformative learning journeys. Transformative learning (TL) as propounded by Mezirow (2000) in transformative learning theory refers to individual transformation attributed to perspectives acquire through the learning process, in essence learning which changes the way an individual thinks about their world and about themselves, and this involves a shift of consciousness.

The research therefore proposes that for the holistic impact of leadership development to be effectively evaluated, evaluation should be done at 3 levels (meso-leadership level; micro-leadership level; and macro-leadership level).

Leadership is a complex phenomenon as explained in literature review in chapter 2. The success of a leader is experienced inside out and is dependent on the influence as well as the impact of that leader. The impact that leadership has as such touches on various layered aspects of the leader themselves, how they perform as individuals as well as the influence and impact that the leader has on others around them. Furthermore, how they perform, and the performance of the team is reflected in the organization's performance and how the society experiences and or views that organization. The success and performance of the leader is commonly reflected from the outside in, meaning first externally through the organization, secondly internally through the team, and lastly through the leader themselves. As such, it is proposed that the impact of leadership development can be evaluated holistically through the proposed leadership impact evaluation approach.

### 5.3.2 Anchoring the proposed evaluation approach on Evaluation Theory

The focus of this research study is on examining the impact evaluation approaches for leadership development initiatives. At the centre of the study is evaluation theory. In the process of understanding evaluation theory, it helps to visualize the philosophical roots that underpin evaluation.

Christie and Alkin (2019) provide a visual view of evaluation theory in the form of an evaluation theory tree, as depicted in Figure 3 below.

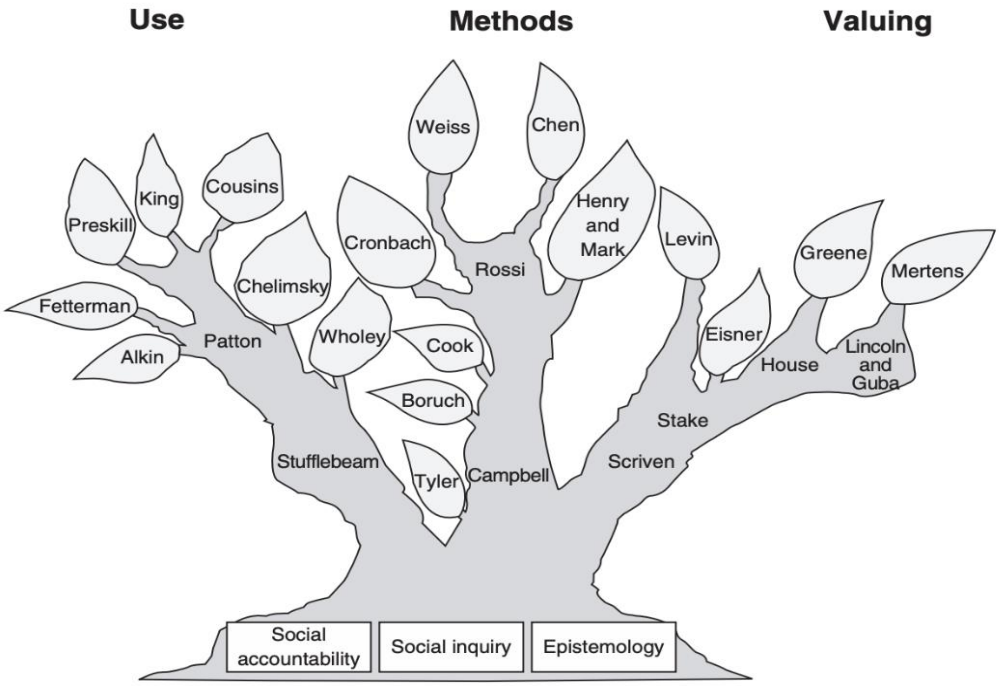



**Figure 3: Evaluation Theory Tree (Christie & Alkin, 2019)**

The philosophical foundations of evaluation theory are underpinned by, 1) Social Accountability; 2) Social Inquiry; and 3) Epistemology. The branches are not exclusively independent of each other and in no way does one branch maintain sole relation to the philosophical root. However, each branch does draw strength for each of the philosophical foundations. The diagram is meant to provide a view of relationality between the theories. The Social Accountability "gives birth" to the "use" branch; Social Enquiry "gives birth" to the "methodologies branch"; and Epistemology "gives birth" to the "valuing" branch. Each branch "grows" with contributions of scholars and theorists that have constructed essential theories that enabled the advancement of each respective sphere. This research study is anchored on the philosophical grounding of all three spheres.

**Social Accountability:** Evaluation theorists strongly recognize and acknowledge the notable importance of accountability so far as evaluation is concerned. Accountability in its simplest form refers to the process of being accounted for or answerable or "giving an account" (Christie & Alkin, 2019). This part of the tree places emphasis on "use" or the manner in which the information gathered from the evaluation will be used and more specifically on the "users". As categorised by Alkin (1972a), accountability can be grouped into three types of accountability:

(1) **Goal Accountability:** relates to appropriate and reasonable goals set. In this research study, there is emphasis on leadership effectiveness in the literature review phase of the research, further accentuated through engaging research participants on what effective leadership development looks like as well as goals for evaluation.

(2) **Process Accountability:** relates to whether reasonable and appropriate procedures are in place to enable the attainment of the goals. Through the qualitative interviews and quantitative online survey this study focused on understanding the current approaches and process of evaluating the impact of leadership development, as well as who was and who should be involved in the process of evaluation.

(3) **Outcome Accountability:** relates to the extent to which the set goals have been attained (Christie & Alkin, 2019). This study focused on understanding what would constitute a holistic impact evaluation approach as well as what the outcomes of a successful leadership development initiative would look like.

To this end, the study drew on social accountability in the qualitative and quantitative research process, through the strong emphasis on proactively engaging with various stakeholders who have a vested interest in leadership development, to gain their perspectives and solicit their views on how the impact evaluation of leadership development should be approached. Having done this, the proposed leadership impact evaluation framework places emphasis on "users" who should be involved in the evaluation process and the "use" or how the evaluation framework should be used.

**Social Enquiry:** relates to a study to understand social interaction behaviour, or why people act the way they do in their respective groupings. It is defined by Christie and Alkin (2013:15) as, "the systemic study of the behaviour of groups of individuals in various social settings by a variety of methods". A perennial focus in social inquiry is on the identification of appropriate methodologies in reference to specific social phenomena being studied. As such, "the central branch of the evaluation tree grows from the social inquiry root" (Christie & Alkin, 2013:12). In reference to this specific research study, it is important to note that:

(1) The primary focus of this research study was on appropriate evaluation methodologies that enable holistic impact evaluation. The study posits that the proposed leadership impact evaluation framework is aimed at contributing to social enquiry and is an addition to the "methods" branch of the evaluation tree.

(2) The leadership impact evaluation framework draws much of its strength from both the "use" branch and the "valuing" branch, in order to produce a holistic impact evaluation approach.

**Epistemology:** addresses the nature of knowledge and is where most philosophical literature can be found, which entails discussions of paradigms related to evaluation. A paradigm, according to Mathison (2005) as cited in Christie and Alkin (2013:16), refers to, " a worldview or perspective that, in the case of research and evaluation, includes conceptions of methodology, purposes, assumptions, and values . . . that typically consists of an ontology (the nature of reality), an epistemology (what is knowable and who can know it), and a methodology (how one can obtain knowledge)". This part of the tree emphasizes the critical role that valuing plays in evaluation, in essence the importance of placing value on the subject of the evaluation. Epistemology discussions pertaining to evaluation are centred on post-positivism, pragmatism or constructivism. Linking to this specific research study it is important to note that:

(1) In accordance with this research study approach, at metatheoretical level the paradigm adopted for the research was and remained throughout the research project the pragmatic paradigm. The pragmatic view asserts that truth is relative.

(2) Objectivity and subjectivity are embraced, in relation to this research study, in the proposed leadership development impact evaluation framework, where evaluation can be done objectively and subjectively at three levels.
(3) The application of inductive and or deductive logic is acceptable, and the approach towards truth seeking is that which is deemed most suitable to answer the enquiry. In relation to this research study, in the proposed leadership development impact evaluation framework, the assertion is made that the impact of leadership development can be evaluated through a non-linear approach, can start and continue at stage, and is a shifting process.

## 5.4 THE LEADERSHIP IMPACT ONION EVALUATION FRAMEWORK

The proposed evaluation approach is described as "The Leadership Impact Onion Evaluation Framework". The naming convention reflects the layered levels approach.

Due to 1) the nature of leadership being evolving (Hunt, LaVonne & Fedynich, 2018); 2) the learning and development of a leader being an evolving journey that never stops (Eerkens, Vaughn & Kantner, 2010); and 3) that the impact of leadership development does not follow a linear path (Hirsh, Tamkin, Garrow & Burgoyne, 2012), the circular framework of evaluation is found fit for purpose. The evaluation itself can start and continue at any stage and is a process of metamorphosis. Learning and development starts from the inside and devolves outward, where obvious performance tends to be palpable and commonly seen from the outside drawing inwards as a reflection of what is occurring internally.

In the proposed framework evaluation is layered and not positioned in stages as the proposed approach to evaluating impact is not sequential; it can start anywhere; may occur concurrently; and is informed by the need to evaluate. It is important to identify and differentiative between the specific programs that require evaluation as evidenced in the data collected in this research where research participants indicated that not all

programs require the same level of evaluation effort. Winston (1991) argues that the time and skills required to evaluate programs may not always be available or justifiable.

The notion of "levels" of impact has been found to be a valuable design for impact evaluation (Hirsh, Tamkin, Garrow & Burgoyne, 2012). There are three layers of importance outlined in the proposed framework, stating that in the evaluation of leadership development impact can be assessed at a 1) Micro-Level; 2) Meso-Level; and 3) Macro-Level. The levels are not sequenced, although one may contribute to the other, and the evaluation process may run in parallel. The reason for including the three levels is based on the outcomes of the research study as explained in chapter four section 4.5, which notes that it is important to evaluate leadership development across different levels of scope, primarily the people level scope with a 63% crucial score and economic level scope with a 54% crucial score. The Meso, Micro and Macro levels incorporate evaluation fundamentally from a people lens and economic lens.

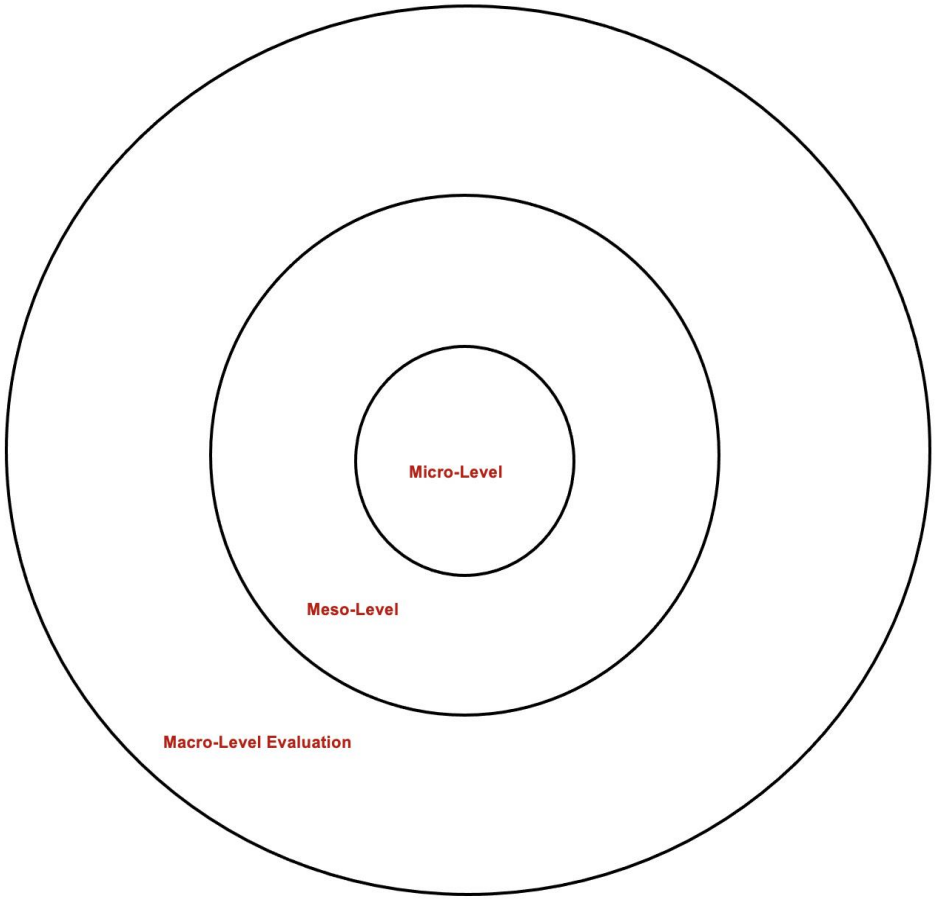



**Figure 4: The Leadership Impact Onion Evaluation Framework**

The underlying process of evaluation which forms the foundation of the Leadership Impact Onion Evaluation Framework is the Centre for Creative Leadership evaluation process which states that the evaluation of leadership development starts with 1) gathering information, planning, and conceptualizing; 2) collecting and analyzing data; 3) interpreting and communicating findings; and 4) implementing changes and sharing lessons learnt (Patterson et al., 2017). This is integrated in the proposed framework as an invisible circular lining that holds together the leadership evaluation onion framework as demonstrated below in Figure 5.

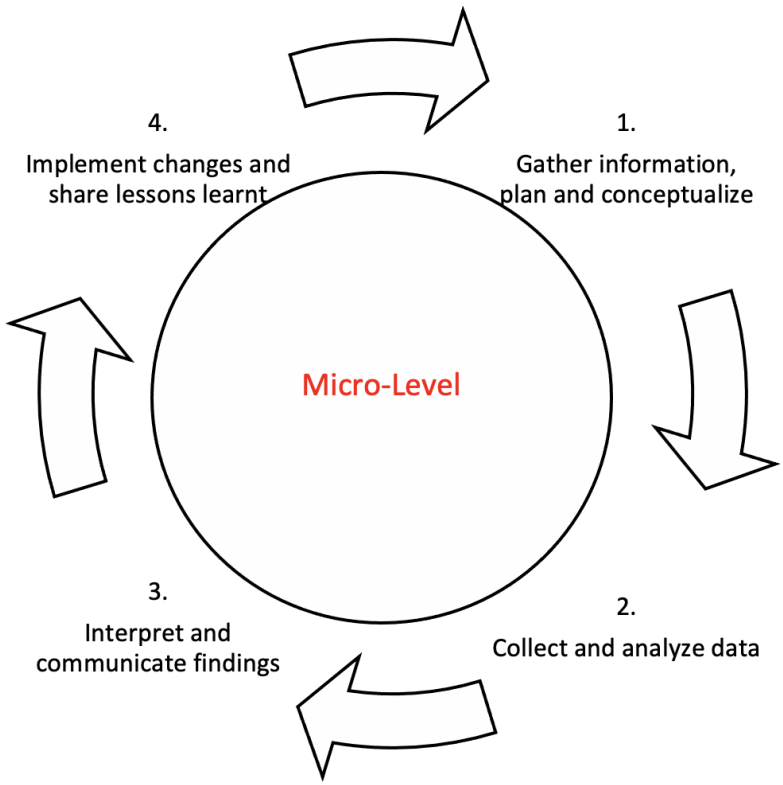



**Figure 5: The Leadership Impact Onion Evaluation Framework: Underlying process "the invisible circular lining"**

### 5.4.1 Micro-Level Leadership (Intrapersonal) – Personal Excellent Impact

To be a great leader of others, one first needs to be a leader of self. Before a leader can influence organizational success, they need to effectively steer their team towards achieving a common vision and to achieve team success, its starts with the leader's ability to achieve their own goals and be able to lead themselves effectively. This aligns with the school of thought that, "leadership requires self-leadership" (Furtner, Baldegger & Rauthmann, 2013).

Micro-Level is defined by Jilke, Olsen, Resh and Siddiki (2018:1) as, "research which examines individuals and individual level interactions of various kinds, including, for example, people's intentions, feelings, and beliefs", whereas Sallum Jr. (2005) as cited by Serpa & Ferreira (2019:122) defines Micro-level as relating to, "individual agents and

interactive processes". Mauldin (2020) defines Micro-Level as research studies that focus on the individual.

From the aforementioned it is clear that Micro-level deals with research studies that are focused on the individual (Mauldin, 2020) and seek to understand various individual-level interactions (Jilke, Olsen, Resh & Siddiki, 2018). For the purposes of this research study, this definition is therefore applied in reference to micro-level analysis within the proposed leadership development evaluation framework.

The evaluation of leadership development impact at this level is directed towards the individual. The intention is to identify evidence of impact linked to the leader as an individual. At this level, evaluation looks at markers of effect which are as a result of the individual leader having participated in the leadership development initiative.

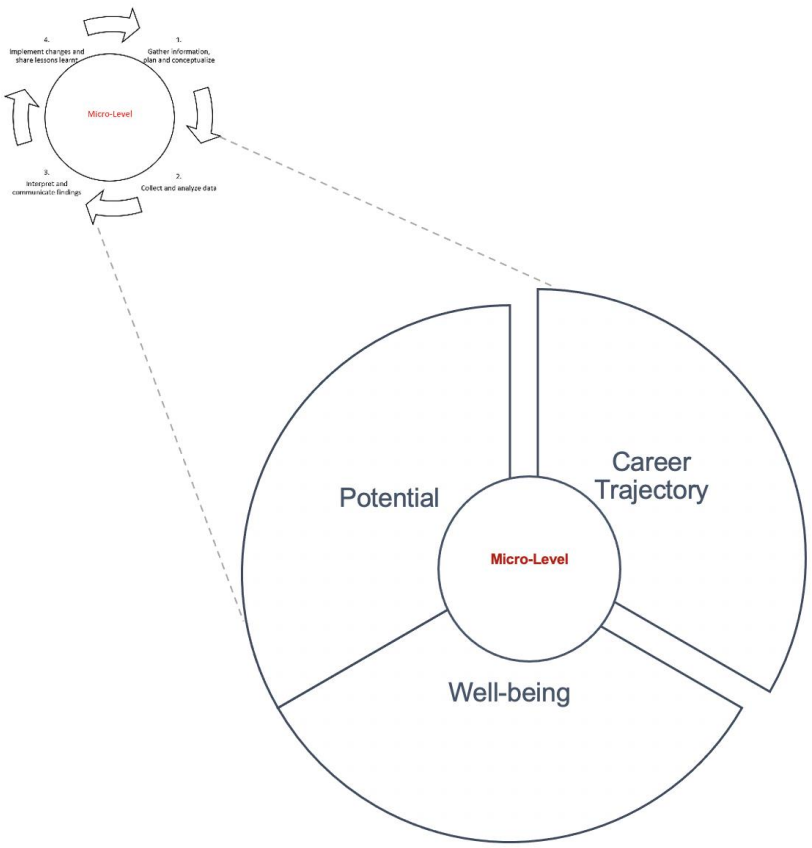



**Figure 6: The Leadership Impact Onion Evaluation Framework: Micro-Level**

The impact of leadership development at this level relates to the internal impact that occurs within the leader in an intrapersonal sphere. This is impact occurring internally within the individual leader. The impact manifests itself through various demonstrated behaviours which can be evidenced through, 1) Demonstrated Potential; 2) Well-being; and 3) Career Trajectory, amongst others.

| Contributions from this research study | | Link to existing theory |
|---|---|---|
| **Micro-Level Sphere** | **Evidence tools** | |
| Career Trajectory | • Talent Matrix, 9 Box Grid Mapping<br>• Individual Development Plan<br>• Performance Review Ratings<br>• Utility Analysis | • Adult Learning Theory<br>• Behaviourism Learning Theory<br>• Situational Leadership Theory<br>• Behavioural Leadership Theory<br>• Change Theory<br>• Growth Mindset<br>• Purposeful Program Theory<br>• Theory Based Evaluation<br>• Transformative learning theory |
| Potential | • Psychometrics<br>• Learning Agility<br>• Individual Leader Engagement | |
| Well-Being | • Emotional Well-Being<br>• Mental Well-Being<br>• Physical Well-Being<br>• Financial Well-Being | |

### 5.4.2 Meso-Level Leadership (Interpersonal) – Squad Impact

Meso-Level is defined by Jilke, Olsen, Resh and Siddiki (2018:1) as, "research that examines the study of groups, including teams, units, and organizations" whereas Pires (2014) as cited by Serpa & Ferreira (2019:122) defined Meso-level as a, "constitution of groups, movements, associations, groups" and Mauldin (2020) defined Meso-Level as research focused on studying, the interactivity between groups and their related experiences.

From the aforementioned it is clear that Meso-level deals with studying groups such as units and teams (Jilke, Olsen, Resh and Siddiki, 2018) in order to understand their experiences in relation to their interactions, constitution, and movements (Mauldin, 2020). For the purposes of this research study, this definition is therefore applied in reference to meso-level analysis within the proposed leadership development evaluation framework.

At a meso-level, what is visible is the culture of the organization through the performance of the team and the behaviours demonstrated by the team being led. At this level,

evaluation is looked at from the impact that leaders have on others, and from the perspective of the social relational aspect where focus is placed on what the leader can get others to do and achieve.

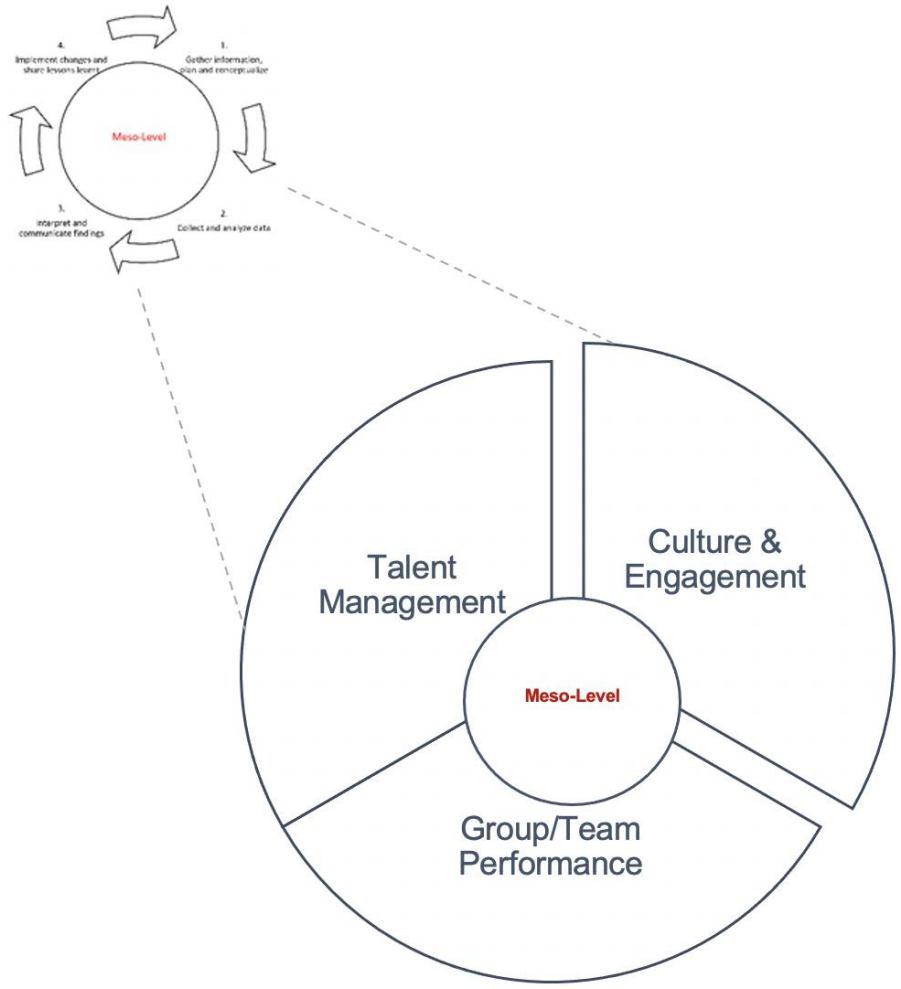



**Figure 7: The Leadership Impact Onion Evaluation Framework: Meso-Level**

The most important measures of organizational outcomes as gathered in the research findings are included based on the sixth variable; the items that scored the highest at a crucial score of 40.38% were "Organizational Culture" with a mean score of 5.05 (*SD* = 1.10), and "Individual leader or Group/team performance" also at crucial score of 40.38% with a mean score of 5.15 (*SD* = 0.66). The response rate for this variable was 100% (*N* = 60). This variable was followed very closely by the importance of "employee

engagement scores" at a crucial score of 38.46% with a mean score of 5.17 (*SD* = 0.85). Utility analysis which is a measure that examines the relationship between productivity and job performance is included, as it was found to have a high crucial score in the seventh variable, with a crucial score of 29.41% with a mean score of 5.57 (*SD* = 1.36).

| **Contributions from this research study** | | |
|---|---|---|
| **Meso-Level Sphere** | **Evidence tools** | **Link to existing theory** |
| Culture, and Engagement | • Workplace Climate & Employee Engagement report<br>• Behavior patterns in the workplace, such as tardiness; violation of rules and absenteeism | • Adult Learning Theory<br>• Situational Leadership Theory<br>• Behavioural Leadership Theory<br>• Change Theory<br>• Growth Mindset<br>• Purposeful Program Theory<br>• Theory Based Evaluation<br>• Transformative learning theory |
| Group/Team performance | • Specific Project Performance, Financial Performance & Efficiency of project delivery<br>• Efficiency of the team<br>• Customer feedback<br>• Innovation in the team | |
| Talent Management | • Team talent Landscape, 9 box talent grid – showcasing a view of the talent (Hi-Performers & Hi-Potentials)<br>• Succession mapping<br>• People development opportunities, uptake, progress, and completion<br>• Career growth of individuals within the team | |

### 5.4.3 Macro-Level Leadership (Systemic) – Societal Impact

Macro-Level is defined by Jilke, Olsen, Resh and Siddiki (2018:1) as being, "research which examines the political-administrative environment, including national systems, regulation, and cultures" whereas Pires (2014) as cited by Serpa and Ferreira (2019:122) defined Macro-level as, "systemic interdependence, scope which includes relationships

that go beyond or cross the national level of corporate society", and Mauldin (2020:40) defined Macro-Level as research focused on studying, "interactions at the broadest level, such as interactions between and across nations, states, or cultural systems".

From the aforementioned it is clear that Macro-level deals with examining systemic interdependence (Serpa & Ferreira, 2019) that is focused on interactions at the broadest levels (Mauldin, 2020) that may include national systems. For the purposes of this research study, this definition is applied in reference to macro-level analysis within the proposed leadership development evaluation framework. At the macro-level, impact is seen as how the success of groups at the meso-level is evidenced, felt, and reflected at an organizational level.

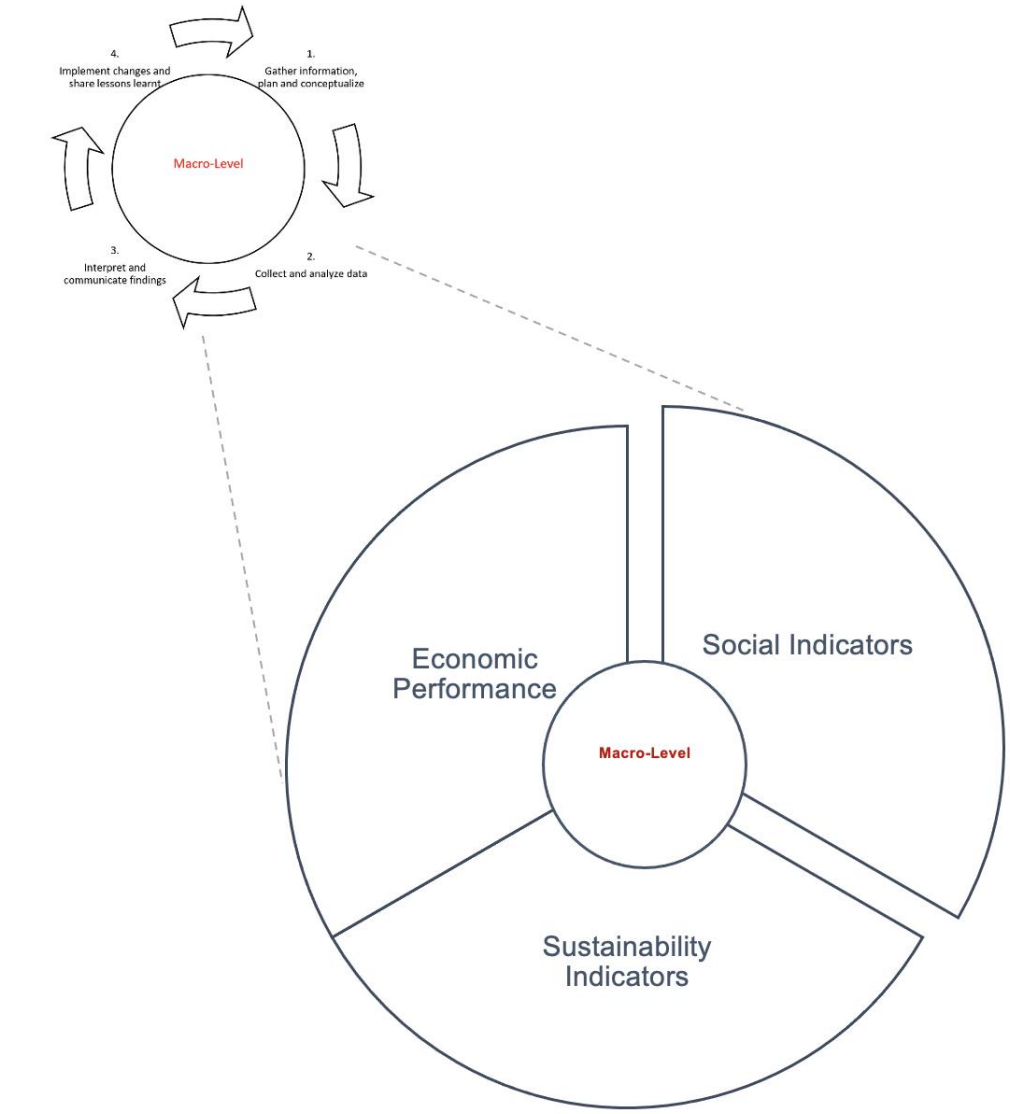



**Figure 8: The Leadership Impact Onion Evaluation Framework: Macro-Level**

| **Contributions from this research study** | | |
|---|---|---|
| **Macro-Level Sphere** | **Evidence tools** | **Link to existing theory** |
| Social Indicators | • BBBEE Scorecard (Skills Development)<br>• Anecdotal information | • Behaviourism Learning Theory<br>• Situational Leadership Theory<br>• Behavioural Leadership Theory<br>• Change Theory<br>• Growth Mindset<br>• Purposeful Program Theory<br>• Theory Based Evaluation<br>• Transformative learning theory |
| Sustainability Indicators | • BBBEE Scorecard (Enterprise & supplier development)<br>• Anecdotal information | |
| Economic Performance | • BBBEE Scorecard (Socio-Economic Development)<br>• Opportunity Cost<br>• Return on Investment<br>• Cost benefit Analysis | |

The measures of societal impact when evaluating the impact of leadership development at a social level are included as evidenced in the research findings as being crucial. In the eighth variable, the item that scored the highest at a crucial score of 33.33% was "B-BBEE Scorecard (Enterprise & Supplier Development)" with a mean score of 5.78 (*SD* = 1.16). The response rate for this variable was 100% (*N* = 60).

In the seventh variable, the item that scored the highest at a crucial score of 41.18% was "Opportunity Cost" with a mean score of 5.88 (*SD* = 1.45). The response rate for this variable was 100% (*N* = 60).

## 5.5 REFLECTIONS OF THE RESEARCHER: THE RESEARCHER'S ADULT LEARNING & EVALUATION PHILOSOPHY STATEMENT

The researcher believes in self-driven learning, teaching and acquisition of knowledge and skills. In the world of corporate leadership development, adult learners have an inherent desire to learn and be taught and when they can see the value the learning brings to their immediate context, and therefore learning in leadership development should be agile, practical and relevant to the real-world challenges and contexts that leaders are faced with daily. As such, evaluation of adult learning should be approached in a similar manner, be measured not in learning acquired but contextually through the impact it translates into in a practical manner that addresses real-world challenges.

Over the years of learning about, understanding and applying both inductive and deductive approaches, the researcher has been able to better integrate the approaches where applicable, depending on the context and subject.

The researcher's preferred leadership development approach is inductive, as this is more effective in embedding not just knowledge but stretches the individual to think, and to think about how they think. In this way, regardless of the subject and context, one is able to approach discovering new knowledge. The researcher believes it is a richer approach to adult development and learning.

The main learning design strategy used by the researcher is the backward design framework, beginning with the end in mind. Hence, when conducting evaluation, the researcher believes the "end" that was envisioned (which is the intended impact) should be what is evaluated.

At the macro level, the ability to think about thinking ranks as most important when considering adult learning. The researcher believes this is critical for the leadership development practitioner to think about as he/she/they are planning for how they will approach the leadership development initiative.

Adult learners should be supported through both enabling intrinsic motivation and extrinsic motivation to enhance comprehension and learning application effectiveness. The research advocates for leadership development practitioners to spend a considerable amount of time in conducting a needs analysis and individual conversations, background research on individual leaders to gain insights and deeper understanding of the personal reasons motivating them to learn, study and what drives them. This then becomes the "end-in-mind" that one should begin with in the development journey and conclude with in the evaluation.

**In Summary,** the contributions to academia and how theory was developed is articulated in detail in this chapter.

The next chapter outlines the conclusions and recommendations.

# CHAPTER SIX: CONCLUSIONS & RECOMMENDATIONS

## 6.1 CHAPTER INTRODUCTION

This chapter provides a view of the limitations of this research study; the summary of the conclusions and the recommendations for future research studies. The chapter starts with a review of the research problem; a recap of the research journey; the gaps identified throughout the research journey; as well as the conclusions and the overview of the theoretical contributions. In closing, the recommendations for future research are presented.

## 6.2 REVISITING THE RESEARCH PROBLEM

The primary objective of this case study research was to investigate through an exploratory sequential research strategy the approaches used in the impact evaluation of leadership development initiatives.

The research study was brought about from the concern of organisations investing a considerable quantum of resources and time into leadership development initiatives, where the impact of those investments was not clearly evidenced or articulated. It was found in chapter two, literature reported companies around the world were spending extensively on leadership development initiatives, but the “true” value of leadership development was not being measured as current evaluation approaches are, 1) using measures from matrices defined by HR and L&D, and therefore the results manifested in a self-fulfilling prophecy; and 2) the current methodologies measure leadership development impact within the immediate business context only, and this may not be representative of the “true” and “holistic” impact of the investment into leadership development initiatives.

### 6.2.1 How the research problem was resolved: Theory generation through Grounded Theory & Evaluation Theory

The final research phase using grounded theory is theory generation. In this research study, the theory generated is a holistic leadership impact evaluation approach, **The Leadership Impact Onion Evaluation Framework**, which is the final result of the mixed methods case study research produced through the application of grounded theory, program theory and evaluation theory.

In grounded theory, the final research results produced generally come in the form of a basic social process which is "a core category that has been developed through densification and is found to substantially represent a major social process of the phenomenon under study" (Jones & Alony, 2011:13). Explanatory Theory emerges through the articulation of this process. Glaser (1987) indicates that the social process should therefore relate to resolving the problematic nature presented in the research study. In this case study, the fundamental problem under study was leadership impact evaluation approaches, and the study revealed that there is a gap in that organizations are not able to holistically demonstrate the impact of leadership development initiatives.

The reasons provided pertaining to why evaluation was not done or not done effectively showed that this was not attributed to, "policy prohibits the evaluation of leadership development", at 1%; or "the cost in person-hours and/or capital" at 3% nor was it because of "evaluation is not a priority, not required by the organization" at 6%. The top reasons for not being able to holistically demonstrate the impact of leadership development initiatives were primarily because, "Impact matrices are not agreed up front" at 16%; and the "Lack of an appropriate impact evaluation tool or approach" at 14%; as well as "Evaluation approaches available use matrices purely defined HR and L&D without the involvement of key stakeholders as such are inadequate to effectively evaluate this" at 13%".

With this understanding in mind, as well as engaging key stakeholders on what they would deem as an appropriate impact evaluation approach, which measures should be included, and a further drilling down of each measure to understand which matrices were deemed most relevant and critical by key stakeholders to be included, the researcher was able to produce a proposed holistic impact evaluation approach. The unique contribution made through the proposed holistic impact evaluation approach is that it provides an amalgamated and synthesized approach to the evaluation of leadership development initiative impact evaluation in an approach that:

(1) Focuses the evaluation at impact, as a meaningful outcome of the leadership development initiative.
(2) Evaluates the impact of leadership development initiatives holistically at the three levels where leaders influence (Micro-Level; Meso-Level; Macro-Level).
(3) Provides a clear definition of each level and a clear construction of each micro-level sphere, meaning the building blocks that make up each level, the evidence tools required for effective impact measurement and the link to each respective theory upon which each is constructed.
(4) Provides a clear articulation of the process that should be adopted in the evaluation of the impact of a leadership development initiative.

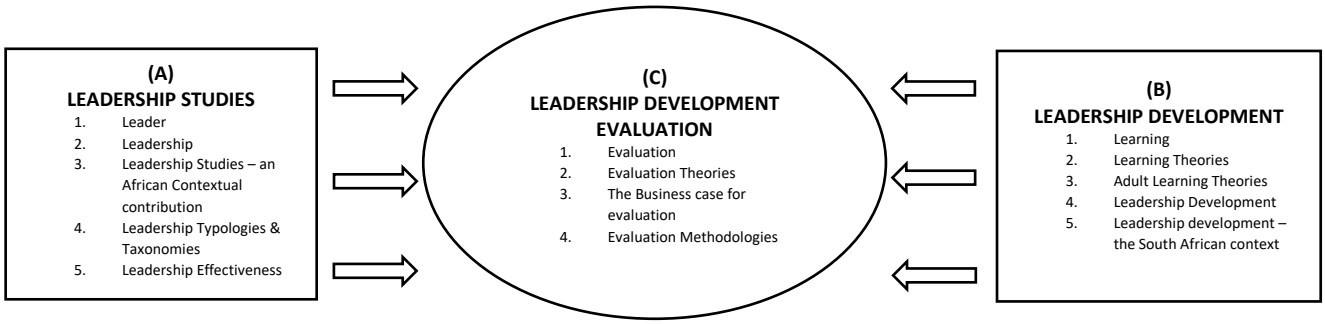
## 6.3 THE RESEARCH JOURNEY IN SUMMARY

The primary objective of this case study research was to investigate through an exploratory sequential research strategy the approaches used in the impact evaluation of leadership development initiatives.

The journey of exploring the particularities of impact evaluation, more specifically towards understanding leadership development evaluation within organisations that invest incrementally in these development initiatives, took the form of case study research anchored on grounded theory.

The journey of this research study started with an in-depth review of the literature and this took form in typical grounded theory fashion of a continuous iterative process throughout the research journey and weaved through each of chapters one to six.

The literature review started with, 1) exploring the concepts of a leader, the study of leadership in general, and leadership studies in an African context – this was important as the scope of the research study was in the form of a multiple case study of corporate organisations operating within Africa, headquartered in South Africa. It was also important to, 2) explore and understand leadership effectiveness as leadership development initiatives exist for the purposes of improving leadership effectiveness. This was followed by, 3) a review of literature on learning, theories of learning, adult learning theories, leadership development and leadership development within the South African context specifically. Thereafter, 4) evaluation theories, as well as methodologies, frameworks and models of evaluation of learning were investigated, with the purpose of a clear view being obtained of what is existing and where potential gaps might be.




The literature review was succeeded by semi-structured interviews, and the research enquiry concluded with an online survey questionnaire. With the above research problem as covered in item 6.2. in mind, the research sought to answer the following research questions:

1. **Research Question 1**: Are the current Leadership Development impact evaluation approaches a case of a self-fulfilling prophecy?

2. **Research Question 2**: How can evaluators ascertain or be sure that they are actually measuring what they think are measuring, that being the impact of leadership development initiatives?
3. **Research Question 3**: How should the holistic impact of leadership development initiatives be evaluated?

The approach to answering the research questions above followed the research strategy approach which was exploratory sequential. This started with qualitative research where semi-structured interviews were conducted, followed by an online research questionnaire. The interview questions were formulated based on the research questions that needed to be answered.

**An example:**

**Research Question 1**: Are the current Leadership Development impact evaluation approaches a case of a self-fulfilling prophecy?

**Interview Question 1.0 (opening)**: How are we ensuring that the approaches we are using to evaluate impact of leadership development are not a case of a self-fulfilling prophecy?

**Interview Question 1.1**: What are the current practices in the evaluation of the impact of leadership development initiatives?

**Interview Question 1.2**: How is the holistic impact of leadership development initiatives evaluated?

**Interview Question 1.3**: As a key stakeholder within this organisation, what are your perceptions of the approaches of evaluating the impact of leadership development?

**Interview Question 1.4**: What would a successful leadership development initiative look like in your perception?

**Interview Question 1.5**: How should leadership development be evaluated?

**Interview Question 1.6**: What matrices would you like to see being used to evaluate the impact of leadership development initiatives?

**Interview Question 1.7**: Theory of Change: Given your ideas of the impact you want to see through the deployment of a leadership development initiative, what would the measurable outcomes be?

**Interview Question 1.8**: In relation to the role of a leader having a direct relation with some or all aspects of the triple bottom line (Organisational level, Societal Level & Environmental Level), to what extent should leadership development be evaluated?

## 6.4 CHAPTER REVIEW – SUMMARY OF THE CHAPTERS

The dissertation comprised six chapters. The following section summarises each chapter.

### 6.4.1 Chapter One: Introduction

The introductory chapter through nine subsections provided a description of the research problem and the reasons for the importance of the research, the purpose of the study as well as the context description.

The **purpose of the study** was to investigate the approaches used in the evaluation of the impact of leadership development initiatives. It was noted that learning and development yielded to both financial and non-financial impact. The importance of investigating approaches to evaluating leadership development impact initiatives was amplified through the incremental investments on initiatives aimed at developing leaders, although organisations were not providing a holistic view of the impact of such investments.

Secondary data was used to present a brief **background** of this study where the focus of prior leadership researchers and leadership development that researchers had investigated were explored. It became apparent that there was extensive focus on leadership theories, and some on leadership development, but a gap in measuring the impact of development strategies in relation to all facets of leadership touch points.

Subsequent to the above, a contextual view was provided of the context for the study where the **context of the research study** took into consideration three key components being the field of leadership development and evaluation, the context of specific research and the location of the study being the South African context.

It was argued in the **Research Problem Statement that** there may be a gap in the evaluation of leadership development initiatives as organisations are not able to provide a comprehensive view of the impact of investments into leadership development using the existing evaluation methodologies. This was seen as problematic for the following reasons:

1. Organisations globally continue to invest incremental amounts of money on leadership development initiatives yet are not able to provide a holistic view of the impact derived from these investments.
2. The role of the leader is critical for organisational success, especially in VUCA times and therefore organisations cannot afford to invest "blindly" into leadership development.
3. Leadership development is not a linear path because the role of the leader is multifaceted and as such the types of interventions included extend beyond classroom events. Therefore, to evaluate the holistic impact of leadership development, one cannot rely on traditional training evaluation methodologies.

In attempting to address the problem, three research questions were formulated and presented in this section.

The **significance of the study** was presented from three perspectives, being the business perspective, the academic perspective, and the researcher's perspective.

The **delimitations** and the **assumptions** of the study were shared to provide clarity on the scope of the study, specifically pertaining to the conditions beyond the control of the researcher which seemed relevant to potentially having an influence on the research.

For the purposes of clear alignment and coherent understanding, the **definitions of the terms** used, as well as the dissertation **chapter outline**, were presented in this section.

### 6.4.2 Chapter Two: Critical Literature & Theory Review

This section comprised four subsections which covered the review of critical literature and theory. The **introduction** set the scene for the chapter followed by the **theoretical framework** as well as **conceptual framework**. The chapter reviewed the literature pertaining to the core subjects of the research study.

This was mixed methods exploratory sequential case study research that focused on the core concepts being 1) Leadership studies; 2) Leadership Development; and 3) Leadership Development Impact Evaluation approaches. Therefore the literature review focused predominately on these areas of study.

The researcher used both **grounded theory** and **program theory,** more specifically evaluation theory for programs. A research map was presented to provide a visual overview of the research journey.

In examining **leadership studies**, the various definitions of a leader were provided. For the purposes of contextual understanding, leaders and leadership was examined through Stogdill (1974) whereby a leader is viewed in the context of a relationship between persons and organizational structures, activities and goals.

The **Leadership Studies in an African contextual contribution** was discussed with the theoretical contribution made in Africa to the leadership philosophy being *'Ubuntu'* and *'Satyagraha'*. The concept of *'Ubuntu'* was found to be more significant in relation to this study as through *'Ubuntu'* leadership is seen as being beyond the concept of an individual but rather more diverse and multifaceted.

As a way of exploring **leadership theories**, this chapter examined **leadership taxonomies** and **typologies**. The leadership theories were conceptualized in a chronologically dated sequence and viewed through three overarching themes: 1) Personal and Situational Theories; 2) Interaction and Social Learning Theories; and 3) Perceptual and Cognitive Theories.

In seeking to understand leadership development, it was important to understand the relationship between effectiveness and leadership as well as what constituted effectiveness within leadership and as such, **leadership effectiveness** was explored. It was found that theorists differed significantly on how to define leadership effectiveness and that defining leadership effectiveness was as hard to define as defining leadership.

This was due to the fact that effectiveness means different things to different people, depending on perspective, similar to the concept of leadership. For purposes of this study, Leadership Effectiveness was defined as "the ability for leaders to motivate, mobilize and influence their teams in order to achieve strategic business objectives by delivering through their teams".

Understanding **learning** as well as the various theories of learning was deemed important and covered in this chapter. This was because learning informs the design of leadership development initiatives. As a critical element that is measured in leadership development, it was found to be of relevance to this research study. In reviewing the literature, although the importance of learning theory was evident, there appeared to be a disconnect between learning theories, leadership theories and evaluation theory.

The chapter explored **adult learning theories** and **leadership development** whereby research conducted by Conger (1992) was noted as providing a clear link between learning theories and leadership development.

**The business case for evaluation** was presented and it was noted that the extensive focus of leadership researchers for the past 15 years had been on research into leadership theories. This led to researchers potentially leaving a gap in research for leadership development evaluation research, specifically focused on the link between leadership development impact evaluation and for more attention needed on leadership development initiative design and improvement of leadership development offers.

In the critical review of literature and theories pertaining to **Leadership Development Evaluation Methodologies** it was found that evaluation of learning and development initiatives has been in existence for approximately 69 years and that the choice of methodology to employ when evaluating depended on the reason for the evaluation. Existing literature suggests that there are 38 evaluation methodologies of which 68% originated in the United States of America and only 5% originated from Africa. The balance emerged from the United Kingdom 5%, Japan 3%, Germany 3%, Ireland 3%,

Switzerland 3%, Romania 3%, Indonesia 3%, Australia 3% and 1% unknown. In this, a gap remained in literature on evaluation approaches focused on holistically evaluating the impact of leadership development initiatives specifically.

### 6.4.3 Chapter Three: Research Methodology

For the purposes of clearly articulating the research approach, and to provide potential future researchers intending on replicating the study with a detailed approach to conducting this research or similar research studies in future, this chapter was broken down into thirteen subsections.

The information pertaining to the **methods** employed in this research study as well as the **methodology** were presented. This covered the research philosophy and the justification which outlined the motivation for the selection of theory. The overall approach and process of this research was explained, connecting the conceptual research problem to the pertinent empirical research.

The **overarching theory** used in this **case study research** was the Pragmatic Grounded Theory (Straussian Evolved Grounded Theory) approach supported by the **underpinning theory used in instrument design** where the design of the interview guides and online survey questionnaire was underpinned by Program Theory; Evaluation Theory and Change Theory.

Attributed to the overarching theory together with the researcher's philosophical views on research, the **research paradigm** employed was pragmatic. This section covered the detailed steps and actions taken to make this specific research study pragmatic which included 1) the use of grounded theory; 2) using a needs-based approach linked to the appropriateness of addressing the research question; 3) the scope lens view based on actual human experiences; and 4) the philosophical world views of the researcher and more specifically pertaining to social research studies in general and more specifically linked to leadership development.

Although qualitative research was found to be the predominant **research method** applied in social research, as well as that scholars of leadership and management studies adopted an 'either/or' approach to qualitative and quantitative research, the study used mixed methods research in a deductive-inductive **research logic** approach through an exploratory sequential **research strategy**. The **choice of research** logic and research method was attributed to the nature of the research and the researcher's intentions. This choice was further amplified by the fact that not many researchers had attempted to address the problem through these lenses.

**Validity and Reliability** were explained through various approaches such as content validity and face validity, industry experts and peer review of research instruments, triangulation, audit trial and the researcher's position.

This section covered the details pertaining to the **sample** as well as a description of the **population** and the **specific reasons for selection of this population** for the study.

The researcher explained how the **data collection** and **data analysis** was approached and how program theory, evaluation theory, and change theory were integrated into the study.

The **methodological limitations** and the pertinent **ethical considerations** were clarified.

### 6.4.4 Chapter Four: Discussion of the Findings

This chapter laid the foundation for chapter five and chapter six which enabled the progression of evidence and data analysis into the scope of theory development. The findings gathered from the data analysis process were discussed and main trends and patterns related to the research problem were explained.

The **data management** process of **gathering, handling and coding through the use of grounded theory** was explained. The steps adopted in coding data from the grounded

theory perspective were explained, through initial coding to axial coding and concluded by advanced coding which was done through selective coding.

As this was a mixed methods research study, the analysis of the data was broken down into how qualitative and quantitative data analysis was done. Through following the exploratory sequential research approach, qualitative data was collected and analysed first, succeeded by quantitative data collection and analysis.

**Qualitative data analysis** used the grounded theory data analysis approach which is an exploratory approach to qualitative research analysis as advocated by Charmaz (2008). The findings revealed that the current leadership development evaluation approaches did not measure leadership development impact holistically and were a case of self-fulfilling prophecy, enabled by the unilateral design of the evaluation approaches. The findings gathered from the qualitative data analysis were used to inform the final quantitative research instrument design.

The data collection and analysis of the second phase of this exploratory sequential research study was the quantitative research phase and how the data was gathered using an online research questionnaire was explained. The **quantitative data analysis** provided insights into the reasons for the lack of holistic impact evaluation, what was important to be included as matrices in evaluating the impact, and how the holistic impact evaluation methodology should be constructed.

### 6.4.5 Chapter Five: Theory Development

This chapter was divided into five subsections, with the main purpose of explaining how the theory was developed from the data gathered throughout the study. The main focus of this chapter pertained to the theory development and contributions to the academic body of knowledge.

Theory development was based on the analysis of the previous chapters, predominately from chapter four and chapter two. The links and integration between the current literature (chapter two) and the research findings (chapter four) were made.

A theoretical contribution was generated in this case study research using grounded theory and was provided to explain how the holistic impact of leadership development should be evaluated. A theoretical contribution is made by advancing evaluation theory in the approaches used for evaluating the impact of leadership development initiatives.

The researcher examined **theory development**, explaining how theory was developed using grounded theory and program theory. The theoretical contribution to the academic body of knowledge was explained to have been developed using grounded and program theory on the basis of six specific research findings from this research study.

The method used in **anchoring the theory development in evaluation philosophy** was done through a learner performance-centred evaluation philosophy following which the study **positioned the proposed evaluation approach,** anchored on learning theory, program theory and theory-based evaluation and moves towards encouraging the application of theory-driven (TD) program evaluation. The research explained how **anchoring the proposed evaluation approach on learning theory** and **anchoring the proposed evaluation approach on evaluation theory** was approached.

The new proposed impact evaluation approach was explained, titled the **"Leadership Impact Onion Evaluation Framework"**, and explained what informed the design of the framework, from the layered circular shape to the levels, the matrices, the underlying process within the framework, and the evidence tools required as well as the links to existing theory.

In closing, the **reflections of the researcher** were shared and provided insights into the adult learning and evaluation philosophy statement. This was seen as important as it may

potentially aid in the understanding of the positioned leadership impact onion evaluation framework.

### 6.4.6 Chapter Six: Conclusions & Recommendations

The concluding chapter comprised six subsections, reflecting on the conclusions and sharing recommendations. In this chapter, a view of the limitations of this research study were presented together with the summary of the conclusions and the recommendations for future research studies.

The chapter started with **revisiting the research problem** that this research aimed to address, and what was problematic in this regard. It also explained **how the research problem was addressed.**

This was followed by a **review of the research journey**, including this section on reviewing chapters included in this research for purposes of **chapter summaries**.

The final three subsections provide **conclusions and the overview of the contributions** as well as the **summary of the contributions made,** namely the theoretical contributions and methodological contributions. In closing, the **recommendations for future research** are provided.

## 6.5 CONCLUSIONS AND OVERVIEW OF THE CONTRIBUTIONS

The following recommendations are presented based on the conclusions made as a result of the research findings:

- **Research Question 1:** Are the current Leadership Development impact evaluation approaches a case of a self-fulfilling prophecy?

The main findings from research question 1 above indicated that the current approaches to evaluating the impact of leadership development are designed from the perspective of the HR fraternity, without involvement of key stakeholders, and that evaluation matrices were not agreed upfront. Key stakeholders outside of the HR/Learning fraternity are not involved in defining the measurement matrices and as such the current approaches can be seen to be manifesting the "desired" results, as opposed to providing a view of the holistic impact of leadership development initiatives. It may therefore be concluded that the current leadership development impact evaluation approaches are a case of a self-fulfilling prophecy.

It is recommended that impact evaluation matrices need to be discussed and agreed upon prior to the design, development, and implementation of the leadership development initiative, as well as the measurement thereof.

- **Research Question 2:** How can evaluators ascertain or be sure that they are actually measuring what they think are measuring (that being the impact of leadership development initiatives)?

The main findings from research question 2 above was that research participants agreed that there is a relationship between leadership development and leadership effectiveness, and furthermore agreed that if leadership development is done right, it leads to enhanced leadership effectiveness. It was also found that some basic level of evaluation is taking place; Levels 1 and 2 of Kirkpatrick are used in some organizations, but not all leadership

development initiatives are evaluated. Organizations are measuring the effectiveness of the HR Practitioner/leadership development specialist's abilities to deploy leadership development and are not measuring the impact of the initiative. It was recognized that it is important to measure both the effectiveness of the HR Practitioner/leadership development specialist's abilities to deploy leadership development as well as evaluating the leadership development initiative itself, as they are interrelated.

It may be concluded that to be certain that evaluators are measuring the impact of the leadership development initiative and not something else, the evaluators should have predetermined learning outcomes, where evaluation matrices and the approach to evaluation should be linked to the learning outcomes; evaluation should be done before the leadership development initiative and in a few different points in the future, evidence of impact would be visible in the person who undertook the learning initiative to display the ability to do what was taught and would be felt through the people around that individual leader with regard to how they are experiencing them post the initiatives.

It is recommended that to be certain that evaluators are measuring the impact of leadership development initiatives, leadership theories and learning theories should be integrated into evaluation, and there needs to be proactive approaches towards effective measurement practices that will include prior agreement of impact measurements or metrics, as well as the results of the evaluation being provided to key stakeholders.

- **Research Question 3**: How should the holistic impact of leadership development initiatives be evaluated?

The main findings from research question 3 above was that a leaders' impact is felt not just within the organisation or their immediate team, but across various levels.

It may be concluded that for the holistic impact of leadership development initiatives to be evaluated the various individuals that are impacted by the leader should be involved

in the evaluation process and evaluation should encompass a multitude of lenses and matrices.

It is recommended that the evaluation of leadership development should be conducted at multiple levels as leadership is multifaceted, and the holistic impact of development initiatives would be visible across levels.

In summary, it can be said that the primary gaps identified in the research were: 1) leadership theories have been studied for centuries, however there remains a gap in the literature on how to evaluate the impact of initiatives deployed to develop leadership effectiveness; 2) while there are various approaches to evaluating learning and development initiatives, there was little evidence of specific methodologies designed for evaluating the impact of leadership development specifically; 3) the current methodologies were found to be designed from the perspectives of the HR, and lacked the involvement from key stakeholders in the design and selection of matrices to evaluate the effectiveness and impact of leadership development initiatives. These gaps were problematic as they contributed to the "self-fulfilling" prophecy of "successful" leadership development initiatives.

In reviewing the research, from the literature review, the qualitative research and the quantitative research findings, for leadership development impact evaluation to be conducted holistically, there needs to be active involvement from key stakeholder, in the identification of matrixes and evaluation conducted at 3 levels, being Micro-Level, Meso-Level, and Macro-Level. The Leadership Impact Onion Evaluation Framework is recommended as an appropriate leadership development holistic impact evaluation approach.

### 6.5.1 Summary of the contributions

This research study made the following contributions: 1) Theoretical contribution; and 2) Methodological contribution.

#### *6.5.1.1 Summary of the Theoretical Contribution*

Leadership development may be evaluated in a number of different ways for a number of different reasons. Reasons and motives for evaluating leadership development initiatives differ for different people and different stakeholders. In using grounded theory, this study was able to identify important strands that should be factored into evaluating leadership development initiatives.

A theoretical contribution was made by advancing evaluation theory in the approaches used for evaluating the impact of leadership development initiatives. A leader's role touches various aspects and the impact made by leaders transcends financial business impact. The impact of developing a leader should therefore be evaluated holistically across all dimensions.

Through the use of program theory and evaluation theory, this study developed a framework for the impact evaluation of leadership development initiatives, as well as provided underlying principles used to explain what informs the framework and how the framework may be applied in the evaluation of leadership development initiatives within the context of corporate leadership in South Africa.

The study provides insights for leadership development practitioners seeking to demonstrate the holistic impact of leadership development initiatives and facilitate conversations with stakeholders to enable organizations to invest in the most impactful and relevant initiatives to achieve success within the context of those organizations.

#### *6.5.1.2 Summary of the Methodological Contribution*

The fields of leadership development and leadership development evaluation are overused in qualitative research. The use of mixed methods case study research in this

study enabled the researcher to develop and test the research instrument (appendix five) applied in the second phase of the research study, which may be used and adapted by future researchers to build on existing evaluation research.

## 6.6 RECOMMENDATIONS FOR CONSIDERATION IN FUTURE RESEARCH STUDIES

As part of the delineation of this research, the study sought to outline the approaches being used in evaluation of the impact of leadership development initiatives, as well as make a recommendation of an approach based on the outcomes of the research study findings. The research study did not seek to evaluate the correlation of the variables, but item correlation was done using Cronbach Alpha for internal consistency in a survey instrument to gauge its reliability. The researcher acknowledges the value of pursuing this direction in future research studies and as such recommends that the variables outlined in the proposed framework be further studied using correlation coefficients and linear regression analysis. It is therefore recommended that (predictor) independent variables that could have an impact on the (dependent) predicted variable (in this case, "leadership development impact") should be included in future research studies, more specifically in the correlation analysis.

Approaches to future studies could include the Pearson Correlation Coefficient, amongst others. The Pearson Correlation Coefficient is the statistic that indicates the strength and direction of an association between variables. Correlation coefficients reveal the magnitude and direction of relationships and correlation coefficients in the order of .10 are "small," those of .30 are "medium" and those of .50 are "large" in terms of magnitude-of-effect sizes. This calculation can be done for purposes of ascertaining if the variables relate in a meaningful manner.

To assess how a combination of variables relates, future researchers on this topic could perform a linear regression analysis. This is a statistical approach to forecasting change in a dependent variable, the basis of change in one or more independent variables. It is

used when two or more variables are thought to be systematically connected by a linear relationship. To know whether the coefficient calculated by analysis is small, medium or large one needs to test the significance of the regression. This can be done by using the analysis of variance, which is able to separate the total variance of the dependent variable into two independent parts. Standard errors can also be used to perform hypothesis tests on the coefficients. The most common hypothesis test involves testing the null hypothesis of H0: there is no relationship between X and Y versus the alternative hypothesis. With regard to HA, there is some relationship between X and Y.

To calculate if a coefficient is small, medium or large, the effect size can be used. Effect size is a measure of discriminability. It can be used to choose between alternative methods of diagnosis and, in development, to gauge improvements in a diagnostic method. Effect size measures take two factors into account, the difference between the mean values of the measures for the two groups and the variance (roughly the spread of the data points for each group, or the squared SD of the sample). Here is a simple way of stating effect size: d = (m1 - m2)/s; where m1 is the mean of one population, *m2* is the mean of the other population, and *s* is the "pooled" SD. The effect size, d, is often referred to as Cohen's d. The practical significance of this is to ascertain whether one can predict the dependent variable in a meaningful manner by combining variables.

Other recommendations for future research include to conduct a quasi-experimental examination whereby the cause and effect of impactful leadership development programs could be studied. The scope of the research covered in this paper was focused on the methodologies and approaches that are used and could be potentially used in future to evaluate the holistic impact of leadership development initiatives. In staying with the intentional purpose of advancing the field of leadership development, it would be beneficial to study in-depth the leading contributors of success of leadership development initiatives through quasi-experimental research design.

Future researchers may consider selecting either qualitative research or quantitative research as opposed to using mixed methods research study. This is provided as a

recommendation, attributed to the length of time to be invested and the complexities involved in the integration of qualitative and quantitative research for a PhD research study project, and is not meant to reduce the advantages that come with mixed methods research. It would be advantageous due to the magnitude and importance of the study for future researchers to also use a shortened quantitative research instrument and increase the sample size. The quantitative research instrument used in this research study was of +-10 minutes completion time with a total of 9 questions, and a response rate of n=60.

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# APPENDICES

## APPENDIX 1 – PERMISSION TO CONDUCT RESEARCH REQUEST LETTERS

**The University of Witwatersrand, Johannesburg**
**Graduate School of Business Administration**

2 St David's Place, Parktown, Johannesburg, 2193, South Africa
P O Box 98, WITS, 2050
Website: www.wbs.ac.za
PhD Candidate: Vuyile Mbatha, 2272625

29 April 2020

**ABSA, Engineering Services**
ABSA Towers West, 15 Troye Street, Marshall Town
Johannesburg, 2001, South Africa

### REQUEST FOR PERMISSION TO CONDUCT RESEARCH: ABSA ENGINEERING SERVICES

### LEADERSHIP DEVELOPMENT IMPACT EVALUATION APPROACHES

Dear, **Thabo Thomas Mashaba** (Chief People Officer)

I am completing my PhD through the University of Witwatersrand (Wits Business School). Your permission is herewith requested to allow me, **Vuyile Cynthia Mbatha**, to conduct academic research in your organisation, **ABSA Engineering Services.**

The purpose of my study is aimed at exploring "Leadership Development Impact Evaluation Approaches".

Your organisation has been selected to participate in the study, because of the nature of the topic and your organisation being one of the leading corporate entities operating within the African context which invests into leadership development.

Globally organisations continue to invest enormous amounts into training & development, recently reported to around $56 Billion of which approximately 45% was specifically spent on leadership development. Leaders are positioned at the forefront of driving organisational success and are expected to successfully deliver on the triple bottom line, and as such Investment into leadership development initiatives is an unavoidable conclusion should organisations wish to remain competitive and relevant.

With increasing investments and attention on leadership development, the approaches to evaluating the impact of said investments is intriguing and remains top of mind for business

leaders and academics. There is a growing interest to improve evaluation methods amongst key stakeholders such as program funders, researchers and program participants.

This research study aims to explore the existing learning and development evaluation approaches, with the aim of identifying a holistic and inclusive evaluation approach which is specifically aimed at leadership development impact evaluation.

The study will entail data collection through semi-structured interviews of approximately 30-45 minutes which will take place during work hours with approximately 8 to 12 participants, this will be followed by an online survey questionnaire of roughly 25 questions which are estimated at a duration of 20 to 30 minutes targeted at 60 to 120 participants. Participants will be made up key stakeholders with vested interest on leadership development, such as leadership development specialist, Human Resource partners or people partners, finance executive and managers who invest and or facilitate the investments into leadership development, leadership development participants being those who participate, attend and are involved in the leadership development initiative and the direct reports of the participants.

Should you agree to participate in the study, the process would be that upon your advice, I **Vuyile Cynthia Mbatha** would contact your training department to identify potential participants. Once a list of names has been provided, the potential participants would receive a letter explaining the process and would be required to sign a consent form (see attached letter). Their rights to choose to take part in the research would be voluntary and they could withdraw at any stage.

Your organisations participation in this research study is not compulsory but is important with regards to the points mentioned above. You may, however choose not to participate and you may also choose to withdraw from the study at any time without any negative consequences. You will be provided with the summary of the research findings, upon request. The results of the study, will only be used for academic purposes and may be published in an academic journal with the right to anonymity observed at all times.

If you have any questions or comments regarding the study, please feel free to contact me directly via mobile on **+27 66 297 3258** or on email 2272625@students.wits.ac.za and I am available to meet with you in person at your convenience or should you wish, you may also contact my supervisor Dr. Manamela Matshabaphala on his email Manamela.Matshabaphala@wits.ac.za or his mobile +27823416102. If you have any queries, concerns or complaints regarding the ethical procedures of this study, you are welcome to personally contact the University Human Research Ethics Committee (non-medical), telephone + 27(0)11 717 1408, email hrec-medical.researchoffice@wits.ac.za/ Shaun.Schoeman@wits.ac.za**.** Your time in reading my request and potential participation is mostly appreciated.

**Yours Sincerely**,

Vuyile Cynthia Mbatha (MBL, PhD Candidate)

**The University of Witwatersrand, Johannesburg**
**Graduate School of Business Administration**

2 St David's Place, Parktown, Johannesburg, 2193, South Africa
P O Box 98, WITS, 2050
Website: www.wbs.ac.za
PhD Candidate: Vuyile Mbatha, 2272625

## REQUEST FOR PERMISSION TO CONDUCT RESEARCH: JOHANNESBURG STOCK EXCHANGE (JSE)

## LEADERSHIP DEVELOPMENT IMPACT EVALUATION APPROACHES

Dear, **Donald Khumalo** (HR Director)

I am completing my PhD through the University of Witwatersrand (Wits Business School). Your permission is herewith requested to allow me, **Vuyile Cynthia Mbatha**, to conduct academic research in your organisation, **Johannesburg Stock Exchange.**

The purpose of my study is aimed at exploring "Leadership Development Impact Evaluation Approaches".

Your organisation has been selected to participate in the study, because of the nature of the topic and your organisation being one of the leading corporate entities operating within the African context which invests into leadership development.

Globally organisations continue to invest enormous amounts into training & development, recently reported to around $56 Billion of which approximately 45% was specifically spent on leadership development. Leaders are positioned at the forefront of driving organisational success and are expected to successfully deliver on the triple bottom line, and as such Investment into leadership development initiatives is an unavoidable conclusion should organisations wish to remain competitive and relevant.

With increasing investments and attention on leadership development, the approaches to evaluating the impact of said investments is intriguing and remains top of mind for business leaders and academics. There is a growing interest to improve evaluation methods amongst key stakeholders such as program funders, researchers and program participants.

This research study aims to explore the existing learning and development evaluation approaches, with the aim of identifying a holistic and inclusive evaluation approach which is specifically aimed at leadership development impact evaluation.

The study will entail data collection through semi-structured interviews of approximately 30-45 minutes which will take place during work hours with approximately 8 to 12 participants, this will

be followed by an online survey questionnaire of roughly 25 questions which are estimated at a duration of 20 to 30 minutes targeted at 60 to 120 participants. Participants will be made up key stakeholders with vested interest on leadership development, such as leadership development specialist, Human Resource partners or people partners, finance executive and managers who invest and or facilitate the investments into leadership development, leadership development participants being those who participate, attend and are involved in the leadership development initiative and the direct reports of the participants.

Should you agree to participate in the study, the process would be that upon your advice, I **Vuyile Cynthia Mbatha** would contact your training department to identify potential participants. Once a list of names has been provided, the potential participants would receive a letter explaining the process and would be required to sign a consent form (see attached letter). Their rights to choose to take part in the research would be voluntary and they could withdraw at any stage.

Your organisations participation in this research study is not compulsory but is important with regards to the points mentioned above. You may, however choose not to participate and you may also choose to withdraw from the study at any time without any negative consequences. You will be provided with the summary of the research findings, upon request. The results of the study, will only be used for academic purposes and may be published in an academic journal with the right to anonymity observed at all times.

If you have any questions or comments regarding the study, please feel free to contact me directly via mobile on **+27 66 297 3258** or on email 2272625@students.wits.ac.za and I am available to meet with you in person at your convenience or should you wish, you may also contact my supervisor Dr. Manamela Matshabaphala on his email Manamela.Matshabaphala@wits.ac.za or his mobile +27823416102. If you have any queries, concerns or complaints regarding the ethical procedures of this study, you are welcome to personally contact the University Human Research Ethics Committee (non-medical), telephone + 27(0)11 717 1408, email hrec-medical.researchoffice@wits.ac.za/ Shaun.Schoeman@wits.ac.za**.** Your time in reading my request and potential participation is mostly appreciated.

**Yours Sincerely**,

Vuyile Cynthia Mbatha (MBL, PhD Candidate)

## APPENDIX 2 – AUTHORISATION TO CONDUCT RESEARCH LETTERS

**RE: AUTHORISATION TO CONDUCT RESEARCH:**
**JOHANNESBURG STOCK EXCHANGE**

**LEADERSHIP DEVELOPMENT IMPACT EVALUATION APPROACHES**

To Whom It May Concern, at

**The University of Witwatersrand, Johannesburg**
**Graduate School of Business Administration**
2 St David's Place, Parktown, Johannesburg, 2193, South Africa
P O Box 98, WITS, 2050
Website: www.wbs.ac.za

This letter is written in response to the request submitted by Vuyile Cynthia Mbatha on the **08 January 2020**, as a PhD student through the University of Witwatersrand (Wits Business School) to **JSE** requesting permission to conduct a PhD research study at our organisation.

In response to the request submitted, I **Donald Khumalo** (HR Director) hereby give my permission for the study on "Leadership Development Impact Evaluation Approaches" to be conducted at **JSE.**

Permission to conduct the research is granted under the following conditions:

1) The research student **Vuyile Cynthia Mbatha** is required to observe the rules and regulations of the organisation **JSE** at all times.
2) The information observed and collected is treated as confidential.
3) The information observed and collected is only used for academic purposes.
4) The research participant's right to privacy, confidentiality and anonymity is protected at all times.
5) The research student **Vuyile Cynthia Mbatha** will make the research results available to organisation **JSE** upon request.
6) No company confidential information will be released publically.

Signed by: Donald Khumalo
Signed at: 2020-09-11 09:15:36 +02:00
Reason: Witnessing Donald Khumalo
Donald Khumalo

11/09/20

---

Signature

---

Date

Donald Khumalo

DocuSign Envelope ID: 9282313C-16F6-4007-BB4C-B6B4C480840C

**Engineering Services**

268 – 270 Republic Road
Randburg
2146
PO Box 7735
Johannesburg, 2000
South Africa

**T** +27 11 507 7000
Swift address: ABSAZAJJ
absa.co.za

**RE: AUTHORISATION TO CONDUCT RESEARCH**
**ABSA ENGINEERING SERVICES**

**LEADERSHIP DEVELOPMENT IMPACT EVALUATION APPROACHES**

To Whom It May Concern, at

**The University of Witwatersrand, Johannesburg**

**Graduate School of Business Administration**

2 St David's Place, Parktown, Johannesburg, 2193, South Africa

P O Box 98, WITS, 2050

Website: www.wbs.ac.za

This letter is written in response to the request submitted by Vuyile Cynthia Mbatha (student number 2272625) on the **29 April 2020**, as a PhD student through the University of Witwatersrand (Wits Business School) to Absa Engineering Services, requesting permission to conduct a PhD research study at our organisation.

In response to the request submitted, I **Thabo Thomas Mashaba** (Chief People Officer) hereby give my permission for the study on "Leadership Development Impact Evaluation Approaches" to be conducted at Absa Engineering Services.

Permission to conduct the research is granted under the following conditions:

1) The research student **Vuyile Cynthia Mbatha** is required to observe the rules and regulations of the organisation **Absa Engineering Services** at all times.
2) The information observed and collected is treated as confidential.
3) The information observed and collected is only used for academic purposes.
4) The research participant's right to privacy, confidentiality and anonymity is protected at all times.
5) The research student **Vuyile Cynthia Mbatha** will make the research results available to organisation **Absa Engineering Services** upon request.
6) No company confidential information will be released publically.

DocuSigned by:
Thabo Mashaba
D94BC4B022D6452...

**Signature**

30 July 2020

**Date**

Absa Bank Limited Reg No 1986/004794/06 Authorised Financial Services Provider Registered Credit Provider Reg No NCRCP7

## APPENDIX 3 – PARTICIPANT LETTERS OF CONSENT

### RE: PARTICIPANT LETTER OF CONSENT, TO PARTICIPATE IN A RESEARCH STUDY:
### JOHANNESBURG STOCK EXCHANGE (JSE)

### LEADERSHIP DEVELOPMENT IMPACT EVALUATION APPROACHES

To Whom It May Concern, at

**The University of Witwatersrand, Johannesburg**
**Graduate School of Business Administration**
2 St David's Place, Parktown, Johannesburg, 2193, South Africa
P O Box 98, WITS, 2050
Website: www.wbs.ac.za

I, person_____ voluntarily agree to take part in the research project being conducted by **Vuyile Cynthia Mbatha**, student number **2272625** as a requirement for her PhD on "**Leadership Development Impact Evaluation Approaches"** at the **University of Witwatersrand (Wits Business School)**. The research has been explained to me and I understand what my participation will involve. I agree to the following:

(Please circle or highlight the relevant options below).

| | | |
|---|---|---|
| I agree that my participation will remain anonymous | Yes | No |
| I agree that the researcher may use anonymous quotes in his / her research report | Yes | No |
| I agree that the interview may be audio recorded | Yes | No |
| I agree that the information I provide may be used anonymously after this project has ended, for academic purposes by other researchers, subject to their own ethics clearance being obtained. | Yes | No |
| | Yes | No |

----------Name of Participant **Vuyile Mbatha** Name of Person seeking consent

----------Signature ----------Signature

----------Date **14 September 2020** Date

**RE: PARTICIPANT LETTER OF CONSENT, TO PARTICIPATE IN A RESEARCH STUDY:**
**ABSA ENGINEERING SERVICES**

**Title of Project: Leadership Development Impact Evaluation Approaches**

**Name of Researcher: Vuyile Cynthia Mbatha**

To Whom It May Concern, at

**The University of Witwatersrand, Johannesburg**
**Graduate School of Business Administration**
2 St David's Place, Parktown, Johannesburg, 2193, South Africa
P O Box 98, WITS, 2050
Website: www.wbs.ac.za

I, person_____ voluntarily agree to take part in the research project being conducted by **Vuyile Cynthia Mbatha**, student number **2272625** as a requirement for her PhD on "**Leadership Development Impact Evaluation Approaches"** at the **University of Witwatersrand (Wits Business School)**. The research has been explained to me and I understand what my participation will involve. I agree to the following:

(Please circle or highlight the relevant options below).

| | | |
|---|---|---|
| I agree that my participation will remain anonymous | Yes | No |
| I agree that the researcher may use anonymous quotes in his / her research report | Yes | No |
| I agree that the interview may be audio recorded | Yes | No |
| I agree that the information I provide may be used anonymously after this project has ended, for academic purposes by other researchers, subject to their own ethics clearance being obtained. | Yes | No |
| | Yes | No |

----------Name of Participant **Vuyile Mbatha** Name of Person seeking consent

----------Signature ----------Signature

----------Date **14 August 2020** Date

## APPENDIX 4 – RESEARCH INSTRUMENT: QUALITATIVE INTERVIEW GUIDE




### RESEARCH INSTRUMENT: QUALITATIVE RESEARCH

### SEMI-STRUCTURED INTERVIEW

| | |
|---|---|
| **Target Participants** | Senior leaders within the organisations as far as employee hierarchy is concerned, they have a vested interest in leadership development – i.e. Department Heads as program funders i.e. Budget Cost Centre owners; Recipients of Leadership development initiatives; Finance managers etc. |

1. **Research Question:** How is the organization ensuring that the current learning and development impact evaluation approaches are not a case of a self-fulfilling prophecy?
   - 1.1. What are the current practices in the evaluation of the impact of leadership development initiatives?
   - 1.2. How is the holistic impact of leadership development initiatives evaluated?
   - 1.3. As a key stakeholder within this organisation, what are your perceptions of the approaches of evaluating the impact of leadership development?
   - 1.4. What would a successful leadership development initiative look in your perception?
   - 1.5. How should leadership development be evaluated?
   - 1.6. What matrixes would you like to see being used to evaluate the impact of leadership development initiatives?
   - 1.7. Theory of Change: Given your ideas of the impact you want to see through the deployment of a leadership development initiative, what would be the measureable outcomes?
   - 1.8. In relation to the role of a leader having a direct relation with some or all aspects of triple bottom line (Organisational level, Societal Level & Environmental Level), to what extent should leadership development be evaluated?
   - 1.9. What are some of the barriers to implementing leadership development impact evaluation approaches, if any?

2. **Research Question:** How can evaluators ascertain or be sure that they are actually measuring what they think they are measuring (the impact of leadership development initiatives)?
   - 2.1. Is there a perceived relationship between leadership development initiatives and leadership effectiveness? And if yes, what is it?
   - 2.2. How can you be sure that the leadership development initiative achieved its intended outcomes (that it actually did what it said it would do)?

## RESEARCH INSTRUMENT: QUALITATIVE RESEARCH

## SEMI-STRUCTURED INTERVIEW

| | |
|---|---|
| **Target Participants** | Human Resources Directors (HRD), Managing Executives, Chief Learning Officers, Heads of Leadership Development, Heads of Learning, Heads of Talent; Leadership Development Specialists; Learning & Development Specialists |

1. **Research Question:** How is the organization ensuring that the current learning and development impact evaluation approaches are not a case of a self-fulfilling prophecy?
   - 1.1. What are the current practices in the evaluation of the impact of leadership development initiatives?
   - 1.2. Does your organisation make use of any of the top two most popular learning evaluation models (the Kirkpatrick model) and the (Phillips ROI) methodology? And if yes, which one and why. And if no, what are the reasons?
   - 1.3. How is the holistic impact of leadership development initiatives evaluated?
   - 1.4. As a key stakeholder within this organisation, what are your perceptions of the approaches of evaluating the impact of leadership development?
   - 1.5. What would a successful leadership development initiative look in your perception?
   - 1.6. How should leadership development be evaluated?
   - 1.7. What matrixes would you like to see being used to evaluate the impact of leadership development initiatives?
   - 1.8. Theory of Change: Given your ideas of the impact you want to see through the deployment of a leadership development initiative, what would be the measureable outcomes?
   - 1.9. In relation to the role of a leader having a direct relation with some or all aspects of triple bottom line (Organisational level, Societal Level & Environmental Level), to what extent should leadership development be evaluated?
   - 1.10. What are some of the barriers to implementing leadership development impact evaluation approaches, if any?

2. **Research Question:** How can evaluators ascertain or be sure that they are actually measuring what they think they are measuring (the impact of leadership development initiatives)?
   - 2.1. How do you integrate learning theories and leadership theories into your evaluation approaches? If you don't, why not?
   - 2.2. Is there a perceived relationship between leadership development initiatives and leadership effectiveness? And if yes, what is it?
   - 2.3. Are you actually measuring the impact of leadership development initiatives or are you measuring the effectiveness of the HR practitioners / leadership development specialist's abilities to deploy leadership development?

2.4. In-case the answer is “we are measuring the impact of leadership development initiatives” How can you be sure that you are measuring the impact of leadership development initiatives and not something else?
2.5. How can you be sure that the leadership development initiative achieved its intended outcomes (that it actually did what it said it would do)?

# APPENDIX 5 – RESEARCH INSTRUMENT: QUANTITATIVE ONLINE SURVEY QUESTIONNAIRE

## RESEARCH INSTRUMENT: QUANTITATIVE RESEARCH

## ONLINE SURVEY QUESTIONNAIRE

### Survey Leadership Development Impact Evaluation Approaches

**Introduction:** The term "Leadership Development" includes any employer-sponsored Learning & Development that addresses knowledge and skills needed for financial services staff Leadership development. This includes both employee-delivered and contractor-provided leadership development initiatives. The Survey Form # listed at the top of the survey form is used to secure sampling adequacy, and facilitate follow-up on unreturned surveys. To maintain confidentiality, the list that matches your name to this code number will be destroyed after responses are coded and a mailing list is compiled for survey results. No individual response information will be released to anyone before or after this list is destroyed.

**Section A:** Measures of Reaction

---

Section A relates to the use of participant reaction forms to measure participants' post-learning & development initiative satisfaction with course content, instructors, facilities, audio-visual equipment and, in some cases, how the participants plan to use the information from the course.

**A1.** What percentage of your organization's currently active leadership development initiatives use participant reaction forms or other methods to gain information on participants' post-training thoughts or feelings about various aspects of a program such as content, instruction, facilities, materials, or usefulness? _____%

(If you entered 0% for question A1, please skip to question A3.)

**A2.** Please estimate the percentage of programs in which your organization uses each of the various methods listed below to evaluate reaction. Please circle the number corresponding to the percentage of use of each approach listed. If you do not use an approach, please circle 1.

| **Evaluation Approach** | 0% | 1-19% | 20-39% | 40-59% | 60-79% | 80-100% |
|---|---|---|---|---|---|---|
| Reaction Questionnaire | 1 | 2 | 3 | 4 | 5 | 6 |
| Action Plans | 1 | 2 | 3 | 4 | 5 | 6 |

In the space below, please write in any additional evaluation approaches used and circle the number corresponding to percent of use.

| **Evaluation Approach** | 0% | 1-19% | 20-39% | 40-59% | 60-79% | 80-100% |
|---|---|---|---|---|---|---|
| | 1 | 2 | 3 | 4 | 5 | 6 |
| | 1 | 2 | 3 | 4 | 5 | 6 |

**A3.** When you do not evaluate participant reaction to a leadership development initiative, what are the reasons? Check all that apply.

- Leaders do not have enough time to engage in impact evaluation approaches
- Evaluation approaches available use matrixes purely defined HR and L&D without the involvement of key stakeholders as such are inadequate to effectively evaluate this
- The cost in person-hours and/or capital
- Not required by the organization
- Current approaches measure leadership development impact within the immediate business context and do not go beyond this context to ascertain the holistic value of the investment, and thus perceived of little to no value to the organization
- Evaluation takes too much time from the course
- Lack of training or experience in using this form of evaluation
- Leadership development initiative is done only to meet legal requirements
- Policy prohibits the evaluation of leadership development by the training department

Other reasons:

_____
_____

Comments:

_____
_____
_____

**Section B:** Measures of Learning

---

Section B relates to evaluation approaches that measure learning resulting from a leadership development initiative.

**B1.** What percentage of your organization's currently active leadership development initiative use evaluation approaches to measure learning resulting from a learning & development initiative? _____%

(If you entered 0% for question B1 above, please skip to question B3.)

**B2.** Please estimate the percentage of leadership development initiatives in which your organization uses each of the various approaches listed below to leadership development. Please circle the number corresponding to the percentage of use.

| **Evaluation Approach** | 0% | 1-19% | 20-39% | 40-59% | 60-79% | 80-100% |
|---|---|---|---|---|---|---|
| Written pre-test/post-test | 1 | 2 | 3 | 4 | 5 | 6 |
| Written post-tests only | 1 | 2 | 3 | 4 | 5 | 6 |
| Psychometric Assessments | 1 | 2 | 3 | 4 | 5 | 6 |
| Simulations | 1 | 2 | 3 | 4 | 5 | 6 |
| Work Samples | 1 | 2 | 3 | 4 | 5 | 6 |
| Skills Demonstrations | 1 | 2 | 3 | 4 | 5 | 6 |
| On-the-Job Demonstrations | 1 | 2 | 3 | 4 | 5 | 6 |
| 360 Degree assessments | 1 | 2 | 3 | 4 | 5 | 6 |
| Self-Assessments | 1 | 2 | 3 | 4 | 5 | 6 |
| Team Assessments *(assessment of the team's performance pre and post leadership development initiative)* | 1 | 2 | 3 | 4 | 5 | 6 |
| Facilitator/Instructor assessments | 1 | 2 | 3 | 4 | 5 | 6 |

In the space below, please write in any additional evaluation approaches used and circle the number corresponding to percent of use.

| **Evaluation Approach** | 0% | 1-19% | 20-39% | 40-59% | 60-79% | 80-100% |
|---|---|---|---|---|---|---|
| | 1 | 2 | 3 | 4 | 5 | 6 |
| | 1 | 2 | 3 | 4 | 5 | 6 |

**B3.** When you do not evaluate learning that took place during a leadership development initiative, what are the reasons? Check all that apply.

- Leaders do not have enough time to engage in impact evaluation approaches
- Evaluation approaches available use matrixes purely defined HR and L&D without the involvement of key stakeholders as such are inadequate to effectively evaluate this
- The cost in person-hours and/or capital
- Not required by the organization
- Current approaches measure leadership development impact within the immediate business context and do not go beyond this context to ascertain the holistic value of the investment, and thus perceived of little to no value to the organization
- Evaluation takes too much time from the course
- Lack of training or experience in using this form of evaluation
- Leadership development initiative is done only to meet legal requirements
- Policy prohibits the evaluation of leadership development by the training department

Other reasons:

_____
_____

Comments:

_____
_____
_____

**Section C:** Measures of on the Job Application

---

Section C relates to evaluation approaches that measure the transfer of learning to the job. These measures typically take place several weeks or months after a leadership development initiative and measure actual use of the knowledge or skills gained during a leadership development initiative.

**C1.** What percentage of your organization's currently active leadership development initiatives use evaluation methods that measure the amount of learning transferred to the job?_____%

(If you entered 0% to question C1 above, please skip to question C3.)

**C2.** Please estimate the percentage of programs for which your organization uses each of the various approaches listed below to evaluate the use of learning on the job. Please circle the number corresponding to the percentage of use.

| **Evaluation Approach** | 0% | 1-19% | 20-39% | 40-59% | 60-79% | 80-100% |
|---|---|---|---|---|---|---|

| | | | | | | |
|---|---|---|---|---|---|---|
| Anecdotal information | 1 | 2 | 3 | 4 | 5 | 6 |
| Observation | 1 | 2 | 3 | 4 | 5 | 6 |
| Focus Groups | 1 | 2 | 3 | 4 | 5 | 6 |
| Existing Records other than Performance | 1 | 2 | 3 | 4 | 5 | 6 |
| Records Produces specifically for Evaluation Purposes | 1 | 2 | 3 | 4 | 5 | 6 |
| Assessments by leaders' Sub-ordinates | 1 | 2 | 3 | 4 | 5 | 6 |
| Assessments by leaders' supervisor | 1 | 2 | 3 | 4 | 5 | 6 |
| Self-Assessment | 1 | 2 | 3 | 4 | 5 | 6 |
| Peer-Assessment | 1 | 2 | 3 | 4 | 5 | 6 |
| Action Learning Projects/ Follow up assignments | 1 | 2 | 3 | 4 | 5 | 6 |
| Action Plans | 1 | 2 | 3 | 4 | 5 | 6 |
| Performance Contracts with supervisor | 1 | 2 | 3 | 4 | 5 | 6 |

In the space below, please write in any additional evaluation approaches used and circle the number corresponding to percent of use.

| **Evaluation Approach** | 0% | 1-19% | 20-39% | 40-59% | 60-79% | 80-100% |
|---|---|---|---|---|---|---|
| | 1 | 2 | 3 | 4 | 5 | 6 |
| | 1 | 2 | 3 | 4 | 5 | 6 |

**C3.** When you do not evaluate transfer of learning to the job after a leadership development initiative, what are the reasons? Check all that apply.

- Leaders do not have enough time to engage in impact evaluation approaches
- Evaluation approaches available use matrixes purely defined HR and L&D without the involvement of key stakeholders as such are inadequate to effectively evaluate this
- The cost in person-hours and/or capital
- Not required by the organization
- Current approaches measure leadership development impact within the immediate business context and do not go beyond this context to ascertain the holistic value of the investment, and thus perceived of little to no value to the organization
- Evaluation takes too much time from the course
- Lack of training or experience in using this form of evaluation
- Leadership development initiative is done only to meet legal requirements
- Policy prohibits the evaluation of leadership development by the training department

Other reasons:

_____
_____

Comments:

_____
_____
_____

**Section D:** Measures of outcomes

---

Section D relates to evaluation approaches that measure organizational change (outcomes) due to a change in performance as a result of learning & development that occurred in a leadership development initiative. These measures usually compare conditions prior to the learning and development initiative to conditions after the learning and development initiative has been completed and link the change to the leadership development initiative.

**D1.** What percentage of your organization's currently active leadership development initiative use evaluation approaches that measure organizational outcomes that occur after a leadership development initiative? _____%

(If you entered 0% to question D1 above, please skip to question D3.)

**D2.** Please estimate the percentage of leadership development initiatives in which your organization uses each of the various approaches listed below to evaluate organizational outcomes. Please circle the number corresponding to the percent of use.

| **Evaluation Approach** | 0% | 1-19% | 20-39% | 40-59% | 60-79% | 80-100% |
|---|---|---|---|---|---|---|
| Anecdotal information | 1 | 2 | 3 | 4 | 5 | 6 |
| Estimates of improved productivity before and after measures related to the learning & development goal | 1 | 2 | 3 | 4 | 5 | 6 |
| Individual leader or Group/team performance | 1 | 2 | 3 | 4 | 5 | 6 |
| Cost savings | 1 | 2 | 3 | 4 | 5 | 6 |
| Net promoter score | 1 | 2 | 3 | 4 | 5 | 6 |
| Individual leader or Group/team performance | 1 | 2 | 3 | 4 | 5 | 6 |
| Retention of key employees | 1 | 2 | 3 | 4 | 5 | 6 |
| Organisational Culture Survey | 1 | 2 | 3 | 4 | 5 | 6 |
| Talent dashboard - Trajectory of the leaders career | 1 | 2 | 3 | 4 | 5 | 6 |
| Employee Engagement Scores | 1 | 2 | 3 | 4 | 5 | 6 |
| Compliance with regulatory requirements | 1 | 2 | 3 | 4 | 5 | 6 |
| Isolate for effects of the program | 1 | 2 | 3 | 4 | 5 | 6 |

In the space below, please write in any additional evaluation approaches used and circle the number corresponding to percent of use.

| **Evaluation Approach** | 0% | 1-19% | 20-39% | 40-59% | 60-79% | 80-100% |
|---|---|---|---|---|---|---|
| | 1 | 2 | 3 | 4 | 5 | 6 |
| | 1 | 2 | 3 | 4 | 5 | 6 |

D3. What percentage of your organization's currently active leadership development initiatives use evaluation approaches that measure return on investment (ROI)? _____%

(If you entered 0% above to question D3, please skip to question D5.)

D4. Please estimate the percentage of currently active programs in which your organization uses each of the various methods listed below to evaluate return on investment. Please circle the number corresponding to the percent of use. (For definitions of these programs, please see notes at the end of this survey.)

| **Evaluation Approach** | 0% | 1-19% | 20-39% | 40-59% | 60-79% | 80-100% |
|---|---|---|---|---|---|---|
| Traditional Return on Investment Calculation | 1 | 2 | 3 | 4 | 5 | 6 |
| Benefit/Cost Analysis | 1 | 2 | 3 | 4 | 5 | 6 |
| Payback Period | 1 | 2 | 3 | 4 | 5 | 6 |
| Net Present Value (NPV) | 1 | 2 | 3 | 4 | 5 | 6 |
| Internal Rate of Return (IRR) | 1 | 2 | 3 | 4 | 5 | 6 |
| Utility Analysis | 1 | 2 | 3 | 4 | 5 | 6 |
| Balanced Scorecard | 1 | 2 | 3 | 4 | 5 | 6 |
| Opportunity Costs *(Consequences of not deploying the learning & development initiative)* | 1 | 2 | 3 | 4 | 5 | 6 |

In the space below, please write in any additional evaluation approaches used and circle the number corresponding to percent of use.

| **Evaluation Approach** | 0% | 1-19% | 20-39% | 40-59% | 60-79% | 80-100% |
|---|---|---|---|---|---|---|
| | 1 | 2 | 3 | 4 | 5 | 6 |
| | 1 | 2 | 3 | 4 | 5 | 6 |

**D5.** When you do not evaluate leadership development at the return-on-investment level, what are the reasons? Check all that apply.

- Leaders do not have enough time to engage in impact evaluation approaches
- Evaluation approaches available use matrixes purely defined HR and L&D without the involvement of key stakeholders as such are inadequate to effectively evaluate this
- The cost in person-hours and/or capital
- Not required by the organization
- Current approaches measure leadership development impact within the immediate business context and do not go beyond this context to ascertain the holistic value of the investment, and thus perceived of little to no value to the organization
- Evaluation takes too much time from the course
- Lack of training or experience in using this form of evaluation
- Leadership development initiative is done only to meet legal requirements
- Policy prohibits the evaluation of leadership development by the training department

Other reasons:

_____
_____

Comments:

_____
_____
_____

**Section E:** Measures of Societal Impact

---

Section E relates to evaluation approaches that measure societal impact due to a change in performance as a result of learning & development that occurred in a leadership development initiative. These measures usually compare conditions prior to the learning and development initiative to conditions after the learning and development initiative has been completed and link the change to the leadership development initiative.

**E1.** What percentage of your organization's currently active leadership development initiatives use evaluation approaches that measure societal impact that occur after a leadership development initiative? _____%

(If you entered 0% to question E1 above, please skip to question E3.)

**E2.** Please estimate the percentage of leadership development initiatives in which your organization uses each of the various approaches listed below to evaluate societal impact. Please circle the number corresponding to the percent of use.

| **Evaluation Approach** | 0% | 1-19% | 20-39% | 40-59% | 60-79% | 80-100% |
|---|---|---|---|---|---|---|
| Anecdotal information | 1 | 2 | 3 | 4 | 5 | 6 |
| BBBEE Scorecard *(All elements of the Codes of Good Practice)* | 1 | 2 | 3 | 4 | 5 | 6 |
| BBBEE Scorecard (Skills Development) | 1 | 2 | 3 | 4 | 5 | 6 |
| BBBEE Scorecard (Socio-Economic Development) | 1 | 2 | 3 | 4 | 5 | 6 |
| BBBEE Scorecard (Enterprise & Supplier Development) | 1 | 2 | 3 | 4 | 5 | 6 |
| Activity and output based social impact surveys | 1 | 2 | 3 | 4 | 5 | 6 |
| Outcomes and impact based social impact surveys | 1 | 2 | 3 | 4 | 5 | 6 |
| Impact Benchmarking Assessments *(https://b-analytics.net/)* | 1 | 2 | 3 | 4 | 5 | 6 |
| Impact Benchmarking Assessments *(https://bimpactassessment.net/)* | 1 | 2 | 3 | 4 | 5 | 6 |

In the space below, please write in any additional evaluation approaches used and circle the number corresponding to percent of use.

| **Evaluation Approach** | 0% | 1-19% | 20-39% | 40-59% | 60-79% | 80-100% |
|---|---|---|---|---|---|---|
| | 1 | 2 | 3 | 4 | 5 | 6 |
| | 1 | 2 | 3 | 4 | 5 | 6 |

**E3.** When you do not evaluate leadership development at the societal impact level, what are the reasons? Check all that apply.

- ☐ Leaders do not have enough time to engage in impact evaluation approaches
- ☐ Evaluation approaches available use matrixes purely defined HR and L&D without the involvement of key stakeholders as such are inadequate to effectively evaluate this
- ☐ The cost in person-hours and/or capital
- ☐ Not required by the organization
- ☐ Current approaches measure leadership development impact within the immediate business context and do not go beyond this context to ascertain the holistic value of the investment, and thus perceived of little to no value to the organization
- ☐ Evaluation takes too much time from the course
- ☐ Lack of training or experience in using this form of evaluation
- ☐ Leadership development initiative is done only to meet legal requirements
- ☐ Policy prohibits the evaluation of leadership development by the training department

Other reasons:

_____
_____

Comments:

_____
_____
_____

**Section F:** Evaluation in the organisation

---

F1. Please indicate the percentage of currently active programs in which your organization starts planning the evaluation process at each of the stages listed below.

| **Evaluation Stage** | 0% | 1-19% | 20-39% | 40-59% | 60-79% | 80-100% |
|---|---|---|---|---|---|---|
| Prior to Program Development | 1 | 2 | 3 | 4 | 5 | 6 |
| As the First Step in Program Development | 1 | 2 | 3 | 4 | 5 | 6 |
| During Program Development | 1 | 2 | 3 | 4 | 5 | 6 |
| After Program Development | 1 | 2 | 3 | 4 | 5 | 6 |
| When Leadership Development Results Must be Documented | 1 | 2 | 3 | 4 | 5 | 6 |
| Evaluations Are Not Implemented | 1 | 2 | 3 | 4 | 5 | 6 |

F2. Leadership development initiatives are delivered for a variety of reasons and have different levels of participation. Please indicate the percentage of your currently active programs that match the descriptions listed on the right. Respond to all reasons that apply.

| **Evaluation Stage** | 0% | 1-19% | 20-39% | 40-59% | 60-79% | 80-100% |
|---|---|---|---|---|---|---|
| Employees are Sent to the Program as a Reward | 1 | 2 | 3 | 4 | 5 | 6 |
| All employees involved in an activity or specific group attend this program | 1 | 2 | 3 | 4 | 5 | 6 |
| Participants will acquire new attitudes by attending this program | 1 | 2 | 3 | 4 | 5 | 6 |
| Participants in this program will be able to perform at a set level | 1 | 2 | 3 | 4 | 5 | 6 |
| When Training Program Results Must be Documented | 1 | 2 | 3 | 4 | 5 | 6 |
| A change in organizational Outcomes will result from this course | 1 | 2 | 3 | 4 | 5 | 6 |

F3. Approximately what percentage of the employee education/training staff is involved in evaluation?

| 0% | 1-19% | 20-39% | 40-59% | 60-79% | 80-100% |
|---|---|---|---|---|---|
| 1 | 2 | 3 | 4 | 5 | 6 |

F4. Approximately what percentage of the employee education/training budget is applied to evaluation?

| 0% | 1-19% | 20-39% | 40-59% | 60-79% | 80-100% |
|---|---|---|---|---|---|

| | | | | | |
|---|---|---|---|---|---|
| 1 | 2 | 3 | 4 | 5 | 6 |

F5. Approximately what percentage of the employee education/training staff has formal preparation in evaluation?

| 0% | 1-19% | 20-39% | 40-59% | 60-79% | 80-100% |
|---|---|---|---|---|---|
| 1 | 2 | 3 | 4 | 5 | 6 |

F6. How do you isolate the effects of a training program?

| **Approaches to Isolate the Effectiveness of the program** | 0% | 1-19% | 20-39% | 40-59% | 60-79% | 80-100% |
|---|---|---|---|---|---|---|
| Use of control groups | 1 | 2 | 3 | 4 | 5 | 6 |
| Trend line analysis | 1 | 2 | 3 | 4 | 5 | 6 |
| Forecasting methods | 1 | 2 | 3 | 4 | 5 | 6 |
| Participant estimate of training's impact | 1 | 2 | 3 | 4 | 5 | 6 |
| Supervisor estimate of training's impact | 1 | 2 | 3 | 4 | 5 | 6 |
| Management estimate of training's impact | 1 | 2 | 3 | 4 | 5 | 6 |
| Customer/client input of training's impact | 1 | 2 | 3 | 4 | 5 | 6 |
| Expert estimate of training's impact | 1 | 2 | 3 | 4 | 5 | 6 |
| Subordinate estimate of training's impact | 1 | 2 | 3 | 4 | 5 | 6 |

Other approaches used to isolate the effectiveness of the program:

| **Approaches to Isolate the Effectiveness of the program** | 0% | 1-19% | 20-39% | 40-59% | 60-79% | 80-100% |
|---|---|---|---|---|---|---|
| | 1 | 2 | 3 | 4 | 5 | 6 |
| | 1 | 2 | 3 | 4 | 5 | 6 |

Comments:

_____
_____
_____

F7. When evaluating leadership development it's important to include the following level/levels? Check all that apply.

- Facilitator Level
- Individual/ Self-Level
- Organisational Level
- Societal Level
- Environmental Level
- None of the above

F8. The following data are important when evaluating leadership development? Check all that apply.

- Quantitative
- Qualitative

- Both
- Neither

F9. Circle the percentage of currently active leadership development initiatives that must be evaluated in order to receive continued funding.

| 0% | 1-19% | 20-39% | 40-59% | 60-79% | 80-100% |
|---|---|---|---|---|---|
| 1 | 2 | 3 | 4 | 5 | 6 |

F10. What percentage of the total leadership development budget is dedicated to evaluation activities?

| 0% | 1-19% | 20-39% | 40-59% | 60-79% | 80-100% |
|---|---|---|---|---|---|
| 1 | 2 | 3 | 4 | 5 | 6 |

F11. Financial expertise is available to support training evaluation if requested from sources within the organization (example: assistance with acquisition of business data such as turnover, unit costs, sales data, etc.).

Yes____ No_____

If yes, do you routinely use this financial expertise to support leadership development initiative evaluation?
Yes____ No_____

F12. How is employee development funded in your organization? Check only one.

- Separate learning & development budget
- Administrative budget and no chargeback for program attendance
- Separate learning & development budget and separate profit centre
- Administrative budget and some form of chargeback for program attendance.
- Other: _____

F13. Is a written learning & development evaluation policy in place in your organization? Yes____ No_____

If 'No', skip to question F18.

F14. To what extent does your written evaluation policy guide the evaluation process? Please circle the number corresponding to the percent of use.

| 0% | 1-19% | 20-39% | 40-59% | 60-79% | 80-100% |
|---|---|---|---|---|---|
| 1 | 2 | 3 | 4 | 5 | 6 |

F15. Which levels of evaluation are covered by the written policy? Check all that apply.

- Level 1 (reaction)
- Level 2 (learning)
- Level 3 (on-the-job application)
- Level 4 (organizational outcomes)
- Return on Investment (ROI)
- Societal Impact Level
- Other: _____

F16. Which criteria are important in selecting leadership development programs for evaluation at the societal impact level? Rank the following ten items (including your specified 'other' item) in order of importance: 1 is most important; 10 is least important.

___Involves large target audience
___Take a significant investment of time
___Expected to have a long life cycle
___Have high visibility

___Important to strategic objectives
___Have a comprehensive needs assessment
___Links to operational goals and issues
___Have the interest of top executives
___Are expensive
___Other: _____

F17. Which criteria would be most important in determining the most effective approach of evaluating the impact of learning & development initiatives? Rank the following ten items (including your specified 'other' item) in order of importance: 1 is most important; 10 is least important.

___Simple
___Be appropriate for a variety of programs
___Economical
___Be applicable with all types of data
___Credible
___Include program costs
___Theoretically sound
___Have a successful track record
___Account for other factors
___Other: _____ (e.g., isolate variables other than training)

F18. Leadership Development initiatives evaluation information is routinely reported to executive management in my organization.

Yes____ No____

**Section G:** Definition of Terms

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**Definitions**

- **Social Impact Measurement** is a process of understanding how much **social** change occurred and can be attributed to an **organization's** activities.

- **Traditional Return on Investment Calculation (ROI):** Return on investment (ROI) is a financial analysis method that is used to determine if resources are being used profitably. A common formula for ROI is ROI (%) = Net Program Benefits/Program Costs x 100.

- **Benefit/Cost analysis:** The relationship between the program benefits (returns) and program costs (associated with the investment) is often expressed as a ratio: BCR = Program Benefits/Program Costs.

- **Payback period:** Payback period represents the length of time required to recover an original amount invested through the investment's cash flow and is expressed by the following formula: Payback Period = Initial Investment/Cash Flow per Year.

- **Net Present Value (NPV):** Net present value (NPV) is a financial analysis method where all expected cash inflows and outflows are discounted to the present point in time, using a pre-selected discount rate. The present values of the inflows are added together, and the initial outlay (and any other subsequent outflows) is subtracted. The difference between the inflows and outflows is the net present value.

- **Internal Rate of Return (IRR):** Internal rate of return (IRR) is a financial analysis method that uses a time-adjusted rate of return. The IRR is the rate at which the present value of the inflows equals the present value of the outflows, or the rate at which the NPV is equal to zero. This method determines the interest rate required making the present value of the cash flow equal to zero. It represents the maximum rate of interest that could be paid on a project breakeven basis using borrowed funds.

- **Utility Analysis:** Utility analysis examines the relationship between productivity and job performance. One version of the utility formula is presented by Godkewitsch: F = N[(ExM)-C], where F = financial utility; N = number of people affected; E = effect of the intervention; M = monetary value of the effect; and C = cost of the intervention per person. E is also measured in standard deviation units.

- **Balanced Scorecard:** The Balanced Scorecard is a framework to evaluate organizational performance by linking four perspectives: financial, customer, internal business, and innovation learning. Managers select a limited number of critical indicators within each of the four perspectives' (Kaplan & Norton).

- **Opportunity Costs/ Consequences of Not Training:** The financial (and other) impact analysis of not conducting training.

This Questionnaire is adapted "Survey of Present Practices in Training Evaluation: Financial Services Industry" Copyright ©2002 Angela K. Gomez contactable at 713-667-3629 or email: akgomez@aggies.com.

Which was originally adapted from Evaluation: Present Practices in U.S. Business and Industry: Technical Training Copyright ©1994 Twitchell, Holton and Phillips

## APPENDIX 6 – PARTICIPANT INFORMATION SHEETS

**The University of Witwatersrand, Johannesburg**
**Graduate School of Business Administration**

2 St David's Place, Parktown, Johannesburg, 2193, South Africa
P O Box 98, WITS, 2050
Website: www.wbs.ac.za
PhD Candidate: Vuyile Mbatha, 2272625

**PARTICIPANT INFORMATION SHEET**
**JOHANNESBURG STOCK EXCHANGE (JSE)**

**LEADERSHIP DEVELOPMENT IMPACT EVALUATION APPROACHES**

Dear Sir/ Madam

My name is **Vuyile Cynthia Mbatha**, contact details: mobile number 0662973258 email 2272625@students.wits.ac.za I am a PhD student in **Business Management & Leadership** at the **University of Witwatersrand (Wits Business School) Johannesburg**. As part of my studies, I have to undertake a research project and I am investigating **Leadership Development Impact Evaluation Approaches** under the supervision of **Dr. Manamela Matshabaphala**.

The purpose of my study is exploring the approaches used to evaluate the impact of leadership development initiatives. This research study aims to explore the existing learning and development evaluation approaches, with the aim of identifying a holistic and inclusive evaluation approach which is specifically aimed at leadership development impact evaluation. As part of this project, I would like to invite you to take part in a one on one interview. The interview will be approximately 30-45 minutes conducted online via Microsoft Teams and with your permission, I would like to record the interview using a digital recording device enabled on the Microsoft Teams platform.

There will be no personal costs to you if you participate in this project, you will not receive any direct benefits from participation but there are no disadvantages or penalties if you do not choose to participate or if you withdraw from the study. You may withdraw at any time or not answer any question if you do not want to. The interview will be confidential and data will be captured anonymously as I will not be recording your name or any identifying information, and the information you give to me will be held securely and not disclosed to anyone else. If you experience any distress or discomfort at any point in this process, we will stop the interview or resume another time. I will be using a pseudonym (false name) to represent your participation in my final research report. The typed version of your interview will be made anonymous by removing any identifying information. Soft copies will be stored on a password protected computer where the files will be encrypted and no-one will be able to access them except the researcher.

If you have any questions during or afterwards about this research, feel free to contact me on the details listed below. This study will be written up as a research report which will be available online through the university library website. If you wish to receive a summary of this report, I will be happy to send it to you. The data collected for this study will be kept securely stored in a locked cabinet for a period of five years and only the

researcher involved in this study will have access to the data. With your permission the data collected from this research project may be used by other researchers.

If you have any concerns or complaints regarding the ethical procedures of this study, you are welcome to contact the University Human Research Ethics Committee (Non-Medical), telephone +27(0) 11 717 1408, email hrecnon-medical@wits.ac.za .

**Yours Sincerely**,

**Researcher:** Vuyile Cynthia Mbatha, 2272625@students.wits.ac.za , +27662973258

**Supervisor:** Dr. Manamela Matshabaphala, Manamela.Matshabaphala@wits.ac.za, +27823416102

**The University of Witwatersrand, Johannesburg**
**Graduate School of Business Administration**

2 St David's Place, Parktown, Johannesburg, 2193, South Africa
P O Box 98, WITS, 2050
Website: www.wbs.ac.za
PhD Candidate: Vuyile Mbatha, 2272625

**PARTICIPANT INFORMATION SHEET**
**ABSA ENGINEERING SERVICES**

**LEADERSHIP DEVELOPMENT IMPACT EVALUATION APPROACHES**

Dear Sir/ Madam

My name is **Vuyile Cynthia Mbatha**, contact details: mobile number 0662973258 email 2272625@students.wits.ac.za I am a PhD student in **Business Management & Leadership** at the **University of Witwatersrand (Wits Business School) Johannesburg**. As part of my studies, I have to undertake a research project and I am investigating **Leadership Development Impact Evaluation Approaches** under the supervision of **Dr. Manamela Matshabaphala**.

The purpose of my study is exploring the approaches used to evaluate the impact of leadership development initiatives. This research study aims to explore the existing learning and development evaluation approaches, with the aim of identifying a holistic and inclusive evaluation approach which is specifically aimed at leadership development impact evaluation. As part of this project, I would like to invite you to take part in an online survey administered through survey monkey. The online survey questionnaire is roughly 25 questions and is estimated at a duration of 20 to 30 minutes.

There will be no personal costs to you if you participate in this project, you will not receive any direct benefits from participation but there are no disadvantages or penalties if you do not choose to participate or if you withdraw from the study. You may withdraw at any time or not answer any question if you do not want to. The online survey will be confidential and anonymous as I will not be asking for your name or any identifying information, and the information you give to me will be held securely and not disclosed to anyone else. I will be using a pseudonym (false name) to represent your participation in my final research report. If you experience any distress or discomfort at any point in this process, you can choose to completely stop doing the survey at any point or resume another time.

If you have any questions during or afterwards about this research, feel free to contact me on the details listed below. This study will be written up as a research report which will be available online through the university library website. If you wish to receive a summary of this report, I will be happy to send it to you. Soft copies of the data collected will be stored on a password protected computer where the files will be encrypted and no-one will be able to access them except the researcher. The printed data collected from the survey will be kept securely stored in a locked cabinet for a period of five year and only the researcher involved in this study

will have access to the data. With your permission the data collected from this research project may be used by other researchers.

If you have any concerns or complaints regarding the ethical procedures of this study, you are welcome to contact the University Human Research Ethics Committee (Non-Medical), telephone +27(0) 11 717 1408, email hrecnon-medical@wits.ac.za .

**Yours Sincerely**,

**Researcher:** Vuyile Cynthia Mbatha, 2272625@students.wits.ac.za , +27662973258

**Supervisor:** Dr. Manamela Matshabaphala, Manamela.Matshabaphala@wits.ac.za, +27823416102

## APPENDIX 7 – SURVEY REMINDER CARD




### SURVEY REMINDER POSTCARD

### ONLINE SURVEY QUESTIONNAIRE

#### Survey Leadership Development Impact Evaluation Approaches

Dear Participant,

A survey was recently sent to you entitled, **"Leadership Development Impact Evaluation Approaches".** This survey is part of a project to determine how the impact of leadership development initiatives is evaluated in corporate organisations in South Africa. This is a reminder for you to kindly complete the survey as your participation is crucial in ascertaining and defining the current practices and standards used in corporate organisations across South Africa in evaluating the impact of leadership development.

Participating in the study is not compulsory and completely up to you to decide whether or not you take part.

The information you provide in this research study will be kept confidential and the study will not mention your name or any of your personal information in any way. The data collected for this study will be kept securely stored and only the researchers involved in this study will have access to the data. At the end of the study, hard copies of questionnaires will be kept securely in a locked cabinet for a period of five years. At the end of this period, they will be destroyed.

If you have already completed and returned your survey, please accept my sincere thanks. If not, please do so before the end of this week, as the survey has been sent to a few participants your responses are extremely valuable.

If you did not receive the survey, please don't hesitate to call or email.

If you have any questions about the study, please contact the researcher: Vuyile Cynthia Mbatha on 0662973258 or via email 2272625@students.wits.ac.za or my supervisor Dr. Manamela Matshabaphala on his email Manamela.Matshabaphala@wits.ac.za

**Yours Sincerely**,

Vuyile Cynthia Mbatha (MBL, PhD Candidate)

This survey reminder postcard is adapted "Survey of Present Practices in Training Evaluation: Financial Services Industry
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## APPENDIX 8 – QUALITATIVE DATA ANALYSIS TEMPLATE

### QUALITATIVE DATA ANALYSIS TEMPLATE

### LEADERSHIP DEVELOPMENT IMPACT EVALUATION APPROACHES

| Research Question One | Are the current Leadership Development impact evaluation approaches a case of a self-fulfilling prophecy? | | | |
|---|---|---|---|---|
| Question asked | Verbatim Response | | Key Words | Key themes/categories that emerge |
| 1.1. What are the current practices in the evaluation of the impact of leadership development initiatives? | R.A. | | | |
| | R.B | | | |
| | R.C. | | | |
| | R.D. | | | |
| | R.E. | | | |
| | R.F. | | | |
| | R.G | | | |
| | R.H. | | | |
| | R.I. | | | |
| | R.J. | | | |
| | R.K. | | | |

| | | | | |
|---|---|---|---|---|
| | R.L. | | | |

*R.A > Response from interviewee A

| Research Question One | Are the current Leadership Development impact evaluation approaches a case of a self-fulfilling prophecy? | | | |
|---|---|---|---|---|
| Question asked | Verbatim Response | | Key Words | Key themes/categories that emerge |
| 1.2. How is the holistic impact of leadership development initiatives evaluated? | R.A. | | | |
| | R.B | | | |
| | R.C. | | | |
| | R.D. | | | |
| | R.E. | | | |
| | R.F. | | | |
| | R.G | | | |
| | R.H. | | | |
| | R.I. | | | |
| | R.J. | | | |
| | R.K. | | | |
| | R.L. | | | |

| Research Question One | Are the current Leadership Development impact evaluation approaches a case of a self-fulfilling prophecy? | | | |
|---|---|---|---|---|
| Question asked | Verbatim Response | | Key Words | Key themes/categories that emerge |
| 1.3. As a key stakeholder within this organisation, what are your perceptions of the approaches of evaluating the impact of leadership development? | R.A. | | | |
| | R.B | | | |
| | R.C. | | | |
| | R.D. | | | |
| | R.E. | | | |
| | R.F. | | | |
| | R.G | | | |
| | R.H. | | | |
| | R.I. | | | |
| | R.J. | | | |
| | R.K. | | | |
| | R.L. | | | |

| Research Question One | Are the current Leadership Development impact evaluation approaches a case of a self-fulfilling prophecy? | | | |
|---|---|---|---|---|
| Question asked | Verbatim Response | | Key Words | Key themes/categories that emerge |
| 1.4. What would a successful leadership development initiative look in your perception? | R.A. | | | |
| | R.B | | | |
| | R.C. | | | |
| | R.D. | | | |
| | R.E. | | | |
| | R.F. | | | |
| | R.G | | | |
| | R.H. | | | |
| | R.I. | | | |
| | R.J. | | | |
| | R.K. | | | |
| | R.L. | | | |

| Research Question One | Are the current Leadership Development impact evaluation approaches a case of a self-fulfilling prophecy? | | | |
|---|---|---|---|---|
| Question asked | Verbatim Response | | Key Words | Key themes/categories that emerge |
| 1.5. How should leadership development be evaluated? | R.A. | | | |
| | R.B | | | |
| | R.C. | | | |
| | R.D. | | | |
| | R.E. | | | |
| | R.F. | | | |
| | R.G | | | |
| | R.H. | | | |
| | R.I. | | | |
| | R.J. | | | |
| | R.K. | | | |
| | R.L. | | | |

| Research Question One | Are the current Leadership Development impact evaluation approaches a case of a self-fulfilling prophecy? | | | |
|---|---|---|---|---|
| Question asked | Verbatim Response | | Key Words | Key themes/categories that emerge |
| 1.6. What matrixes would you like to see being used to evaluate the impact of leadership development initiatives? | R.A. | | | |
| | R.B | | | |
| | R.C. | | | |
| | R.D. | | | |
| | R.E. | | | |
| | R.F. | | | |
| | R.G | | | |
| | R.H. | | | |
| | R.I. | | | |
| | R.J. | | | |
| | R.K. | | | |
| | R.L. | | | |

| Research Question One | Are the current Leadership Development impact evaluation approaches a case of a self-fulfilling prophecy? | | | |
|---|---|---|---|---|
| Question asked | Verbatim Response | | Key Words | Key themes/categories that emerge |
| 1.7. Theory of Change: Given your ideas of the impact you want to see through the deployment of a leadership development initiative, what would be the measureable outcomes? | R.A. | | | |
| | R.B | | | |
| | R.C. | | | |
| | R.D. | | | |
| | R.E. | | | |
| | R.F. | | | |
| | R.G | | | |
| | R.H. | | | |
| | R.I. | | | |
| | R.J. | | | |
| | R.K. | | | |
| | R.L. | | | |

| Research Question One | Are the current Leadership Development impact evaluation approaches a case of a self-fulfilling prophecy? | | | |
|---|---|---|---|---|
| Question asked | Verbatim Response | | Key Words | Key themes/categories that emerge |
| 1.8. In relation to the role of a leader having a direct relation with some or all aspects of triple bottom line (Organisational level, Societal Level & Environmental Level), to what extent should leadership development be evaluated? | R.A. | | | |
| | R.B | | | |
| | R.C. | | | |
| | R.D. | | | |
| | R.E. | | | |
| | R.F. | | | |
| | R.G | | | |
| | R.H. | | | |
| | R.I. | | | |
| | R.J. | | | |
| | R.K. | | | |
| | R.L. | | | |

| Research Question One | Are the current Leadership Development impact evaluation approaches a case of a self-fulfilling prophecy? | | | |
|---|---|---|---|---|
| Question asked | Verbatim Response | | Key Words | Key themes/categories that emerge |
| 1.9. What are some of the barriers to implementing leadership development impact evaluation approaches, if any? | R.A. | | | |
| | R.B | | | |
| | R.C. | | | |
| | R.D. | | | |
| | R.E. | | | |
| | R.F. | | | |
| | R.G | | | |
| | R.H. | | | |
| | R.I. | | | |
| | R.J. | | | |
| | R.K. | | | |
| | R.L. | | | |

| Research Question One | Are the current Leadership Development impact evaluation approaches a case of a self-fulfilling prophecy? | | | |
|---|---|---|---|---|
| Question asked | Verbatim Response | | Key Words | Key themes/categories that emerge |
| | R.A. | | | |
| | R.B | | | |
| | R.C. | | | |
| | R.D. | | | |
| | R.E. | | | |
| | R.F. | | | |
| | R.G | | | |
| | R.H. | | | |
| | R.I. | | | |
| | R.J. | | | |
| | R.K. | | | |
| | R.L. | | | |

| Research Question Two | How can you be sure that you are actually measuring what you think you are measuring (the impact of leadership development initiatives)? | | | |
|---|---|---|---|---|
| Question asked | Verbatim Response | | Key Words | Key themes/categories that emerge |
| 2.1. Is there a perceived relationship between leadership development initiatives and leadership effectiveness? And if yes, what is it? | R.A. | | | |
| | R.B | | | |
| | R.C. | | | |
| | R.D. | | | |
| | R.E. | | | |
| | R.F. | | | |
| | R.G | | | |
| | R.H. | | | |
| | R.I. | | | |
| | R.J. | | | |
| | R.K. | | | |
| | R.L. | | | |

| Research Question Two | How can you be sure that you are actually measuring what you think you are measuring (the impact of leadership development initiatives)? | | | |
|---|---|---|---|---|
| Question asked | Verbatim Response | | Key Words | Key themes/categories that emerge |
| 2.2. Are you actually measuring the impact of leadership development initiatives or are you measuring the effectiveness of the HR practitioners / leadership development specialist's abilities to deploy leadership development? | R.A. | | | |
| | R.B | | | |
| | R.C. | | | |
| | R.D. | | | |
| | R.E. | | | |
| | R.F. | | | |
| | R.G | | | |
| | R.H. | | | |
| | R.I. | | | |
| | R.J. | | | |
| | R.K. | | | |
| | R.L. | | | |

| Research Question Two | How can you be sure that you are actually measuring what you think you are measuring (the impact of leadership development initiatives)? | | | |
|---|---|---|---|---|
| Question asked | Verbatim Response | | Key Words | Key themes/categories that emerge |
| 2.3. In-case the answer is "we are measuring the impact of leadership development initiatives" How can you be sure that you are measuring the impact of leadership development initiatives and not something else? | R.A. | | | |
| | R.B | | | |
| | R.C. | | | |
| | R.D. | | | |
| | R.E. | | | |
| | R.F. | | | |
| | R.G | | | |
| | R.H. | | | |
| | R.I. | | | |
| | R.J. | | | |
| | R.K. | | | |
| | R.L. | | | |

| Research Question Two | How can you be sure that you are actually measuring what you think you are measuring (the impact of leadership development initiatives)? | | | |
|---|---|---|---|---|
| Question asked | Verbatim Response | | Key Words | Key themes/categories that emerge |
| 2.4. How can you be sure that the leadership development initiative achieved its intended outcomes (that it actually did what it said it would do)? | R.A. | | | |
| | R.B | | | |
| | R.C. | | | |
| | R.D. | | | |
| | R.E. | | | |
| | R.F. | | | |
| | R.G | | | |
| | R.H. | | | |
| | R.I. | | | |
| | R.J. | | | |
| | R.K. | | | |
| | R.L. | | | |

| Research Question Two | How can you be sure that you are actually measuring what you think you are measuring (the impact of leadership development initiatives)? | | | |
|---|---|---|---|---|
| Question asked | Verbatim Response | | Key Words | Key themes/categories that emerge |
| 2.5. What are your perceived relationship between leadership development initiatives and its impact, in relation to the triple bottom line (Organisational level, Societal Level & Environmental Level)? | R.A. | | | |
| | R.B | | | |
| | R.C. | | | |
| | R.D. | | | |
| | R.E. | | | |
| | R.F. | | | |
| | R.G | | | |
| | R.H. | | | |
| | R.I. | | | |
| | R.J. | | | |
| | R.K. | | | |
| | R.L. | | | |