

LLC Evaluation Circle Meeting  
September 27-28, 2004  
Battle Creek, MI (Kellogg Foundation)

Convenors: Claire Reinelt and Deborah Meehan  
Facilitator: Cynthia Chavez  
Summary Notetaker: Kim Hsieh

**The Inquiry Process and Preparation for the Circle Meeting**

The Evaluation Learning Circle engaged interested circle members in an inquiry process to better understand how personal transformation links to organizational, community, and social/systemic change, and how to evaluate it. Eighteen topics for inquiry were proposed (**see Attachment A**). Participants were asked to engage in their own inquiry process over a six month period in advance of our gathering in September. In preparation for our meeting, participants were asked to share the results of their inquiry by responding to the following seven questions:

- What did you find to be the most meaningful indicators of personal transformation?
- What are one or two of your most profound insights about how personal transformation catalyzes or seeds transformation in organizations, communities, and systems? What evidence do you have that supports these insights?
- What program/curricular/support strategies or experiences have you found most effectively support personal transformation?
- What innovative approaches have you used/developed/learned about that effectively capture, document, or assess personal transformation and its connections to organizational, community and systemic transformation?
- What are the most serious limitations of our current methodologies to evaluate personal transformation and its impact?
- What do you think is the most persuasive evidence for making the case to invest in programs/efforts that seed/catalyze personal transformation?
- Why invest in personal transformation? What is its value?

A compiled list of responses to these questions may be found in **Attachment B**.

**Joint Meeting of the Evaluation Learning Circle and the Funders' Affinity Circle on September 27th**

We had three conversation catalysts for this session that focused on the benefits of investing in evaluation collaborations for cross-program learning and building the knowledge of the field.

- *Don Lauro: Sr. Program Manager at Packard Foundation. Pioneer in cross-program evaluation (in population/reproductive health)*

Don told the story behind the collaboration between the Packard and the Gates Foundations' efforts to evaluate six leadership programs that they funded (some jointly) in family planning and reproductive health. Some of the advantages of collaboration include being able to take advantage of each other in order to "validate" the funding, having someone to help you think through the effort, having more funds to support the evaluation, having more models to look at. This evaluation effort is formative and is designed to develop long-term indicators and help make the case to the foundations to invest in leadership long term.

- *Hazel Symonette: Univ Wisconsin @ Madison. Participating in EvaluLEAD field test. Board of directors of American Evaluation Association*

Hazel described the EvaluLEAD field test that she participated in. Seventeen programs participated in a year long process to test an approach for evaluating leadership development. This approach includes extensive use of "evidential" and "evocative" data collection methods.

- *Sally Leiderman: Center for Assessment and Policy Development.*

Sally is evaluating three programs that each has personal transformation as one of its outcomes. These programs are: Healing the Heart of Diversity (anti-racism and diversity work), American Indians for Opportunity Ambassadors Program, and the Community Leadership Program of New Haven. Sally was able to convene these three programs to share and build knowledge. She is paying particular attention to developing models of evaluation that are culturally appropriate and are do not presume a western model of leadership or evaluation. There is a common bundle of approaches among these programs that includes: creating a safe space, creating community, time for reflection. She is interested in learning more about what the minimum bundle of activities is that will make a difference.

Some reflections on collaboration:

- True collaboration of grantees won't come until alignment of funding rewards collaboration

Some definitions of personal transformation

- The ability to articulate things that you could not articulate before
- Conscious choice to act a different way based on a set of values that you can articulate
- Multilateral self-awareness – knowledge about how I see something and how others perceive it.

Some reflections about evaluation challenges

- It's easier to lay out a theory of change and logic model that goes from personal impact to community impact, and then determine the markers/outcomes/indicators you will look for rather than try to track how that kind of understanding has flowed through the individual to the system. Cause and effect is a challenge.
- Evaluation is a means to help people who are with themselves 24/7 recognize the changes that are happening.

- Take a step back from results to look at “what people are tapping into” and how they are using it.
- Personal transformation is difficult to sell to the board, they want to know “how does this connect to whether kids and families are better?”

Some questions:

- Does personal transformation come before community changes or as the community changes do the people there also change? Is there mutual causality? Are evaluations trying to look at this relationship, interaction?

### **Evaluation Learning Circle Gathering on September 28, 2004**

#### **LLC Evaluation Learning Circle Objectives**

- Develop some common language and a framework for what is meant by personal transformation
- Identify innovative program elements that seed, catalyze, and support transformative leadership
- Share tools and approaches for evaluating transformation
- Strengthen our commitment to collective learning and sharing knowledge, tools and resources with one another

#### **What do we mean by Personal Transformation?: An Emergent Framework**

These four domains of change, and representative indicators, emerged from our collective responses to the inquiry question about what we mean by personal transformation.

#### **CHANGES IN OUR THINKING AND FEELING**

- Claiming our life experiences as a source of power, vision and inspiration
- Appreciating and loving ourselves
- Clarifying our values and beliefs
- Shifting our mental models, perceptions, ways of framing reality

#### **CHANGES IN OUR BEHAVIOR**

- Ability to articulate “aha moments,” values and beliefs
- Ability to speak up, have the courage to say things that challenge the prevailing wisdom/status quo
- Ability to live a balanced, healthy life

## **CHANGES IN OUR INTERACTION WITH OTHERS**

- Ability to listen and fully take in diverse points of view
- Ability to hear feedback
- Ability to invite others into a respectful process of dialogue, participate in making decisions

## **CHANGES IN OUR COLLECTIVE ACTION**

- Working together to achieve a desired change that some group of individuals want to see happen
- New and renewed political actions in support of social change
- Authentically inclusive groups bringing an appreciative eye focus on success for all
- Mobilization of new resources
- Commitment to sustained political engagement
- Commitment to strategic direction

Some ideas about personal transformation that emerged from our discussion of this framework:

- Personal conflict is a precursor/catalyst/condition of personal transformation.
- Personal transformation is seeing something differently that promotes/creates a less conditional sense of well-being.
- Someone who has been personally transformed models alternate behaviors that you see as effective.
- Personal transformation is both a change in behavior, and a change in attitude.
- As individuals we confront choice points where we can take our experience and consciously work on our own behavior.
- Personal transformation affects both the head and the heart.
- Personal transformation is not a linear process from thought and feeling to collective action. We can put these in any random order and begin from there.
- Personal transformation has been a big deal to middle class Anglo folks but may not be for others.

### **A Case Study Inquiry of Personal Transformation**

We used a case study entitled “Jerry the Lollipop Cop” (see **Attachment C**) to examine one instance of deep personal transformation that occurred as a result of a training experience.

One of the most interesting insights from this discussion was a realization about how the lens of looking at change from the perspective of an individual who had received a recognition award obscured our view of the transformation that was taking place in the community.

## Comments

- The change that Jerry underwent was reinforced by the changes that residents were undergoing. There is an intimate relationship/interaction between Jerry and residents, a self-reinforcing circle that was created by different behaviors on both sides.
- It is unusual for someone (like Jerry) to take a simple suggestion (the Health Realization vision), consider it seriously, and take it into action,
- Many other people dropped out of the training that Jerry completed. Was this a failure? Perhaps we need to recalibrate what success is. Does the change Jerry was able to make/participate in make this a success even if he was the only one?
- There is a message in this case study about being very ripe for the transformation. He was starting to feel the disconnect; “taking more and more time to shed the street.” Somewhere in him was a readiness for the change.
- It is important to have a range of trainings/experiences because sometimes they’ll hit and sometimes they will not, the opportunity might be right for some, and not for others.
- Jerry recognized that what he was doing wasn’t getting the results he wanted (the crime rate wasn’t dropping, the only result of harsher enforcement was increasing the number of arrests).
- The wisdom of the community is always there; what changed was Jerry’s ability to see with new eyes.
- If we only look at behavioral change, we may miss the changes that are invisible to us, those changes that are going on inside the person. What are the implications of this acknowledgment for evaluation?
- The way an evaluation is done and how the findings are characterized may actually stifle the change.
- The lens of the evaluation matters. In this case study the lens was the individual experience not the community. Did Jerry have anything to do with the change that occurred in the community? Was there something else that was going on that might have catalyzed the community change?
- Transformation occurs over time, rather than at a particular point in time.
- The title of the case study is misleading; it is really a story about community change with an individual component.
- This case study demonstrates what can occur when personal transformation is combined with efficacy. A process that opens up personal transformation without giving tools for efficacy can actually be destructive.
- This story is only complete IF you talk about the policies and procedures that also allowed the changes in behavior to occur.

### **The Health Realization Perspective Described - Roger Mills**

Roger Mills, who pioneered the health realization approach that was so transformative for Jerry, described some of its elements. (If you would like more information on the health realization approach, go to [www.healthrealization.com](http://www.healthrealization.com))

- Health realization is another name for principle-based psychology.

- Mind is an intelligent, spiritual form of energy that is in everything.
- When people step out of their conditioned thinking, this understanding starts to come through their consciousness
- Thought is the most basic reality...it's a basic principle---your "reality" is the product of thought.
- Our job is to help people to see that they construct separate realities, and the limitations of that.
- 80% of the residents went through the same training as Jerry did (weekly classes). We taught them that they had wisdom. Our basic premise is that you are already a wise, healthy human being, and you just don't realize it yet. A lot of the residents caught on before Jerry did.
- Jerry caught on that his thinking was the problem. He had to realize first that he THOUGHT, before he understood HOW he thought.
- Mind is the intelligence behind thought; thought creates fabric of reality. Consciousness is the ability to experience reality through thinking.
- Just like our bodies are always trying to regain health, our mind is also trying to return to this state of consciousness.

## DISCUSSION

Q: At what point do you reach a critical mass or tipping point?

A (Roger): We have found that it's about 15% of the community, or corporate employees...pretty consistent across our projects.

### **Thinking Outside the Box: Where does evaluation need to go?**

We held a fishbowl conversation with four Circle members who have thought a lot about evaluation: Nilofer Ahsan (Center for the Study of Social Policy); Manuel Gutierrez (OMG Collaborative for Learning); Kelly Hannum (Center for Creative Leadership); and Sally Leiderman (Center for Assessment and Policy Development)

#### Starting Questions:

1. Are current evaluation methods successfully benchmarking and capturing the impact of transformation on organizations, communities, and systems?
2. What are big ideas or innovations in the way we approach evaluation that will enable us to capture the full impact of personal transformation?

*Manuel:* Our ability to qualify and benchmark impact is going to depend in large part on whether the program has a theory of change. Sometimes if a funder is in the planning stage, can help develop the theory of change, help them more clearly articulate program outcomes, useful indicators, and such. There are different kinds of approaches: we can zoom in and ask, "has an individual been transformed?" This makes sense when the theory of change posits individual transformation, or we can zoom out and look at external program impacts.

*Sally:* Part of the struggle is the question of impacts...what would have changed in the absence of the intervention? There are two things we are hoping to learn about: how are people self-selecting to participate – this is important because ripeness is really tied

to impact, and how do we transcend a causal model that looks to isolate the results of leadership development.

*Kelly:* There are multiple levels of self-selection: what organizations choose to come to the LD, and within those orgs, which individuals come forward? If you use self-selection, then you are more likely to get the right individuals into the room who can create the change you hope for.

*Nilofer:* In a neighborhood initiative you have some individuals who are selected and connected, and others who are not. If you have individual connection pathways, then how do you aggregate? How do you create a sense of collective movement within these individual stories?

*Manuel:* One of the biggest constraints of evaluation is resources. If you want to look at community impacts, then you want to talk to community, but it may not always be worth the resources to get a precise story.

**Chuck: Can we discern how we get the biggest “bang for the buck” for programs?**

*Kelly:* You get the “biggest bang for the book” when you design the evaluation up-front, to help figure out the direction of the initiative/program/project.

*Sally:* We can get a lot better at understanding the minimum bundle of services that is likely to foster the kind of change people want (in certain contexts).

**Henry: Is there a way to get to a different group of leaders in our programs by starting with nonprofit organizations and interviewing people about where they go for expertise and advice? Maybe then after 75-100 interviews you have a picture of who the leaders are.**

*Sally:* This is an important caution for programs that are “initiative-centered”. There is a real tendency to filter the story through that lens, as if it was the important lens. But, we have to always remember that the community is the unit of analysis, not the initiative.

*Nilofer:* We need a larger learning agenda that helps us discover what are the common packages of activities that tend to move things toward collaboration and community results. Also, we do not do enough data collection about the history of the change agents. A foundation’s initiative is a blink in the history of people. We need to understand how personal history intersects with the initiative history, but need to be careful not to over-attribute certain results to the initiative.

**Claire: After you identify program impacts, is it possible to look back through the program elements and start to make some judgments about which program elements combine to support certain kinds of impacts?**

*Sally:* It is difficult to associate costs with practices but you can certainly pull out bundles of practices that appear to lead to certain kinds of results.

**Deborah:** I'm struck by the impact that limited evaluation resources has for the story that you are able to capture and tell. In Jerry's story, the limitation of resources really changed story. Jerry's story comes out the way it does because it was an evaluation of a leadership recognition model...and because of resource limitations which meant that they could not interview others in the community. So Jerry becomes the data set ignoring all the other activities. As a result of the evaluation, the foundation's program warps around those findings.

*Nilofer:* That's a really good example of how what we can measure gets put into our evaluation frameworks, and becomes what we do.

**Marian:** I wonder if the evaluation limitation is not just what's difficult/expensive, but also what's easier to do. It is easier to interview individuals rather than sorting out the messy work of trying to understand the community and how to get at the meaningful information

*Kelly:* Another aspect of resources is not just funding, but also people: often receive instructions that "we don't want you taking up these people's time [with interviews]...they're stressed, they're strapped"...so then don't get the data from the best sources.

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**What are we learning from our evaluation and inquiry about program design components, curriculum, and/or processes that support transformation? (At three levels: personal, organizational, community)**

Breakout groups were held to discuss how transformation is supported at the individual level, the organizational level and the community level. The following comments were the report backs from the small group discussions.

Individual

- There needs to be link between the individual and the community that is embedded in the program. There needs to be accountability to a constituency not just the individual.
- Individuals need to gain awareness of self – as thinker, as creator of one's own reality.
- Individuals need the opportunity or time for reflection in order to find passion. If people learn the value of reflection, they will begin to do it for themselves
- Individuals can discover and become more aware in a "grace space" that creates safety.
- We need "de-laminate" comfort and safety: not necessarily going to be comfortable, but will be safe.

## Organizational

- We need to pay attention to what is prompting the desire for transformation. Is there a crisis, a catalytic moment? Does this create organizational readiness? Is there such a thing as positive stressors that catalyze transformation?
- Does organizational transformation have ripple effects that change how people think about themselves?
- Organizations need feedback through strategic planning process, organizational 360 degree in order to see a broader picture.
- Organizations need a system of accountability and a communication strategy that helps people understand why change is occurring.
- Organizations need to acknowledge the emotional concerns that arise in any change process. This is first and foremost about listening in on the emotions during the change, and responding in ways that are supportive, not punitive.
- Giving people training in how to go through a change process can be helpful before asking people to change.
- There is a role for coaching to help manage discomfort.
- Managers can build incentives for change into their performance plans.

## Community

- This group expressed a desire to share logic models with each other so that they could better understand their own assumptions about change.
- When focusing on community it is easier to focus around community **issues** rather than some more abstract concept of community.
- In any transformation process it is important to involve cross-sectional and ideally intergenerational members.
- We need to think about faith and spirituality, particularly in community context.
- Communities are desirous of data and information about themselves that validate their perceptions. They also want skills to be able to interpret this data.
- It is important for communities to understand how resources move in the community.
- What are the ripple effects of a community leadership program? We need to watch for impact around the community... on neighbors, other leadership efforts...? Is there a trail that is worth following?
- Learning needs to take place over time.
- Trust is important.
- Communities need a common framework (anti-racism framework) to talk about things.
- There needs to be some community readiness, some critical mass in order for transformation to occur.

## **Resource Exchange**

### Surveys

- Next Generation Leadership Program Surveys (see LLC Web site)

- AECF Making Connections surveys (entry, exit, and follow-up from leadership training program)
- KLCC site surveys
- Barry Kibel – journey mapping [www.pire.org](http://www.pire.org)

### Theories of Change

- Kellogg Leadership for Community Change Logic model and theory of change
- Packard Future Leaders Program

### Publications

- Making Connections Community Change pieces [www.aecf.org](http://www.aecf.org)
- Jack Prensky *Modello: Hope for the Inner City and Beyond*
- Sydney Banks *Second Chance* and *Missing Link*

### Curriculum

- Health Realization Individual and Community Primer (Roger Mills)
- Facilitator Guide and Workbook on Social Capital for small rural communities (Jean Burkhardt)
- Leadership Plenty program (“thought it was a skills curriculum but it’s really about transformation”) ([www.pewpartnership.org](http://www.pewpartnership.org))

### *Suggested Categories for Gathering Resources*

- Leadership/Evaluation protocols
- Case study and evaluation findings
- Curriculum
- Links
- Resources (books, other materials)
- Theories of Change
- Leadership Scans (of the field)

### **Evaluating this learning circle process**

#### **What people liked**

- Built on previous conversations
- The diversity of perspectives
- Analysis of responses to inquiry
- Documentation
- Gathering diverse resources
- Panel discussion about other evaluations
- Table conversations
- Thoughtful planning

#### **What should change**

- More background would have helped
- More framing of the conversation
- More clarification about where this process is going – are there deliverables or is it an iterative process?
- Windows in the meeting room
- More times for breaks and reflection
- Charge a fee to participate
- Interest in staying longer with advanced notice
- Pay more attention about how to join

funders and evaluators in this conversation

- Welcoming meeting format
- Loved tone, feeling, openness
- Rare opportunity to talk openly among evaluators

What processes will support the learning circle?

- It helps to make this an iterative process (restating the information to bring others in).
- Two days is possible if advance notice is given
- Create opportunities for co-consultation or group advisory sessions on real-time issues
- Compare theories of change or logic models – and then have a working session

What learning themes would people like to see in the future?

- A focus on individual, organizational, and community readiness – how do you work those elements into leadership development programs? Is it self-selection?

## Attachment A

### LLC Evaluation Circle Inquiry Process Proposed Topics for Inquiry July 14, 2004

#### **Women's Leadership Circles** (Sakinah Carter and Jai-Lee Wong)

Women's Leadership Circles (WLC) is an organization dedicated to celebrating and promoting the diversity of women in leadership. Women's Leadership Circles has engaged in an initial inquiry process that was designed to help define the organization's goals and priorities. As part of this process WLC is interviewing 40-60 women leaders in the nonprofit sector and hosting several group discussions on women's leadership. For this inquiry process the following questions will be added to our remaining interviews.

- What program activities/ experiences contributed most to your personal growth or transformation?
- What specific things, personal and/or professional, have you learned or taken away from program activities/ experiences?
- How important is personal growth and change in sustaining the work that your do or your organization/ community?
- How does your personal growth or transformation contribute to changes in you organization/ community?
- How do we design our programs to catalyze and support personal growth or transformation?

We will also explore questions related to program design and personal transformation in roundtable discussions with women leaders of color, share promising evaluation methods, and explore whether measurement methodologies in international public health/ development may be useful for assessing transformation and leadership.

#### **Sustainable Leadership Initiative** (John Grove and Barry Kibel)

We will explore evaluation of personal transformation processes with the EvaluLead field test group and share what is being learned related to personal transformation (e.g., approaches tried, major successes, major issues, methodological and practical issues)

#### **Antioch Center for Creative Change** (Betsy Geist)

Antioch's Center for Creative Change is part of a campus whose mission is "to provide a transformative education that engages adult learners in lifelong development and agency in a changing world." My colleagues and I care deeply about the relationship of personal transformation to/ with social change. We will review students' evaluations of courses, their summative work, in particular the "reflective practicum" in which students reflect on their own mental models and how these are changing. We will also convene colleagues to reflect on what they are learning about how the curriculum supports transformative learning.

#### **Leadership Atlanta** (Janet Rechtman)

I will share a training approach for working with Study Group Facilitators to act as coaches and co-learners helping participants identify and respond to "educable moments" in their year-long Leadership Atlanta experience. I will also gather feedback from participants and from study group facilitators related to issues of personal transformation.

**Evaluating the Relationship between Personal Transformation and Changes in Communities and Organizations in the Bay Area** (Melanie Moore Kubo, Henry Izumizake, Jody Parsons)

We will conduct interviews and focus groups with participants and staff from three community-based organizations that seek broad community improvements, and/or changes in organizations and society through the vehicle of personal transformation and individual growth. We will also present an evaluation design and tools for assessing whether a program is designed in such a way that it will likely lead to personal transformation and individual growth.

**Sierra Leadership Seminar** (Sharon Huntsman)

I am evaluating a leadership development program that has since 1994 aimed to train existing leaders throughout the Sierra Nevada region in collaborative leadership skills. Through an alumni survey, interviews and participant observation, I hope to understand what impact this training has had on participants' ability to exercise collaborative leadership. Thus, the kind of personal transformation I am investigating has to do with the ability to apply skills, e.g. communication, facilitation and conflict resolution, in their home context. I also plan to contrast this model, which is predicated on the individual/professional model of leadership development, with other models that use a community empowerment framework in a similar context.

**Kosovo Women Leaders** (Elizabeth Robinson)

I will hold a couple of focus groups with Kosovo Women Leaders who participated in a fellowship program.

**Sierra Health Foundation Health Leadership Program** (Dorothy Meehan)

Will present learning from a collection of statements from health leadership program participants about what they mean when they say "this was life transforming for me."

**Health Realization Institute** (Roger Mills)

The Health Realization Institute has developed an approach that is being applied in comprehensive community revitalization programs in several states, and in hard core inner city neighborhood settings. External outcome evaluations and university based research projects have shown that these programs demonstrated success in; (a) empowering residents to take a stronger leadership role in community development, (b) facilitating residents taking solid, sustained ownership of the community change process, and (c) significantly changing the way that practitioners and social institutions work with resident leadership to support and enable them to take the lead in community revitalization. Assessing the outcomes across these diverse communities and constituents has pointed us toward a new emerging paradigm for sustainable community change. Rather than starting with; (1) large scale organizing to address community wide issues, or (2) the funding and delivery of services that seem to be lacking or needed in the community, this paradigm calls for beginning with training that addresses psychological readiness and health, particularly in terms of the innate capacity of people for resiliency, for intrinsic motivation and for mature, big picture systemic thinking. I will share what we are learning from our assessments about this new paradigm.

**Evaluating Personal Transformation in Multi-Program Foundation Initiatives** (Kim Ammann Howard, Deborah Meehan, and Claire Reinelt)

We will share findings and methodologies for evaluating personal transformation and social change from two evaluations: 1) An evaluation of three leadership programs that were part of the California Wellness Foundation's Violence Prevention Initiative, and 2) an evaluation of six leadership programs funded by the Packard and Gates Foundations to support family planning and reproductive health leaders in developing countries. We are especially interested in sharing what we are learning about how individuals become more effective catalysts for change

through deepening their personal commitment and awareness; shifting their understanding of the root causes of problems and what needs to be done; and connecting more effectively with other leaders who share their leadership commitments. We will share how multi-program evaluations have expanded what we are learning about how social and systemic change occurs, and the role of personal transformation in that process.

**Blandin Community Leadership Program** (Cindy Wilcox)

I will provide a 5-6 page document summarizing the findings related to transformative learning that draws from participant observation and research on the Blandin Community Leadership Program, the subject of my dissertation research.

**Center for Assessment and Policy Development** (Sally Leiderman)

The designers of three personal transformation leadership development efforts have agreed to participate in a facilitated discussion (in July) to discuss their common and distinct theories of change, strategies, intended outcomes and results to date. The three personal transformation/leadership development efforts are: the Community Leadership Development (CLP) program, Healing the Heart of Diversity (HHD); and the Americans for Indian Opportunity (AIO) Ambassador's program. All three are personal transformation efforts that focus on helping leaders in the non-profit and social sectors incorporate specific values more fully into their work and leadership activities. HHD does this via attention to similarities and differences (e.g. diversity and anti-racism leadership); CLP via exploration and growth with respect to spirituality and moral leadership; the Ambassadors program via focus on indigeneity – by which they mean bringing the values important to American Indians (and other indigenous peoples in other countries) to tribal and community leadership. As part of this joint work, we plan to focus on the ways in which personal transformation leads to organizational, community and system change. This analysis will be used to create markers of progress that we hope can be applied to tracking progress towards organizational, community and system change in prospective evaluations of these and similar efforts.

**OMG Collaboration for Learning** (Manuel Gutierrez)

I will examine data collected from an evaluation of the Rockefeller Foundation's Next Generation Leadership Program to identify what various NGL program methodologies and tools have contributed to personal transformation and the applicability of these tools and methodologies to efforts seeking to attain organizational, community, and systems change.

**Reviewing Literature about the Power of Personal Transformation** (Michael Goldstein) □

I will review some of the literature about the power of personal transformation. □ For instance, I'm interested in how the field of theology evaluates personal transformation. Since I imagine that others will be interested in this same topic, I would work with others on developing a common method of analysis as well as selecting which fields to research.

□

**Community Coaching Network** (Raquel Gutierrez)

I will conduct a literature review with a focus in the following areas:

- (1) how personal transformation is being defined within the literature - across disciplines, probably social change/ non-profit, education, corporate, public service;
- (2) collect and review theories of change from 3-5 leadership programs that integrate personal transformation as part of their theory;
- (3) examples of effective practices of personal transformation across disciplines and how these have affected a leader's capacity to lead; and
- (4) identification of places for improvement, disconnects between theory and practice, what works well, and how to advocate for including personal transformation within program experiences or organizational practices.

**Leadership for a Changing World** (Sonia Ospina, Marian Krauskopf, Amparo Hofmann-Pinilla, Jennifer Dodge)

In our co-research with award recipients from the first group of the Leadership for a Changing World Program we identified personal transformation as a key dimension of the leadership work that these individuals and their communities do as they engage in efforts of social change. According to our inquiry, an intentional aspect of social change work is the growth and development of every individual who is part of the work. For many, the process of personal transformation is part of the process of becoming aware of the structures that shape one's life, and of becoming engaged in changing those structures for healthier selves, families and communities. These two processes are not necessarily viewed as separate but as one in the same. Opportunities for personal growth and transformation are opportunities for broader change; immediate and long-term goals are connected. Many of the LCW organizations intentionally nurture leadership in others and create specific opportunities for individual and group transformation. Growing and enabling effective leadership is closely linked to the ability and commitment of leaders and organizations to support and create opportunities for members' individual and social transformation. What we would like to do in preparation for the collaborative inquiry is to identify specific examples and instances from our data base where these ideas are illustrated, to offer them to the discussion.

**Center for Creative Leadership** (Kelly Hannum)

Personal transformation is at the heart of what the Center for Creative Leadership does. Our programs are designed to give people the space to reflect, a variety of sources of feedback, and experiences that provide people with an opportunity to challenge assumptions and try new things – all of which set the stage for program participants to transform their understanding of who they are and/or how they view the world. I will add the question about measuring personal transformation and its connection to change efforts to our evaluation research agenda. I will also focus on what we are learning about the link between personal transformation and organizational impact which is the larger context for our work. I will promote discussion of these issues with other faculty at my institution.

**Annie E. Casey Foundation** (John Sullivan)

The Casey Foundation works to improve the lives of children and families, and our leadership development programs and related investments support this mission. The Foundation's primary measures of success for its leadership development investments are the contributions that our program participants make in the field — in the lives of children and families. Competencies that are core to many of our programs include: reflective practice – the ability to modify behavior based on feedback and self reflection; and results-based accountability – an outcomes-based methodology for planning and performance measurement. We use a set of tools to support individuals to measure and track their progress toward achieving these competencies. What I think we can offer to the group is what we have learned from our work around developing measurable leadership competencies; and technology and tools for measuring achievement.

## Attachment B

### LLC Evaluation Learning Circle Inquiry Reflection and Preparation Compilation of Responses

**What did you find to be the most meaningful indicators of personal transformation?**

- **Willingness and openness to learning and feedback**
- **Self-reflection**
- A “felt sense” of transformation. Being able to articulate “aha” moments. Being able to articulate changes in personal beliefs.

**In terms of personal transformation that is tied to or expressed in one’s leadership, people seem to follow a path that includes:**

- **Raised consciousness about one’s own values and whether or not one is working from one’s values or bringing one’s values fully to leadership activities and opportunities**
- **The ability to articulate aspects of leadership that were difficult to put into words before**
- **An ability to see and “sit with” more than one viewpoint without having to reconcile them**
- **An understanding and greater practice of the value of self-care**
- **Behaviors that are more authentic – that more fully reflect one sense of self and one’s deepest and highest values**
- **A willingness to engage with others in more accepting, less judgmental ways – at the same time, an unwillingness to let actions or statements that hurt others go by without comment or action**
- **An understanding that one doesn’t change other people, but one’s behaviors and way of being in relationship to others offers other people opportunities to change themselves – sometimes couched in terms of love, safety, inspiration**
- **Expressions of courage, increased willingness to take risks in support of change and one’s deepest and highest values**
- **An ability to let things stay as they are, to accept organizational behaviors or social behaviors that one would have accepted before – new or renewed political actions in support of social change**
- **An interest in staying connected with peers going through similar transformation processes or steps, seeking out mentors or experiences to extend, reinforce or deepen these changes (and sometimes, finding it difficult to stay connected to people or experiences, including jobs, that are at odds with these stages or that operate from different values)**
- **New actions within one’s organizations, or other places where one has influence (like on a Board, as a volunteer, in one’s family, in a community collaboration, among peers) that reflect the kinds of movements above. For example, many people report (and others report observing) that they listen more, offer staff or colleagues more opportunities to make decisions, shape directions – for example, they may**

**delegate more or may not step in to resolve a dispute or fix a problem but let others work it out, build in more time for reflection in work situations, etc.**

**These are some of the markers of personal transformation that program participants report or that can be observed in their stories and behaviors over time.**

**Each of the programs, e.g., Community Leaders Program for Nonprofit Leaders in New Haven (CLP), Healing the Heart of Diversity (HHD) and American Indians for Opportunity Ambassadors Program (AIO), is working on developing scales or outcome/indicator lists that would refine this list. Each is using techniques appropriate or consistent with their values to do this. For example, CLP will be looking at ways to codify steps along a path of how one behaves in ways that invite the social transformation of others; HHD is working on a tool to help people identify their readiness to undertake social change work – with dimension such as individual awareness, individual experience, individual willingness to engage in authentic ways with others; safety, courage to risk; etc. AIO is asking its alumni to use an engagement/planning process to reflect on what questions to ask Ambassador's that will help them be able to articulate the impact of their work on communities – how to describe the “medicine” or power of the Ambassador's program that captures its spirit and effects.**

- Shifts in paradigms, mental models, perceptions, e.g., ways of framing reality
- Willingness to take risks, particularly speaking out/up when the dominant perception is at odds with what you believe
- Clarity about one's own values and beliefs and acting in accordance with those
- Courage
- Belief in oneself and the value of one's experience
- A passion and desire to communicate what you believe

**Any indicators that the folks we work with identify for themselves. Examples: I feel more confident to speak up, to ask questions. I have set personal goals and have action steps to get there. I value learning, I can learn from others. There are lots of other folks doing neat stuff in other neighborhoods. I (we) can do things myself, we don't need to ask permission or wait till someone else does something for us.**

Though they may not be the most meaningful indicators some of the more common indicators expressed in our interviews with women leaders working in nonprofits for social change included:

- Pain—transformation encouraged or made necessary by painful situations/circumstances
- Intense periods of questioning
- Discomfort
- Crisis/Trauma/Breakdown/Giving Up, then getting through
- Realizing that behaviors or life and values are out of alignment, then re-aligning things
- Deeper appreciation and love of self
- Recognition of the need for self care/holistic wellness
- Giving more time and attention to family, loved ones and self.
- Giving oneself permission to take more time for important things.
- Making connections between quality of work and wellness.
- Mental “clicks,” sudden realizations about old thoughts
- Change in attitude or perspective
- Experiencing injustice and feeling like things could change/be changed or having different vision of society
- Feeling supported enough, confident enough or faithful enough to seriously questions things
- Cross-sectoral, cross-cultural or some other boundary crossing work

**We work mainly with business organizations, so questions about how self-aware the individual is, How open he or she is to getting feedback, how aware the person is of the impact he or she has on others, etc.**

Still too soon to tell, but in the workshop, study group facilitators reflected on how their role was to hold the space so that transformation might occur. I developed a model of the theory of change likely to be

fostered by the program (see manual page 3). IN it, the study group was the place for reflection, so that the individual could on his or her own then change his or her behavior based on this learning. People shared stories of a transformation in the context of the program – for example a year or so after their class completed, a Republican attorney invited several African American class mates to lunch and apologized to them for his behavior and racist attitudes – that helped people understand that transformation might not occur during the program year or in the study group. Instead, their role was to provide hospitable space for a wide variety of personal reactions.

- **People expressed a shift in their behavior from passive person to active citizen in several transcripts CVH, OVEC, Justice for Janitors, Rufino Rodriguez, PODER, Maria Martinez etc.). People also expressed how they overcame feelings of isolation, individualism, fear, or victimization to become part of cause, a collective action, or a group. Many of the constituents in Leadership for a Changing World (LCW) orgs are engaged in becoming politically active. People talk about a new awareness that allows them to overcome their individualism and to become involved in collective action in order to make a difference in the world.**
- **Reframing their individual or group experiences: On a personal level, people learn that they have personal power and the efficacy to change their own lives, and more broadly, to engage with others to change broader policies that affect their lives. What we call “personal dialogue” (see Jennifer’s paper) may be one mechanism whereby organizers work with regular people to encourage them to see their suffering as part of systemic or structural problems, and not something due to their own failings as a person.)**
- **On another level, people (staff or volunteers) who work in LCW organizations might also feel a sense of personal transformation that comes with working with a social justice organization. I’m thinking in particular of interns at Justice Now who are able to have contact with women in prison. They also come to see the systemic issues involved in imprisonment and the problems that so many individuals face when confronting the system. The interns also develop a sophisticated sense of what solutions might be alternatives to strengthening the prison system (e.g., dealing with sexual harassment in prisons – the best solution may not be to put offenders in prison)**
- **People value the “learning” process, looking at reality and their own self from a different perspective.**

**What are one or two of your most profound insights about how personal transformation catalyzes or seeds transformation in organizations, communities, and systems? What evidence do you have that supports these insights?**

Personal transformation changes the nature of interactions in the organization or community; better listening and recognition of value of others’ input. At this point our evidence is anecdotal. I have been asking fellows to explain what they mean when they say it is transformative. I think a qualitative analysis of their stories is the best way to evaluate this. It can be so different for each person, but I think across programs we could begin to see the commonalities.

**For me it is all about belief systems. We individually, organizationally, and culturally carry beliefs that may have worked well or served us at one point in time, but now no longer serve us or are in fact maladaptive. Personal transformation catalyzes transformation elsewhere when individuals do the work of “updating” their beliefs and assumptions about life, and use these changes to help organizations, communities, or systems create more adaptive responses to the world around us. In my research on the Blandin Community Leadership Program participants were able to discern some common “key messages” that initially appeared to be counter-cultural, but ultimately that they found useful in reshaping their “adaptive responses.”**

One insight is the way in which people develop and express courage – and how much courage it takes to take one’s highest and deepest values into everyday leadership situations. We are just beginning to explore the consequences.

One other insight is the way in which people find ways to reinforce or support their continued transformation – and how necessary that is – linked to the level of courage it takes to actually practice new ways of being.

The evidence is largely based on in-depth interviews with HHD and CLP alumni, and the stories of Ambassador's alumni – looked at against some theoretically based pathways of change and transformation (from spirituality literature in the case of CLP and literature on cognitive psychology in the case of HHD. It's reinforced by recent discussions with people who participated in an anti-racism initiative (Project Change) whose stories of personal transformation are strikingly similar.

**Transformational change in organizations, communities and systems requires vision and commitment by individuals, a willingness to persevere even though others may not understand what you are trying to achieve. Transformational change in organizations, communities and systems is a manifestation of individual and collective intention. Perhaps it is not really the case that one catalyzes the other; maybe there is more of a shared realization of both individual and collective possibilities as each moves towards alignment with the other. Nothing is fully formed before it has an effect on what it comes into contact with which in turn creates other potential for transformation. The key, it seems, is making sure that this process maintains a sense of integrity even though the transformation may be painful in some ways.**

**In evaluation work with The California Wellness Foundation's Violence Prevention Initiative Community Fellows Program the most profound community transformation occurred when leaders were able to communicate/demonstrate/align their vision with their actions in a way that had a positive impact on the community.**

One can be independent in thought and action, or dependent upon the actions of external forces (which are out of one's control). The independent forces will be continually innovating and acting. The dependent forces will be reacting and responding to outside stimuli.

A group of parents wishing to renovate a baseball field. They need bleachers, back stop repair, and outfield fence, new bull pens, scoreboard, and grass infield. The independent group accomplishes all in 3 years. The dependent group is still awaiting school board approval for most things and is now on hold pending the passage of a major parcel tax which will finance most of the changes.

A group of immigrant women have been preparing various foods in their respective homes for years... selling tamales to friends and relatives, and dreaming of their own cooking business. The independent thinkers get together and through a series of brainstorming/planning sessions... decide to form a cooperative food preparation business that will emphasize healthy (lower carbs etc) - pre prepared Mexican/Southwest cuisine.

Lot's of similar and more compelling stories...

**Individual personal transformation seems to have limited impact on organizations without similar changes to systems. Personal transformation may lead to new insights, interests, curiosities and commitments, but individuals can rarely sustain organizational or systems transformation without significant resources (financial and people) and support. Many personal transformations within a group may help sustain change.**

I see two things. 1) If the transformation is one that allows the person to more fully understand and articulate his or her values and then align his or her work along those values – they are more fully committed and invested in the system and perhaps more resilient; and 2) If the personal transformation allows the person to see the bigger picture (the connection between themselves and others and also the connection between actions) then he or she can better act in accordance with (or at least with awareness of) others, perhaps taking more responsibility for his or her piece of the system (no longer blaming or waiting for something to happen).

Interviewee comments about impact of individualized, personal transformations, leadership shifts, etc. Many had great experiences in life and within leadership development programs that led to great personal changes that were difficult to convert into organizational or systems changes. Though many have changed a great deal with their organizations and some have changed organizations given their personal

transformation there is still some sense of working within a system that struggles to support transformational change.

Conversations with young women of color EDs about their lamentable/undesirable replication of systems and processes of older generations without embracing these concepts, but not knowing other ways.

**One person recounted an experience from her own study group – the group had met for dinner and an African American maid had helped get things organized and then left. After the group broke up 2-3 hours later, they went outside and found the woman waiting in her car, apparently afraid to come back in and ask someone to move the car. This was profoundly upsetting to the African American members of the group and led to hard feelings that took a toll the year's work. As the trainer, I helped them through the ORID technique (we gave each one a copy of the Art of Focused Conversation as a thank you and a help) as a way to process an experience like that. People reflected that this learning was helpful as they contemplated the kinds of discussions likely to happen in their groups, and, commented how such work could indeed support individual transformation.**

At this point, only anecdotal evidence. One story that comes to mind is of an individual who upon seeing a video of how he interacted with others, finally got the insight that he was a jerk to people (his words). He'd never understood why people treated him the way they did – now he is aware of behaviors he exhibits that prompt the reaction he's gotten. Another manager (with a primary Spanish speaking staff) had the insight that instead (or at least in addition to) offering English lessons on the job, he should take Spanish and that would allow him to better connect with his staff. It'd be interesting to see how many people feel they are more responsible and empowered as a result of a leadership development experience.

- **Personal transformation brings feelings of empowerment. As people become active participants they are able to speak out for a cause or a group, to speak the truth and make sense of their personal and social reality in a different way.**
- **Personal transformation is intricately and intimately linked with broader social change in LCW orgs. Many LCW orgs believe that the personal transformation of their members is at the core of the values and belief of the organization and become part of the organization goals.**
- **Some organizations encourage personal transformation as a way to obtain commitment to the work over the long haul, beyond their individual problems. (Wing Lam is a great example, by “unleashing” people, you can help them overcome their fear, and encourage them to stay involved beyond their own person struggle, e.g., the fight it not only about getting my back pay, but also about fighting for workers to have control over their own lives and their own time. This is a bigger struggle that requires commitment of many people with similar concerns for a bigger issue that covers all of their concerns under an umbrella.)**
- **Justice for Janitors and other immigrant groups (PODER, Salvador Reza, Rufino Rodriguez, Sara James, Denise Alwater and others encourage personal transformation as a way to know who they are, what they want, reaffirm the identity/power of the group and the identity/power of each individual**
- **Another way that personal transformation is connected to broader social change has to do with the practice of giving regular people opportunities to practice their own leadership in social change efforts that have the effect of contributing to broader social change, while also contributing to personal transformation. These things happen simultaneously, (e.g., at CVH, getting a person to lead a meeting where the group confronts a representative does the work of making change, but also of making the person gain that sense of self-efficacy).**

**The evidence to support these insights comes from the LCW data set. (interviews, CI reports and ethnographies)**

<b>What program/curricular/support strategies or experiences have you found most effectively support personal transformation?</b>
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Information coupled with small group work and self reflection and analysis

**I have found the dialogue process used by the Option Institute to be helpful, as it very carefully traces belief system development, and examines ways in which current beliefs are serving you or not serving you.**

Each group shares some programmatic features which preliminary evidence suggests are effective in achieving changes of the kind noted above. As a bundle they seem to be effective – we don't have evaluation evidence to look at their separate effects.

The bundle includes:

- Participation in a structured leadership development effort that includes dialogue, inquiry, experiences, reflection, reading, exercises and other elements that balance skills development with opportunities for personal growth
- Retreat time
- Intentional mixture of “head” work and “heart” work
- Development of a community of peers – and an emphasis on building relationships and doing personal work in the context of relationships
- Facilitation that emphasizes respect and that creates safety for authentic behavior and some risk taking in the group; models leadership but is humble (giving the sense that everyone is on the same journey)
- Nurturance of participants – one program expresses this in part as hospitality – showing participants they are valued through the way they are housed, fed, etc.
- Explicit attention and support for leading from a set of values – respect for difference in the case of HHD; relationships, reciprocity, redistribution, etc. in the case of the Ambassadors program; freedom, inclusion and self-determination in the case of CLP
- Support for alumni activities – as ways to maintain and expand networks and relationships; deepen and broaden leadership skills; deepen and reinforce transformational work
- An interest in knowing more about the effectiveness of the program on individual participants, but also on organizations, communities, tribes, etc. The programs don't hold themselves accountable for changes at this level (given their belief that people have to choose to change themselves), but because they believe that personal transformation leads to social transformation – and their long term goals support social transformation – they invest in evaluation of longer-term social outcomes. The fact that they are tracking these kinds of outcomes, and asking participants to help them track them, is itself a consciousness raising strategy.
- Efforts to support the development of a critical mass of leaders in a given community (New Haven) or among a community of interest (Native Americans; anti-racism and diversity professionals) who can provide peer support for personal transformation, and perhaps support for joint actions and social transformation.

**We at TEAMS utilize what we call our Support Action Team (SAT) methodology. This is a peer support, action learning process that utilizes somatic practice, story telling, goal setting, “Plan-Do-Review” (or reflection after each activity to emphasize the learning process, not the action or program). This SAT process has been refined over the past 5 years... primarily through the inputs from the residents involved. Much of the agendas we develop are based upon our participants priorities. We (TEAMS) do not have an agenda per se. We want the resident participants to feel supported in their learning process and to build relationships of mutual trust and to expand**

**their reach (connectivity to the broader world). This is best done through experiential learning and reflection that evolves over time.**

WLC is just starting, but our circles will further explore the possibilities of group-experienced, personal transformation rather than individualized, personal transformation. We are interested in learning:

- How group transformation is different?
- How witnessing/experiencing of personal transformation by a group impacts the transformation?
- Can group transformations better sustain social justice work for our target populations?

**Honest feedback from a variety of sources about the individual undergoing the development. Assessments that prompt reflection about one's personality and style and models that help articulate other styles and how the differences may play out and also – how the diversity of styles, while sometimes frustrating, is actually critical for success. Mostly, prompts for thinking and time for reflection and ideally someone to help the person sort it out a bit – asking questions that prompt deeper thinking.**

- Intentional efforts to create leadership opportunities for individuals (this happens a lot in organizing orgs).
- Cultural events, rituals and celebrations which allow people to identify their cultural identity, the power of their group (specially in immigrant and indigenous groups and other minority groups) (PODER, Rufino Rodriguez and other immigrant and native American groups).
- Training opportunities, workshops and other “learning” opportunities which enhance people’s knowledge and allow them to reframe their experiences ( Trosa, Justice for janitors, Rufino R, PODER, HIV organization and other org working with Homeless, among others).
- Opportunities within the organizations for group reflection, bringing people’s experiences together and reflecting together on a burning issue or question (Cooperative Inquiry experience).
- Working together with others, learning about other people, cultures, and stories.
- Learning from successful and unsuccessful campaigns or other group experiences.

**What innovative approaches have you used/developed/learned about that effectively capture, document, or assess personal transformation and its connections to organizational, community, and systemic transformation?**

We are not so innovative yet on this; at the end of our program we do focus groups on short term impact. Beyond the immediate impact, our goals and measures are a bit more concrete. We have not set “a transformative experience” as the goal or target but a means to achieving other objectives, such as building the skills, capacities and commitment of leaders in the nonprofit health and social services field. We are slowly learning that as participants have “a transformative” experience they better align with their organizations (or move on) and with their staff; feel more empowered to affect their environment in a way that help them be more effective at their work. Participants tell us this was ‘ a transformative experience’. We are trying to learn more about what this means to them. I will try to bring what I can learn between now and then before I come to Michigan.

**Because cultural systems are the primary carrier of collective beliefs, I have found intentional culture shaping and cultural interventions to be a very effective tool for transformation.**

I don't think we have innovative strategies in place. We are using prospective and retrospective reports from participants to look at connections between personal transformation and organization, community and system change – through stories, logs and self-reported actions.

We are also planning to interview, or have interviewed, other people who can observe these changes (e.g. other members of the organizations where leaders work, community members who might be affected by actions of participants).

As noted above, the fact that the three leadership groups each has its own community of interest gives us an opportunity to explore this further over time.

**We (TEAMS and our evaluation focus group) have just completed an evaluation framework to measure the changes in individuals, group, and broader community. The framework includes a theory of (individual and community) change, the development of a “Tool Kit” (to be developed by the resident participants themselves), 2 target neighborhoods (where TEAMS has been active)... all of this guided by Melanie Moore-Kubo PhD. The framework also incorporates the evolution of change over time, as well as the iterative process of key practices over time.**

We use an informal interview guide about women’s leadership journeys. We’ve also decided as a staff to be present enough in our interviews to explore themes related to life shifts and be open to what we learn from each person. Interviewing in this way means we don’t always ask the exact same questions. Surprisingly, the content of the topics covered remains similar even if some questions are not asked explicitly. We’re still working on tools to capture our circle process and outcomes.

**Just an idea at the point, but allowing individuals to select “before” and “after” images (from a pool of images) and then describe how they were before the initiative and how they are now – what’s different and what is the impact of that difference.**

Open-ended questions posed to the individual involved in the training (providing the opportunity to tell their story and make connections between the development initiative and transformation). In some cases, data from individuals around the individual undergoing the “development” (for example his or her direct reports, boss, family members, etc.).

**We use a participatory action research approach to research. This type of approach allows us to capture the experience of our awardees and at the same time allows us to capture personal transformation moments linked to the awardees work and organizations. Narrative inquiry is at the core of our research. Through this approach we engage a group of community members to make sense of their experience with leadership. We have collected a very rich data set that tells us a lot about personal transformation and the importance that it has for communities doing social change work. Cooperative Inquiry is also a great methodology which has allowed allow us to capture people’s experiences regarding personal transformation. The method itself also encourages and supports personal transformation (we have group reports). Our ethnographies offer a rich set of data which shows how personal transformation is at the core of the work of the LCW awardees.**

**What are the most serious limitations of our current methodologies to evaluate personal transformation and its impact?**

Time line of evaluation; some of the impact may come later. In the short term we can measure if the experience was transformative.

**Transformative can mean very different things to people; perhaps we should try to define this as a group so we know we are talking about the same thing.**

**Limited time, opportunities for program participants and designers to reflect on, track and participate with each other in mining their own experiences**

**Limited development of markers of progress/indicators that predict social change (partly lack of good theory that takes into account all the complications, for example, structural racism, resistance to change, etc.) and partly because people's theories of change are so varied and the work isn't very linear**

We need resources (money) to implement our framework.

How does individual change or transformation contribute to changes in communities, organizations or systems? How does individual knowing of what "must be done" or "is right" get played out in institutions, formal and informal?

**Attempting to find a linear, directly causal link between things that we've not yet (as far as I know) learned to measure well quantitatively. Also, we're lacking a clear and shared definition of personal transformation.**

**The payoff from investing in personal transformation sometimes (perhaps often) occurs in the long-term (and may be more sustainable). Most evaluations are not able to track people over a long duration of time and stakeholder groups may want evidence of success more quickly (they are investing in tomorrow – not next year). Also, the further out one measures from an event, the more "noise" enters the system (e.g. how do you know it wasn't that other event or something else that "got" the result?).**

**Another difficulty also lies in determining what kind of development can move people along a personal transformation path. The path is not always linear and the learning and the learning event are not always occurring in close juxtaposition (I'm still processing learning from years ago – maybe I'm slower than some, but I do think learning or awareness that comes from personal transformation takes more time and reflection than learning about a model or a formula, etc.).**

In this case, the challenge is that the transformation happens outside the purview of the curriculum, and the learner is most likely not available for comment through existing channels.

**We believe that a qualitative approach and action research methodology is the best way to capture personal transformation. Challenges: diversity of the LCW community. Comparisons and generalizations are at times difficult to obtain. We deal with a diverse group of leaders that represent diverse expressions of leadership.**

<p><b>What do you think is the most persuasive evidence for making the case to invest in programs/efforts that seed/catalyze personal transformation?</b></p>
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Documentation of the impact; "providing a transformative experience" doesn't sell well enough. Funders want to know impact, not process or inputs.

**Personal transformation is about those individuals who are on the edge of meeting adaptive challenges. I think it is easily justified around the need for societies to continue meeting their adaptive challenges, and the role of leadership in this.**

People change things; we need a critical mass of people with courage, skills and who can support each other to act. There is some evidence to suggest personal transformation programs, if done well and if they provide reinforcing experiences and support after the end of the program, help leaders act with courage and increased skill.

But we need more evidence/case studies/historical analysis to show that personal transformation of the kind supported by programs leads to social transformation that benefits residents of communities.

**The fairly recent work of Felton Earls and Robert Sampson (\$51 million over 10 years out of Chicago)... calls the most important element in community change “Collective Efficacy”. Earls and Sampson say that sustained improvement happens when the residents themselves act to change the neighborhood. This informal social network “collective efficacy”, is referred to by some experts as the most important research into crime and delinquency ever undertaken.**

Providing quantitative evidence that personal transformation leads to an increase in strategic thinking, commitment, engagement, resilience, and ability to solve complex challenges.

**If personal transformation really contributes to making social change, and social (or organizational change) is a real goal of an organization, it would make sense to try and link personal transformation to organizational outcomes. Does personal transformation really contribute to an orgs ability to achieve its mission (e.g., in AHW, engaging people living with AIDS in such a way that enables them to give their feedback on project design, makes it possible for the organization to stay on top of the most pressing needs of the people they are serving)? Does personal transformation really help create broader social change? (e.g., do organizations that do organizing – which seems to be fundamentally about the link between personal transformation and social transformation discussed above – have better success at changing policies that affect their lives?)**

### **Why invest in personal transformation? What is its value?**

My hypothesis is that it is thru personal transformation that some of the most significant and lasting impacts on organizations and communities can occur. We hear this thru personal stories of program participants. I would like evaluations of these programs to start capturing this.

**I find it hard to talk about the value of personal transformation as such – it depends entirely around the type of transformation – from what to what? Transformations that help meet adaptive challenges are clearly helpful, but transformations can also be maladaptive...**

Personal transformation may be a necessary component of what it takes to change conditions for people in communities. I would argue that we shouldn't invest in personal transformation per se; but we should invest in programs that support values-based leadership, a component of which is personal transformation, as one of many strategies to improve outcomes in communities. Further, I would argue we should invest in such programs for a broad range of people, including those usually not offered transforming efforts of these kinds (e.g. parent leaders, neighborhood leaders, young people, etc.) we should offer them in conjunction with things like community organizing, anti-racism efforts that address institutional policies and practices; political action, etc.

Further, it may be important to focus these efforts on communities of interest or geographically defined communities to help develop a critical mass of transformed leaders within a place and/or to address an issue. It is the nature of personal transformation that people who are transformed change – they change jobs, locations and they pursue vocations they may not have pursued before. So it is useful to build change, attrition and mobility into critical mass strategies – by assuming that not every person who participates in a program will benefit, or that everyone will be available to support change efforts in the organization or community where they began.

**Personal transformation allows people to be all that they can be. Doesn't mean equal... means aspiring to and meeting expectations that are yet to be discovered. That's raising the bar on life. That's redefining hope. I think there's plenty of value here.**

Extremely valuable for individuals to optimize lives and experiences. Tipping points probably exist where more people are living their passion and are more content with their lives/themselves, the better they treat others.

Generally deepen sense of humanness and connections to other people, ecosystems and universe.  
What about personal transformations that lead people away from social justice or humane behavior?

**In a world of quick fixes – that is the million-dollar question. I believe the value is in the things like strategic thinking, commitment, engagement, resilience, and ability to solve complex challenges.**

This is a big question. It reminds me of Lateefah Simon's story about how they are doing work that is like lifting weights with a gash wound in your arm. She argues that it is critically important to heal ourselves before we can address the bigger problems that we are trying to change. She argues that if we can transform people/ourselves, to encourage us/them to be active in struggles that will have an impact on their own lives, "than who can be more fierce than you?" In other words, personal transformation is necessary in social justice work because no one can be more fierce at making change than someone who has an intimate, personal experience with the policy, practice, or issue in question. It relates to commitment to doing the work, and also direction (who will know better about where to take this work, than someone who has lived it?)

## Attachment C

### Malcolm “Jerry” Williams: The Lollypop Cop

Six years after receiving the Peace Prize, Oakland Housing Authority police corporal Malcolm “Jerry” Williams couldn’t explain what was going on in East Oakland. “Words are just words. You just gotta come see for yourself.”

Across the sparkling San Francisco Bay on a jewel-like day, East Oakland emerges as if in another world and another time. East 14<sup>th</sup> Street (renamed International Boulevard), the bustling main artery through town, is a testament to the vitality of twenty-first century America: This is It Barbeque, Doo Rae Bak Restaurant, Allen Temple Church, Taqueria’s Mexican Restaurant, Hop Phat Meat Market, and Plucky’s Liquor Store are nestled comfortably between nail salons and “paycheck cashed” enterprises.

East Oakland is a diverse, multiethnic community of nearly five thousand people residing in the area bounded by Seminary Avenue, 81st Avenue, East 14th Street and the Southern Pacific Railroad tracks. By almost any measure, East Oakland has had a tough time: crime, joblessness, violence, sagging economy, institutionalized poverty, racism, and homeless Vietnam vets.

Jerry Williams’s beat in East Oakland included Lockwood/Coliseum Gardens, two of the most dangerous and dilapidated public housing projects in the country. They were barren, inhuman, violent, nefarious, and isolated. When people were murdered elsewhere in the Bay Area, it was not uncommon for their bodies to be dumped in Lockwood/Coliseum Gardens.

Nationally, public housing projects are home to some 1.3 million American households in fourteen thousand developments across the country. Three-quarters of these households are headed by single mothers, and nearly half of these are African American. Of the three million people in projects across the nation, about half are children and a third, elderly individuals.

In 1992, Jerry Williams was a tough undercover narcotics officer, working the Lockwood/Coliseum Garden complexes. “We used to make dozens of arrests a night in this community; it was like fishing in a fish bowl,” he says of his early days. “We were kicking in doors and hauling off people’s kids and grandkids for drug-related crimes.”

He was, by his own admission, “a very aggressive police officer” where success was measured by number of arrests. He was personally averaging seven felony arrests a night. “I had been doing it so long and was so successful at it, it was second nature. I didn’t think about it,” he says matter-of-factly. The problem was, the more arrests he and his fellow officers made, the more the crime rate increased. And not just that: when he drove home after work, it would take him longer and longer to shed the streets—sometimes a couple hours. “I knew what

the problem was—[my work] didn't come from within."

His personal crisis was cresting, when in 1992, his chief called him in and said he wanted Jerry to "do this thing called community policing." Jerry remembers saying "I didn't have a clue." The chief handed Jerry ten guidelines, nine of which Jerry remembers he was already doing as a traditional police officer. But the tenth guideline instructed him to "establish rapport with the community," a simple statement that would begin a change in Jerry the police officer and Jerry the person.

Still uncertain about how to do community policing, Jerry headed for training in Los Angeles. He left the training having learned "what to do" but still wondered "how to do" it. When he returned to Oakland, he participated in a health realization training that answered this question. At first Jerry thought "Oh, geez, this sounds like some cult stuff. How is this going help me make more arrests?" He explains how on the second day of class "we were down to twenty [participants]. On the third day, I was the only person left."

Leaving the training, Jerry remembers a number of lessons that stuck. "They talked about how my mind constructed my reality and that ability, creativity, judgment, love, wisdom, and compassion were everyone's birthright, not just a select few. 'People want to do good,' they assured me. 'Just go out and give it a try. Oh, and stay in touch.'"

"I returned to Lockwood/Coliseum Gardens and got out of my car and started talking to people. I thought I would begin by asking people to call me 'Jerry.' After all, I called them by their first names, so why should I be 'Corporal Williams'? I bought lollypops for the kids and stuck them in my trunk to hand out. That's why the kids call me the Lollypop Cop. I tried to look for the goodness in everyone and myself, but it was still hard, real hard," Jerry recounted.

Jerry recounts what he was learning from the community and from the empowerment training now taking place at Lockwood/Coliseum Gardens. "They taught me how to listen, really listen, not just to people's words, but beyond those words to the feelings," Jerry remembers. "I also had to let go of the 'fix it' attitude and find what sparkles in people. To learn to work with people instead of on them. I began to catch on. I felt like I was finally graduating from the real police academy and that I was beginning to become a "peace officer"—someone who keeps the peace—and not simply a "police officer."

The change in Jerry did not come easily. "After a few months, I began to see changes in Lockwood/Coliseum Gardens. I knew there was something working out there. I knew the philosophy of this model, and I was working it hard, but it was a still a struggle for me. I thought if they can change, why can't I change?" Jerry recalled. About six months later, with the help of the training and seeing the people in this community change, he finally got it. "I stopped thinking and trying to fix it. It was an interactive process between them and me. We fixed each other, you might say, although in truth, nothing was ever broken. It all just fit

into place, and my life changed forever.”

Corporal Williams had discovered the true nature of community policing. He hadn't made any drastic outward changes—it was about being a compassionate and authentic person and seeing the goodness in himself and others. No small task.

At first Jerry felt a bit soft and vulnerable. His fellow officers kidded him and called him “Officer Friendly” or “Officer Hug-a-Thug.” But over time, some tagged along, and pretty soon they were taking kids to the swimming pool and to camp. His relationship with the youth facilitated relationships with others in the community,” Jerry said. “They [community residents] know what the problems are, and they know what the solutions are. I can be the vehicle to take them towards that solution.”

It took about eighteen months for the adults to really trust him. The turning point came at a meeting in which the community members suggested they wanted to take on the troublemakers in the neighborhood. Instead of asking Jerry and the other officers to try to handle the problem, they came up with their own creative solution: printing up “Wanted: Out of the Community, By the Community” posters with photographs of four young men who were threatening kids and stealing from community members. No sooner had the posters been tacked up on Lockwood telephone poles, then the buzz went out and one of the young men showed up at Jerry's office, saying he was leaving because he didn't need that kind of exposure. The other three called him shortly after and left too.

Working together, the housing authority, the police and the community built a police substation at Lockwood, conducted a community audit, offered health realization training for residents, and started a volunteer program in Havens Court Middle School and Lockwood Elementary. Jerry convinced the local garden center to subsidize a daycare center and helped the community start a school lunch program for the kids. People hung their laundry outside, no longer afraid that the crack addicts would steal it. The housing project transformed into a community where children played outside again. With the help of politicians, businesses, the housing authority and others, millions of dollars of federal grants poured into Lockwood/Coliseum Gardens, bringing new housing, jobs, and skills training. “Operation Weed and Seed” and other support group agencies collaborated to “weed out” violent crime, gang activity, drug use, and drug trafficking and then “seed” the restoration of the area by social and economic revitalization.

About this time, Jerry was named the recipient of the 1997 California Peace Prize Award. National and local news profiled Jerry, community policing, and Lockwood/Coliseum Gardens, dubbing it the “Miracle on 65<sup>th</sup> Avenue.” The award and resulting media coverage began to expand Jerry's influence on violence prevention. He found himself in demand at police departments and other troubled communities around the country. He provided technical assistance to cities that wanted to replicate his form of community policing and

taught college courses on violence prevention and the role of police. Attorney General Janet Reno paid him two visits because she had heard what had been going on. For Jerry, the greatest benefit of all the attention was the media put the community in a positive light, when it had only gotten negative publicity before. "They were just as honored and excited as I was when I was nominated to receive the award. It was as if they too received the award. Remember, this community was hopeless with low self-esteem. The award made them feel that they accomplished the ultimate reward—true peace, in a place that once was the most violent community in the City of Oakland."

A lot has changed over the last decade. Coliseum Gardens is being plowed under and new homes constructed. Lockwood Gardens is a community in the fullest sense of the term. Catherine Smith, a longtime resident says quietly, "I've lived here seventeen years, and this place has really changed. When I first came here, there was a lot of drug trafficking. A lot of people got killed here. My own son got killed here. A lot has changed, and Jerry has brought about change." Of all the changes, Jerry and the community are especially proud of the fact that there was not one homicide in eight years.

Leadership recognition efforts like the TCWF Peace Prize represent a new approach by foundations to foster and support leadership in communities. Critics worry that when one leader is recognized, the community might get lazy or expect the person in the spotlight to solve all its problems. What happens when that person leaves, they ask? In 2003, Jerry was re-assigned to the West End. Before starting his assignment, he said that "everyone there had heard about me, and knew I could be trusted."

Because he was not the "fix" for what happened in Lockwood/Coliseum Gardens, he doesn't think his departure will undo the change since the invisible thread of love and connection has taken hold, both in Lockwood/Coliseum Gardens and in Jerry. Five years after winning the Peace Prize, Jerry stands with community folks on a Lockwood corner one sunny day. "There is nothing magic about Lockwood/Coliseum Gardens," he says. "If it can be done here, it can be done anywhere. The whole process is so natural. I didn't do anything great. It's not about me. This has always been a great community. It just never had been recognized."

When asked if TCWF could do anything else to improve the impact of the Peace Prize, the Lollypop Cop thinks a moment and then responds, "They did a beautiful job, [but] what I would like to have seen was for them to present the award in the community, that the attention be brought into the community."