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# Growing the top management team

## Supporting mental growth as a vehicle for promoting organizational learning

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**Abstract** *We outline a developmental view of OD, showing on empirical grounds that Argyris' "theory in use" notion points to different levels of mental growth as underpinnings of "the program in brain/mind" that determines personal theories of organizational action. Employing the developmental structure/process tool (DSPT<sup>TM</sup>), we explain the differences between two executives' theory of action. We also analyze the dynamic of a six-member team on developmental grounds. By way of close analysis, we show that theories of action are developmentally grounded, and are thus open both to maturation over the life span and to interventions like developmental coaching. We come to the conclusion that developmental assessment of executives and teams should become a vital part of in-house development and of OD intervention.*

### Section I

The focus is on understanding the master programs in individuals' heads so that we can predict the kind of meanings and behavioral strategies they will or will not produce (Argyris, 1999, p. 81).

One of the hallmarks of a learning organization is the need for employees to be continuous learners who can monitor their own performance and who recognize what is essential for success in the organization. Organizations offer coaching support to their management teams to help develop leadership skills and to leverage strengths. Research (Laske, 1999a) has shown that some people are content to use coaching for skills acquisition and performance enhancement, and some are able to use lessons learned in coaching for personal development beyond their purely professional agenda. In organizations striving to achieve strategic alignment, it is important to find those employees who have the flexibility to see their jobs, their organizations, and their communities as part of a larger system.

Embedded in an individual's worldview is his/her personal and unique sensemaking system which guides the way he or she frames a situation:

Sense making is about the ways people generate what they interpret (Weick, 1995, p. 13).

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The way we make sense out of novel events is based both on the situational event itself and on the cumulative events, experiences and interpretations of the lifetime of the individual. Senge describes the deeply held images of how the world works, images that limit us to familiar ways of thinking and acting as mental models. According to him, these mental models determine not only how we make sense of the world, but also how we take action. If we believe, for example, that someone is trustworthy, we will trust their recommendations; if we believe the opposite, we will likely reject the same recommendations. Mental models form the basis of a person's theories of action. They can be likened to a master or executive computer program which determines how action is designed and executed in any given situation (Argyris, 1982, p. 84). These human master programs are learned throughout a lifetime in the interaction of the experiences and their attendant emotions and consequences, influential people, values and beliefs, and aspirations. Argyris distinguishes further between espoused theory and theories-in-use. People will predict or describe their behavior according to their beliefs, values and expectations and this prediction demonstrates their espoused theory. What they actually do in a specific given situation demonstrates their theory-in-use:

Although people do not [always] behave congruently with their espoused theories [what they say], they do behave congruently with their theories-in-use [their mental models] (Argyris, 1982, p. 211).

The developmental structure/process tool (DSPT™) is a developmental assessment model designed to explore the gap between individuals' theories-in-use and the espoused theories. DSPT is a methodology based on research into the transformative effects of coaching on executives' professional agendas (Laske, 1999a). It assesses adult development from two complementary perspectives:

- (1) mental growth (self-awareness profile); and
- (2) systems thinking (complexity awareness profile) which, according to Senge (1990) is an essential element in building a learning organization.

Both parts of the assessment outcome (score) account for what Argyris (1992, p. 302) has called design causality:

Argyris and Schoen (1974, 1996) claim that human beings have theories of action in their mind about how to behave effectively when dealing with others. There are two types of theories of action. The first comprises the theories that individuals espouse (e.g. values, attitudes, and beliefs). The second comprises theories that they actually use (their theories-in-use). It is the latter theories that causally explain the action observed. These are the designs that they (i.e. the authors) claim are in human beings' mind/brains, designs learned during acculturation.

DSPT™ helps transcend the how-descriptions of behavioral assessments to answer the why-question: why do people behave the way they do? It explores the theories-in-use and develops coaching recommendations that strive to build

congruence between an individual's theories-in-use and espoused theories, and to build additional congruence between the individual's professional agenda and the organization's. It articulates a client's habitual patterns of mental processing. This assessment also facilitates the integration of developmental considerations and behavioral assessments, such as Aderman's need-press analysis (Hawkins, 1970), in the corporate development readiness and effectiveness measure (Laske, 2001a, b).

*Levels of mental growth*

According to research in developmental psychology, development occurs over a lifetime (Kegan, 1982, 1994; Loevinger and Blasi, 1976). The individual's sense of being in the world is an "oscillating spiral" (Wilber, 2000) through evolving stages of equilibration between often conflicting needs for inclusion and separation. Stages are levels of mental growth that determine how people make meaning of their experiences from a perspective of self/other relationships. "Other", in this case, could be another person or an aspect of the world.

Kegan, following the Kohlberg School, describes three tiers (see Table I) of the adult development trajectory across a lifespan, each with transitional stages within it:

- (1) *Pre-conventional tier*. Subject-object stage 2: instrumental. This is the level typical of children and adolescents for whom survival through others is the central focus of sense making.
- (2) *Conventional tier*. This level is representative of about 80 per cent of adults who have matured to a level of self-sufficiency. It is made up of two successive stages:
  - *Stage 3*. Other-dependent, in which we are dependent for others' approval or acceptance. Someone early in a career could easily fall into this stage when he/she is learning the ropes of a new position and is dependent on others for mentoring and career advancement.

	%
<i>Transcendent tier</i>	
Beyond DSPT™	<1
<i>Post-conventional tier</i>	
a Post-autonomous stage: beyond DSPT	~1/9
b Mental-growth level 5: self-aware theory-in-use	8
<i>Conventional tier</i>	
Mental-growth level 4: self-authored theory-in-use	80
Mental-growth level 3: other-dependent theory-in-use	
<i>Pre-conventional tier</i>	
Mental-growth level 2: instrumental theory-in-use	10

**Note:** DSPT™ measures up to and including post-conventional b

**Table I.**  
Four levels of mental  
growth

- *Stage 4.* Self-authored, in which a person has learned how to separate self from others and act based on the scrutiny of his/her own value system.
- (3) *Post-conventional tier.* Stage 5: self-aware stage. While a self-authoring person may hold his/her views privately, and in fact is not aware of his master theories, a self-aware person has begun to step back from her own value generator. At this stage, the individual is willing to share the “why” of his/her actions opening up for external scrutiny by others in order to help in the transformation of others.

### *Systems thinking*

DSPT™ uses the “self-awareness profile” (SAP) to describe where a person is in terms of stages (levels of sense-making maturity) and the “complexity-awareness profile” (CAP) to explore how much the individual perceives the self to be a part of a larger system and is capable of systems thinking. According to Bohla (1993, pp. 4-5), systems thinking is based on the synthesis of three paradigms (constructivism, dialectics and systems theory) all of which assume acceptance of the ideas of constructed reality, holism, social interactionism, emergence, and contextualized understandings:

Constructivists explain how each individual-in-the-world comes to invent a special world of his or her own through social processes. Dialectics explains the interactive mutually shaping nature of the processes through which the world is both found and made . . . Systems theory explains that our constructions, though produced by individual dialectics, are not isolated, dyadic or linear but occur in the rich contexts of interrelated systems of material, social and cultural reality (Bohla, 1993, pp. 4-5).

Senge (1990) describes systems as:

. . . interrelated events that [may be] distant in time and space, and yet they are all connected within the same pattern. Each has an influence on the rest, an influence that is usually hidden from view. You can only understand the system . . . by contemplating the whole, not any individual part of the pattern (Senge, 1990, p. 7).

He goes on to describe:

. . . [b]usinesses and other human endeavors are also systems. They, too, are bound by invisible fabrics of interrelated actions, which often take years to fully play out their effects on each other.

Since we are each embedded within a system, it is difficult to step outside of it enough to be able to grasp the magnitude and complexity of the system of people, events, and consequences. The ability to think in terms of systems is a developmental marker since it generally emerges at higher stages (levels) of mental growth.

### *Developmental assessment*

An assessment done using the DSPT™ model combines Lahey *et al.*'s (1988) subject-object interview and Basseches' (1984) dialectical-schema interview.

The scoring of these interviews yields a single adult-developmental score, of the form:

$$L\{r : c : p\}[m, f, r; t(\%)].$$

The DSPT<sup>TM</sup> score, above, is composed of two parts, a structural and a procedural one (Laske, 1999a; 2001b). The structural part –  $L\{r : c : p\}$  – explicates the level of self-awareness of the individual in question, associated with an index describing the risk ( $r$ ) and potential ( $p$ ) for the individual to fall back or transcend the present level ( $c$ ). The procedural part –  $[m, f, r; t(\%)]$  – is a compact symbolic description of the individual's awareness of systems complexity. The structural part of the score speaks to the way an individual designs his/her actions, while the procedural part speaks to the way these designs are actually implemented in the organizational context. In terms of Argyris' research on organizational learning as based on theories of action, the structural part of the score answers the question of "what is the theory of action?", while the procedural part of the score answers the question of "how is the theory of action actually implemented in the organizational context?"

*Structural assessment: self-awareness profile (SAP)*

The structural assessment pertains to a person's self-awareness profile (SAP). This assessment relies on two notions: first, a level of mental growth ( $L$ ); second, a risk-clarity-potential index  $\{r : c : p\}$  associated with that level. The instrument differentiates approximately 15 developmental levels, and any number of RCP indices. The levels have to do with what an individual, as self, identifies with or is "embedded in" and therefore cannot have a relationship with (stand back from and "take as object"). The indices reveal the clarity ( $c$ ) or strength with which the individual resides at a particular level of mental growth and the risk ( $r$ ) or potential ( $p$ ) of the individual changing levels. For example, the index  $\{3 : 9 : 2\}$  conveys that the individual's potential for transcending his/her present level of mental growth is slight ( $p = 2$ ) and is lower than the risk to slide back to a lower level ( $r = 3$ ) in comparison with the force of gravity with which the individual is ensconced in the present level ( $c = 9$ ). Depending on the individual's complexity awareness profile  $[m, f, r, t(\%)]$  (discussed later), this assessment points to a risk for developmental arrest at level  $L$ , or to the fact that the individual is presently gathering forces for moving on to the next level. In other words, the interpretation of the structural aspect of the assessment (RCP index) depends on the procedural aspect of the individual's level of evolving self.

*Procedural assessment: complexity awareness profile (CAP)*

The procedural assessment pertains to an individual's complexity awareness profiles (CAP). It is formulated in terms of four interrelated dimensions that together make up what is called dialectical thinking. These aspects are referred to as motion ( $m$ ), form ( $f$ ), relationship ( $r$ ), and meta-form, or transformation ( $t$ ), and are represented by four corresponding classes of schemas. Schemas are

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thought-forms that express an individual's awareness of complexity, inner or outer. The CAP indicates to what extent aspects of dialectical thinking are manifest in the individual's way of thinking. When isolated, each of the dimensions of change  $[m, f, r; t]$  describes only a single aspect of change, thus distorting the complexity of reality which results from the synthesis of all four dimensions being involved simultaneously. For instance, "organizational change," when viewed from a "motionist" perspective ( $[M, f, r; t]$ ), captures only the dynamic, interactional aspect that things are changing but misses the "form," or systems aspect, that explicates what is changing and what remains stable across the change. By contrast, a "formalist" perspective of organizational change ( $[m, F, r; t]$ ) overstates the equilibrium embodied by the system undergoing change, to the detriment of the dynamics the system is engaged in. Both of these perspectives, employed independently or together, share a misapprehension of the interactive and constitutive relationships that characterize organizational change ( $[m, f, R; t]$ ) which pertains to the fact that the organization as a whole, or its sub-units, are logically prior to the elements they bind, and thus define the nature of the elements that are changing. The meta-formal synthesis of motion, form, and relationship (Basseches, 1984), as scored under the transformational index of the process profile ( $[m, f, r; T]$ ), transcends purely logical or "formal" thinking. It is a manifestation of the ability of dialectical thinking. Meta-formal capacity entails the ability to grasp the limits of stability, the resolution of disequilibria in a "developmental" direction (rather than only in a direction of "change"), and the transformation of one form or system into another (e.g. system mergers). On account of his/her metaformal capacity, an individual is capable of conceptualizing system transformations in all of their complexity, whether the system is his/her own person, an organizational sub-unit, or the organization and its environment as a whole.

### *Model II learning*

The ability to conceptualize organizational reality in a transformational or developmental direction, involving an equilibrium of all four aspects of transformational capacity ( $M, F, R; T$ ), is essential to Model-II action. According to Argyris, the governing variables of opposite Model I are (Argyris, 1999, p. 244)[1]:

- participation of everyone in defining purposes;
- everyone wins, no one loses;
- express feelings; and
- suppress the cognitive intellectual aspects of action.

While these variables do not *per se* define the variables of Model II – namely, valid information, free and informed choice, and internal commitment (Argyris, 1999, p. 245) – the ability to manifest them defines the developmental advance that alone can lead to using Model II. For instance, the notion of participatory

winning as an overriding purpose of organizational functioning presupposes the capability to conceptualize interactive and constitutive relationships [ $r$ ] that make the partners to the winning what they are, and thus logically precede them. Only in the context of a theory-in-use in which motion [ $m$ ] is present as mental interaction and the source of shared action, can vulnerability be designed (Argyris, 1999, p. 70), and can feelings thus be shared, rather than being suppressed in favor of “cognitive intellectual aspects of action.” As a consequence, attention can be paid to the workings of a team in functional and equilibrational terms (as a form [ $f$ ]), and persons or systems can be coordinated [ $r$ ] and viewed from multiple perspectives [ $t$ ]. In short, using model-II governing variables presupposes a conception of self, and an associated relationship of the self to (parts of) the organization, that bestows on the self membership in a community of inquiry in which the “other” (suppressed part of self, person, or organizational unit) becomes a part of the self, and both self and other are participating in form construction, a basis for generating organizational reality as a transformational system. For this reason, it appears as counter-intuitive, if not destructive, to a model-II learner (dialectical thinker), to follow the governing variables of a model-I implementation of theories-in-use (Argyris, 1999, p. 81):

- strive to be in unilateral control;
- minimize losing and maximize winning;
- minimize the expression of negative feelings; and
- be rational.

Both “strive to be in unilateral control” and “minimize losing” imply a relationship of self to world in which the self is seen as an isolated form (system) that can hold itself stable without furthering those others without whom it cannot function. “Be rational” as an overriding strategy is a defensive stance that implies partitioning the self into two non-communicating universes (namely, rational thought and emotion), to the detriment of being able to use positive as well as negative emotions as a resource for acting on one’s own behalf. The reference to “expressing feelings” and “suppressing the cognitive intellectual aspect of action” in model-II implementations of theories-in-use shows that dialectical thinking is not a purely cognitive affair. Since feelings, or better, emotions, are constructed (mediated by thought), they depend on an individual’s way of sense making, thus on his/her level of mental growth. For instance, anger at level  $L = 3$  is different from anger at level  $L = 4$ . The former is caused by the experience that one is not living up to the values and principles of internalized others whose guidance one’s integrity depends on, while the latter is caused by the experience of not living up to one’s self-authored value system. “Stage-3 anger” is other-dependent, while “stage-4 anger” is self-authored, and both are designed. They are as different as is the sensemaking in which they are grounded.

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### Summary

Level of mental growth ( $L\{r: c: p\}$ , expressed in the SAP, determines theory-in-use, while the associated CAP ( $[m, f, r, t]$ ) articulates different developmental pathways toward model-II, or “systems” thinking. While the first profile states a balance between an individual’s striving for separateness and inclusion, the second profile spells out the particular imbalance of four cognitive processes responsible for systems thinking ( $m, f, r, t$ ). Two types of processes are involved: those that invoke constructive ( $f, t$ ), and those that invoke critical tools ( $m, r$ ). CAP imbalances are of two types, first that between constructive and critical tools possessed by an individual, and second, that between an individual’s cognitive capacity ( $m, f, r$ ) and the synthetic capacity to draw constructive and critical tools together into a truly “transformational” understanding of systems as they change from one form to another. The two profiles are intrinsically related through the “balance/imbalance law,” or hypothesis, according to which “the higher the balance, the less the imbalance”. In short, the higher the level of mental growth, the higher the likelihood that transformational capacity ( $[t]$ ) is also high, and CAP imbalance thus low. This hypothesis holds except for cases where the  $[t]$  score is a “false positive,” in that it is not grounded in a balanced  $m$ - $f$ - $r$  profile. Put differently, level of mental growth,  $L$ , has prognostic capacity, in that it predicts the degree of CAP imbalance. Through the relationship of SAP and CAP, level of mental growth (self-awareness) is tied together with level of cognitive acuity and perspicacity. The intrinsic relationship between SAP and CAP is most powerfully evident when DSPT assessments are repeated after a year or more, in order to gauge the developmental effects of interventions such as coaching. A repeat-assessment not only speaks to the effectiveness of an individual coaching alliance. When made use of company-wide, it can be used for assessing and monitoring the effectiveness of entire coaching programs.

The following two case studies elucidate the relevance of these ideas for understanding and supporting the organizational functioning of two executives who participated in the DSPT study.

### Section II: two case studies

#### *The team- and product-centered executive*

Steve is a senior vice-president in a large bank. He works in its investment services division. He manages both the research and investment management function of his unit’s business, defining investment strategy, guiding the investment research process, and mediating between two groups of collaborators: analyst/researchers and portfolio managers. He also communicates research results to representatives “in the field” who are working with high-networth customers they know personally. His communications are thus oriented to two fronts: the internal and the external one. Steve sees himself more as an entrepreneur than a manager of people. Increasingly, his entrepreneurial wings have been clipped by the bureaucracy that has grown up around him. Recently, his unit was “folded into” a



superordinate administrative entity. As a consequence, he now reports to a president whose operating style is, in his view, more tactical than strategic. Although he has been “upped” to senior vice-president, this change in his task environment has bruised his ego, which is identified with his entrepreneurial savvy. For three years, he has been in coaching, mainly to improve his “upward communication,” but also to wean himself from being single-mindedly focused on his team and its product. At present this is a difficult thing for him to do:

I had a tremendous amount of conflict in my own head when we moved reporting-wise from the manager of old to the new manager. The new management clearly didn't want to understand, and didn't want to take the time to understand why we were doing what we are doing on the research side. They wanted to change everything. Where I was torn and conflicted was going back and saying to my people: “guess what, we were wrong collectively, all you brilliant people I brought in here, you were wrong!” The conflict was: I didn't think we were wrong. I knew we were right. And frankly, this is not a Me-thing. It is we who were right.

While his relationship with the upper echelon of colleagues is thus strained, he is highly regarded as a team leader. From this function, he derives his greatest satisfaction:

I spend a lot of time with my people, as a mentor, as a coach, as a teacher. I tend to define my role as helping them achieve the best that they can achieve. Sometimes I jump in the middle, saying: “you row one side of the boat, I am rowing the other”. I am in the middle of the scrum with the guys . . . . One of my thrills is watching my people do some great work. That's an absolute thrill.

In an espoused way, Steve is aware that in a large bureaucracy other rules apply than in a strictly entrepreneurial environment. He knows, for instance, that through his actions he is constructing others' perception of him:

You construct your own perception of you, what the rest of the world's experience of you is. You are shaping not only your work, you're shaping other's perception. Like in baseball, you need to understand that a whole stadium of people is watching you.

Being the sportsman that he is, Steve states his theory-in-use, thus the design causality of his actions, as follows:

This is about winning. It's you against the clock. And in distance swimming, it's you against the water, tide, fish, the challenge is what counts.

He sees the greatest influence of the coaching he has undergone in broadening his awareness of the larger organizational task environment:

Most of the conscious impact of my coaching work has been on managing up, and figuring out what's going around me and my unit. The influence of the coaching has been more on understanding the impact of the way we function here, or the way I function, relative to what's really important here, which is the surrounding environment and the upward communication, whereas my preference always would be to say: “look guys, we have a piece of work to do”.

When interviewed in terms of the DSPT™, Steve obtains the following developmental score:

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4{3 : 9 : 2}[ $m = 25, f = 33, r = 42, t = 19(\%)$ ].

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The score shows him as instantiating a self-authored theory-in-use (level 4). The associated index {3: 9: 2} shows that he is strongly embedded in his present level { $c = 9$ } with a moderate risk { $r = 3$ } of falling back to an “other-dependent” point of view where he blames others rather than taking responsibility for himself. His potential for moving up to the subsequent level of sensemaking where he would be able to stand back from his own value system is slight { $p = 2$ }. In short, Steve is currently developmentally stuck. On the procedural side, the complexity awareness profile conveys a mode of organizational learning and action implementation that is determined by a keen understanding of constitutive relationships (i.e. relationships that precede the elements they relate;  $r = 42$  per cent), good systems thinking ( $f = 33$  per cent), and a moderately good perception of inner and outer change ( $m = 25$  per cent). The weakness in this profile is a systemic one, indicated by the low overall capacity to think “systems-in-transformation” ( $t = 19$ ). It shows that Steve is challenged when it comes to seeing the big picture of an entire organization in such a way as to hold an adequate conception of his organizational surround. This deficiency is strikingly shown by his deficit in upward communication and by the way he confines himself to intensive work with his team where his relationship expertise is a powerful asset. Bereft of transformational capacity ( $t = 19$  per cent), he cannot apply his intuitive understanding of interactive relationships ( $r = 42$  per cent), the systemic cohesion of teams ( $f = 33$  per cent), and the interaction of ideas ( $m = 25$  per cent) to the wider organizational environment. His model-I notions of “winning” and of local control presently hinder him from taking multiple perspectives on his own work and its function in the context of the organization as a whole. He is unable to grasp the limits of stability of his own team, or “disembed” from his self-authoring stance, articulated by a strictly product-oriented approach to tasks.

Considering that Steve’s level of mental growth determines his theory-in-use and, thereby, his professional agenda, this agenda may be summarized as follows:

- Mission: winning by building best product, based on coaching his team.
- Role functioning: product-centered.
- Approach to tasks: self-authored, strategic, lacking multiple perspectives.
- Goal setting: restricted to own team and team product.
- Performance: focused on team performance (as in sports), oblivious to larger organizational surround, thus upward communication.
- Self and role integration: identification of self with expertise-based, informational and decisional role functioning, to the detriment of interpersonal roles.
- Theory-in-use: self-authored, in harmony with subject-object stage 4.

- Espoused theory: winning by team cooperation, in order to sustain the self-system.

On account of Steve's developmental score and professional agenda, a DSPT™ user knowledgeable of his organizational circumstances can formulate the following assessment:

Steve is presently at a level of mental growth where he follows a self-authored theory-in-use (subject-object stage 4). As a manager, he is able to follow his own value system, but unable to critically assess the generator of his own governing variables. It is a challenge for him to understand phenomena in the context of larger organizing forms, which requires taking multiple perspectives, and grasping the limits of separateness in organizational functioning. As a consequence, he shows a high degree of embeddedness in his own ideological system, which frees up only a slight potential for transcending Model-I thinking. Regarding the implementation of his "master program" (theory-in-use), he is presently hampered by not being able to draw together effectively his keen sense of inner and outer change (*m*), his good understanding of systems functioning (*f*), and his outstanding insight into relationships (*r*).

This points to a vulnerability in grasping and enacting transformational change in a developmental direction, both regarding himself and his unit. Due to his embeddedness in a closed value system, Steve is not aware of the thought/action gap that separates his espoused theory of cooperation from his theory-in-use of winning, and cannot disembed from his product-focused, environment-discounting approach to tasks. His strongest asset is presently his self-authoring position, articulated in terms of a highly interactive style which is, however, restricted to the members of his immediate work group. This restriction is in harmony with his professional agenda which identifies him as engaged in a mission of winning through coaching his team. On the positive side, his approach to tasks is highly strategic, and his performance is focused on team action. However, this action is understood as serving his own professional standing, and is thus a means for self-gratification (rather than also for reaching organizational objectives). In terms of self and role integration, Steve is identified with an expertise-based type of role functioning. While he does not seem to be at risk for regressing to a lower level, he may well be at risk for a developmental arrest at the present level, given how firmly ensconced he is in his own ideological system.

Clearly, this assessment is potentially of great value both for building a coaching alliance with Steve, reshaping the coaching strategy presently employed, and considering him, or bypassing him, for purposes of succession planning.

*The vulnerable executive with leadership potential*

Sarah is director of multinational banking in a large bank. She took over this unit six months ago, when returning from an assignment as regional manager

of Asian operations. In her former capacity, she has overseen the bank's business in Hong Kong. Sarah became interested in the US unit of multinational banking not only on account of her overseas experience, but in search of a challenge that could help her turn her own sense of vulnerability around. The corporate bank she is part of comprises a dozen comparable units, with some new companies recently moved into her division. At present, Sarah is managing 50 people, and is working in close partnership with her international colleagues. Taking a comprehensive view of her organizational surround, she describes her task as follows:

My present task is to make the mission of this unit consistent with the mission of the overall corporate bank first of all, and secondly with the overall company, and to get the unit into a position where it earns adequate returns.

Being more invested in her interpersonal than her informational or decisional roles, and mindful of her human-resources needs, she asks:

How do we harness the talents of this group against a specific set of customers, to generate revenues for the company?

Sarah has emerged from a demotion in the guise of a promotion (to the overseas job) that has been a major psychological issue for her:

I want to go back to where I was before. To me, it's important to have a voice and an influence beyond just doing my work. I want to be part of what the company feels like, what it is. And you can't do that as effectively at this level as at the higher echelon where I used to operate.

Her relationship to work has been shaped by prior life history as much as by recent adversity. She tells a story of the death of a colleague in a former banking firm who was replaced and forgotten within a matter of days. The story conveys her insight into the need to see work as an element of a larger life context:

On Monday, it was a tragedy. But by Wednesday, his entire account base had been reassigned, and the company went forward. So, any illusion we have that work should be the most important part of our life I have never believed in.

Sarah is concerned about issues of leadership, and has used coaching to re-affirm for herself the values she has always believed in:

Coaching has been catalytic on a couple of fronts. It has gotten me to become re-interested in leadership, improving my leadership capabilities. When you feel like nobody really cares about that, and in fact you feel beaten up yourself, and the personality of the company over the last few years has drifted in a way that is somewhat counter to these values of leadership that I hold – then it is hard to sustain these values. But I have believed in those leadership values for a long time, although for a couple of years, that position wasn't getting me anywhere, and I almost gave up. I am only gradually getting my old self back.

She expresses her take on leadership as follows:

Producing the numbers [i.e. results], that is a given. That is not enough. It's too one-dimensional. How do you get to producing the numbers? There are different ways to do that. And you can be dictatorial and just assume, again, that you can produce mercenaries to produce results. But there is nothing else in that equation. You need a person who can go

before a group and actually get them to want to follow him or her, want to be with you in your pursuit of trying to reach certain objectives. And when times get tough, on the margin, that will mean something to people, I believe. So, the numbers are the lesser part of the equation.

Sarah is highly engaged in transforming others, without conveying an exaggerated concern for safeguarding her own self system. She is striving for a positive impact on the group around her:

Therefore, a lot of the effort I have been expending has been directed to conveying the strategy we have put together in a way that people could embrace.

When interviewed in terms of the DSPT<sup>TM</sup>, Sarah obtains the following adult-developmental score:

$$4(5)\{2 : 4 : 7\}[m = 0, f = 0, r = 50, t = 44(\%)].$$

According to this score, she has made a first step toward advancing from a self-authored to a self-aware, thus a “post-conventional,” theory-in-use” (stage 4(5)). The stage score is indexed by a potential for transcending this stage by  $p = 7$ , compared to an index of clarity/embeddedness of 4  $\{c = 4\}$  or a relatively low risk of regressing to a lower level  $\{r = 2\}$ . The score indicates that she not only follows her own value system (rather than being dependent on internalized others), but is beginning to be aware of the peculiarity and limits of her own master program.

On the procedural side, the complexity awareness profile conveys a developmental path that is characterized by an overriding emphasis on the holistic, in contrast to constructive and analytical, aspects of model-II action implementation. Sarah emphasizes thinking in terms of constitutive relationships [ $r = 50$  per cent], and an almost equally strong ability of conceptualizing how old forms, whether personal or systemic, give rise to new forms [= 44 per cent]. Presently, this holistic aspect of her meaning-making is not well balanced against her capacity to concretely (tactically) steer and influence interactions between people and ideas, taking into account inner and outer change ( $m = 0$  per cent), nor is she an astute systems thinker easily grasping phenomena as organized into larger wholes ( $f = 0$  per cent). The disequilibrium of her complexity awareness profile, between the “critical thinking” indices of  $m/r$  and the “constructive” indices of  $f/t$ , manifests in her feeling of vulnerability as a provider of leadership, and her need for organizational and coaching support in realizing her vision. The disequilibrium is due to her visionary overreach toward a post-conventional stance, as indicated by the potential/clarity index of  $\{7:4\}$  showing a high potential of reaching a higher stage. It also shows up in the way she has previously dealt with her own demotion. She took a long time (three years) to make meaning of the inner and outer changes professionally imposed on her, and to reconceptualize the organizational system she had been dismissed from. As a consequence of this disequilibrium, her relatively high endorsement of transformation ( $t = 44$  per cent) is to some extent espoused, a “false positive”, although her values are very close to model-II governing variables (Argyris,

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1999, p. 244). In summary, Sarah's total score manifests a beyond-average capability of understanding and engaging interactive and constitutive relationships, both between people, and between people and their tasks, and the ability to disembody from her own value generator and its governing variables for the benefit of group connectedness and productivity. She is on her way to embracing a self-aware theory-in-use implemented according to model-II thinking.

Considering that Sarah's level of mental growth determines her theory-in-use and, thereby, her professional agenda, this agenda may be summarized as follows:

- Mission: using the task of turning her unit around as a vehicle for turning around her own vulnerability.
- Role functioning: transcending technical roles for the sake of exercising leadership.
- Approach to tasks: value- and human-resource driven, increasingly self-aware.
- Goal setting: process-centered, directed toward the renewal of her unit.
- Performance: based on resolve to test long-standing leadership values for the purpose of renewing her unit and herself.
- Self and role integration: dis-identification of self with technical tasks and roles in favor of motivating others.
- Theory-in-use: self-authored, but inching toward a self-aware theory-in-use.
- Espoused theory: engaging the full resources and cooperation of co-workers.

On account of her developmental score and professional agenda, a DSPT™ user with insight into Sarah's organizational circumstances can formulate the following assessment:

Sarah is presently at a level of mental growth where she has begun to transcend a self-authored theory-in-use (4(5)), associated with a strong potential for gaining a foothold in a post-conventional, "self-aware", theory of action. As a result, she is beginning to view her personal stance critically, aware of being embedded in a specific value system, with an ensuing awareness of the variables that govern her action designs. She is eager to have an impact on company decisions beyond her own unit. Her openness to peer and supervisor criticism and lack of undue concern for her own standing is, however, somewhat out of balance with her feeling of vulnerability when she perceives organizational support for her policies to be lacking ("I almost gave up"). This vulnerability is rooted in a complexity awareness profile that rather dramatically pits a well-developed "intuitive" understanding of the limits of her separateness and the transformational renewal [ $t = 44$  per cent] against a much

less developed “analytical” understanding of mental movement as interaction and a grasp of stability through motion.

Her intuitive understandings serve her well in defining policy for engaging her co-workers, and even superiors, in her venture of re-creating her unit in a new form. Due to her metaformal understanding of systems, she is inviting the participation of others in reaching the unit’s objectives, with the goal of having “everyone win” in the situation to be created. Although she is presently minimizing critique in order to have a positive impact on her unit, she is open to expressing feelings about the organizational obstacles she is facing. The disequilibrium of her critical vs her constructive tools is apparent from the absence of descriptions of how concretely people in her unit are to engage in order to optimize collaboration, and her lack of seeing her own ideas and values as contextualized by her task environment. Scores which indicate she is overreaching to a higher developmental level, reflect the fact that she feels she is presently in a “rehabilitation phase”, both with regard to her “old self” (her leadership values), and with regard to her organizational unit. Thus, while she is approaching a model-II instantiation of her theory-in-use, the disequilibrium in her complexity awareness profile blocks her from realizing that potential at this time. Her strongest asset is presently her ability to stand back from her own value generator and its governing variables, and to embrace a generative, participatory stance toward her co-workers. She manifests a resilience that only under extreme circumstances would give way to a risk for regression to a self-authored (stage-4) theory-in-use.

Therefore, with some additional organizational support such as coaching, Sarah seems ready to move on to a subsequent developmental level where her incipient ability to act in a self-aware manner can be further strengthened. Sarah is on her way to transcending the stance of a (stage-4) manager, adopting that of a (stage-5) leader. She seems likely to succeed in having her co-workers embrace her change message without feeling that they are mere “mercenaries” of profit making.

### **Section III: teams**

One of the strengths of DSPT™ is that it can be used to assess the developmental profile of teams as well as individuals. Comprehensive DSPT team scores consist of an aggregate of individual scores of team members. Since often it is impossible to obtain comprehensive scores for all members of the team, it is possible to hypothesize partial team scores by observing the team at work. The partial team score would consist only of an hypothesized developmental level (*L*), and the team profile would be determined by the scores of the team members and their relationship to each other. Three types of teams can be distinguished:

- (1) Teams are unified when all members are at the same developmental level.

- (2) Teams are downwardly divided when the majority is at a higher level (e.g. most at level 3, fewer at level 2).
- (3) Teams are upwardly divided when the majority is at a lower level (e.g. most at level 4, fewer at level 5).

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The DSPT™ score provides a compact measure for sizing up the coaching and intervention challenges posed by an individual or team. As with the scoring of an individual, the RCP scores describe the degree of embeddedness vs the risk/potential to move to another level. This score will help to describe the likely group dynamics and possibly explain who the leadership is, if there is an informal leader other than the designated leader.

Figure 1 and Table II provide a heuristic overview of the potential group dynamics.

*Case of a homogeneous, upwardly divided team*

The following team is homogeneous and upwardly divided, with most of the participants in Level 4, one in 4(5) which means she has started to act on her potential to move from self-authored to self-aware:

- Ora – 4 {3: 9: 2} [25, 33, 42; 19(%)].
- Tom – 4 {1: 8: 5} [46, 0, 17; 15(%)].
- Theodore – 4 {1: 9: 0} [29, 22, 0, 0(%)].
- Fred – 4 {0: 5: 3} [21, 0, 1; 26(%)].
- Felicia – 4(5) {3: 4: 3} [0, 0, 50, 44(%)].
- Samantha – 4 {2 :9: 4} [17, 33, 0; 41(%)].

This upwardly divided four-group is debating whether to adopt a new initiative aimed at enhancing customer relationships, with the goal of arriving

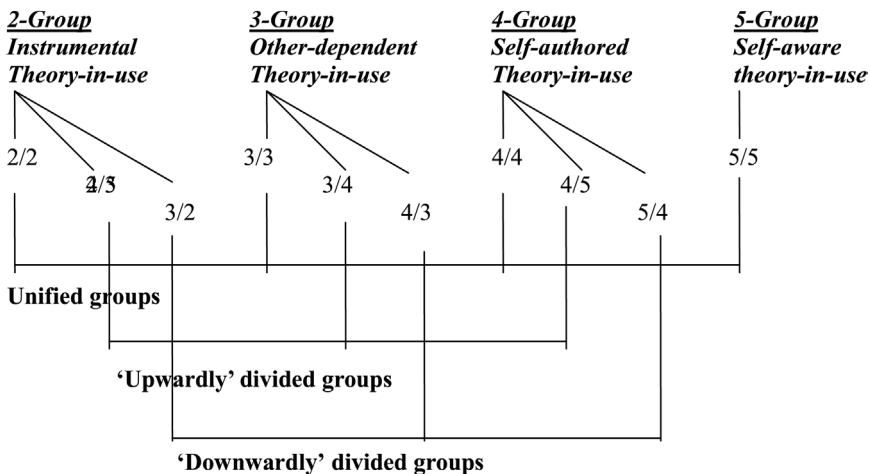


Figure 1.  
Development profiling  
of groups and teams



Majority/minority	
2/2	Group united by opportunistic strategy, but barely a group since members' instrumental objectives hinder consensual action. Fragility of group due to lack of truly common goals. No leadership
2/3	The majority's instrumental theory-of-action outweighs minority strivings toward consensual action. Frequent faking of common goals where none exist; model-I
3/2	The majority's shared context and consensus is weakened or openly opposed by the minority's "special interests". Majority consensus postures as "leadership". Task process is chaotic
3/3	Strongly consensual group without a leader, unable to transcend itself through action. Interpersonal process absorbs task process. Leadership, if existent, is limited to carrying out group consensus (thus only managerial)
3/4	Group with leadership potential groping toward a mission beyond itself. Leadership is fragile since exerted by minority member(s) without power and support. Task process is determined by interpersonal process
4/3	Group with hierarchical profile. Those defining guidelines beyond shared context are seen as authorities to follow. Task process nearly independent of interpersonal process
4/4	Status-and expertise-based group with respectful competition between different ideological systems. Group favoring "hierarchical" solutions, unaware of its own governing variables of action. Resistance to team work
4/5	Group minority is able to set transformational goals and exert transformative leadership, but majority is afraid of "opening flood gates", thus resists leadership as potentially self-threatening. Leader may use interpersonal process to advance task process, but his/her hold on the group is a fragile one. Need for support of leader, and of dealing with majority (model-I) defenses
5/4	Group focused on self-transformation by empowering members. Focus: on how to strengthen transformation without dismantling authority, by scrutinizing own governing variables of action. Interpersonal process absorbed into, and balanced against, task process
5/5	Too good to be true. Complete equilibrium of task and interpersonal process, where mutual self-transformation leads to consensual leadership (as in a friendship). Risk: task process may get subordinated to transpersonal goals

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**Table II.**  
Team profile highlights

at a strategy for gaining new customers. Presently the company is focused on solidifying the existing customer base. Based on the assessment of the team members' self-awareness and complexity awareness profiles, we can hypothesize the following about this team:

- The team is composed of a majority at the 4 level, and a slim minority at the 5 level (one person). It is an upwardly divided four-group (4/5). Through Felicia, the team is exposed to leadership ideas that transcend the "closed system" and "integrity" mentality held by the majority. Felicia will introduce leadership ideas that will threaten the feeling of safety of those with low transformational capacity (Ora, Tom, Theodore). The majority may be afraid of "opening flood gates", and may resist leadership that transcends their own value system as potentially self-threatening. The leader (who may or may not be the formal leader) may use interpersonal process to advance task process, but his/her hold on the group is a fragile one. To succeed the leader

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needs support and guidance in dealing with the majority's Model I defenses.

- Two members of the team (Felicia and Samantha) have scores that indicate a grasp of transformational change (the *t*-score at 44 per cent and 41 per cent respectively). Conversely, they both demonstrate a high process profile imbalance though in different and complementary ways which leads to different professional agendas. Felicia is a relativist and would most likely emphasize the need for the company to remain true to its current agenda (in this case remain true to its current customer base before reaching out for new ones). Samantha would emphasize that business requirements call for a new strategy. Because the scores of both individuals reveal an imbalance in their systems thinking capacity, and their professional agendas are so different, it would be difficult for the two to relate and, in fact, they could end up competing for the leadership role in the team.
- Tom's *m*-score is high (46 per cent) and is highly sensitive to change as well as highly appreciative of the process of developing new ideas through the interaction of the team members. He would be likely to be adamant about changing strategy for the simple reason of stimulating team members' interaction and change. Likewise, Fred shows a high appreciation of motion (change) in his *m* = 21 score, with a corresponding very low ability to track the structure or stability within the organizational system (*f* = 0 per cent). He could become an ally of Tom.
- In addition to Tom, Theodore and possibly Ora might favor adopting the new strategy of expanding the customer base. None of these executives would have the "big picture" of company culture and mission strongly in mind; rather, they are emphasizing short-term tactical gains. In fact, Ora's CAP score indicates he will be able to come up with the most precise tactical proposal of how to proceed. Theodore's score indicates he is the most decisively "stuck" at his present level of mental growth (RCP = {1:9:0}). He is also nearly without a grasp of relationships, thus of the limits of separation, either of team members or of the team within the organization as a whole. He tends to see the organization as an assemblage of unrelated multiples, and cannot appreciate intrinsic relationships between team members or team/organization. As a result, he would promote anything that permits his own unit to enlarge its customer base.
- On the other hand, as we have mentioned, Felicia is focused on company culture and the understanding of what the company presently does best. She is motivated by a strong sense of loyalty to the existing customer base and to the implications of current company culture. Because of her high degree of transformational capacity, she values change through transformational steps rather than in abrupt changes. She is not expert

in thinking through concrete tactical steps that would be needed when changing strategy. However, with her 4(5) SAP score, she is able to examine her own biases. She is most likely to suggest compromise between the split opinions of the team by appealing to the need to take multiple perspectives, and perhaps suggesting that the change occur over a longer period of time rather than immediately.

- Next to Felicia, Samantha shows the highest degree of transformational capacity in the team. Although she is part of the majority of “self authorers”, and very embedded in her own 4-ish value system, compared to Felicia, she has a slightly less “false” positive [*t*] score than the latter. This is due to the fact that Samantha possesses a fairly good capacity of formal logical thinking (*f*) and some critical capacity as well (*m*). However, her feeble grasp of intrinsic relationships between individuals and/or subsystems to some extent invalidates her high [*t*] score. In so far as she complements Felicia’s CAP score, she might be a useful ally for Felicia.

These characterizations of team members lead to the following coaching suggestions. Given the upward division of the group, group coaching is not a promising option. Considering the fragile hold Felicia has over the team, she would be unsuited to become the team’s coach. Rather, the intervention of choice is individual coaching of team members. However, a coaching alliance comprising both Felicia and Samantha might be an option.

#### **Section IV: discussion**

According to Kegan’s “constructive-developmental” theory, humans are engaged throughout their lifespan in a ceaseless process of meaning-making. This process leads them from being embedded in their own subjectivity (as is an infant) to an increasingly stronger and refined ability to take the world, including themselves, as object. In the context of Kegan’s theory, “taking as object” entails being able to transcend embeddedness in one’s subjectivity, that is, being able to take responsibility for, and to be in relationship with, what is “other than me (subject)”. “What happens to me is not the same as me”. Along the lifespan, different subject/object equilibriums emerge that determine where the boundaries between self and other are drawn.

This subject/object dialectic manifests itself in the degree to which humans can balance the opposites of craving inclusion and self-authored independence. It determines how they construct their world at any point, both cognitively and affectively. Kegan’s theory emphasizes the evolving transitions between pivotal stages at which points the individual has found an acceptable equilibrium in the relationship between inclusion and separateness.

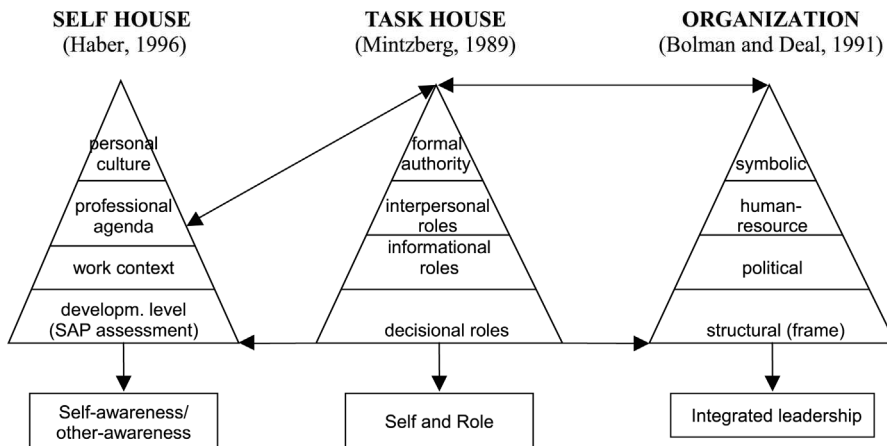
With regard to coaching, Kegan’s theory suggests that its mandate is to develop a cognitive-emotionally and behaviorally more flexible professional whose activity in the organization shows greater perspicacity resulting in a more self-aware approach to job performance. To succeed at this mandate, the

coach takes on the responsibility of assessing and understanding the executive's developmental level, making it the basis of coaching interventions. As a side-benefit of developmental assessment, the coach can also understand in more depth the behavioral assessments of an executive (including 360), and can formulate more realistic learning goals.

One way to conceptualize how a coaching relationship may promote employee development is through the metaphor of three houses: the self house, the task house, and the organizational house (Laske, 1999b). Each house comprises different levels, and provides a different window into the relationship of the individual to his/her organization. Each house may also be considered as a separate domain of coaching, since the focus of coaching differs between houses, as shown in Figure 2.

While the SAP profile specifies the "bottom floor" of the self house, the CAP profile more specifically predicts what emphasis of perspective taking and associated action scenarios will prevail in an executive's conception of the organization as a whole (organizational house): structural (*F*), political (*M*), human-resource (*R*) or cultural (*T*) emphasis. Ultimately, however, all houses are interrelated, and no effective coaching can be expected to occur where coaching focuses on a single house. All 12 "floors" of the houses are legitimate coaching topics, with developmental level (level of mental growth) being the crucial determinant of what kind of coaching should occur on each of the floors.

The self house is central to the whole concept of developmental coaching for organizational effectiveness. In order to demonstrate the desired growth in perspicacity, flexibility and self-awareness, an individual must both join with the organization and be able to preserve his/her distinctness from the organization. In other words, he or she must be a part of an organization, but be able to separate the "essence of him/herself" from the events of life and the



Source: Laske (1999b)

**Figure 2.**  
Model of developmental  
coaching

organization. The coaching process explores the personal value and sensemaking systems and how these define the professional agenda of the individual within the given work context or performance expectations, thus raising the executive's self-awareness. In terms of DSPT assessment, an individual's SAP score articulates findings regarding the self house, while the associated CAP score articulates findings regarding the organizational house. Both profiles together determine the executive's approach to performance in the task house.

The work context is an articulation of how the individual construes his/her relationship to the organization in practical, action-oriented terms. It is equally determined by where in the organizational hierarchy a person is situated (in the sense of Mintzberg, 1989) and by the subject/object equilibrium the individual instantiates in his/her interactions with the organization. The coaching process will examine the rules and conventions that define the work context and the support/barriers that the individual perceives as either aiding or blocking success.

The professional agenda regards issues having to do with how the individual construes his mission and her job description and how, consequently, goals are established, assignments approached and tasks pursued. The agenda encapsulates the "theories-in-use" or the assumptions the individual makes about work; it is an implicit theory of how the individual understands his or her functioning within the organization.

Personal culture is different from organizational culture. It includes the ethics and the value system of the individual, the impact of personal idiosyncrasies and a personal style of learning. Since the executive is the bearer of organizational culture (Schein, 1992), the intangible link that binds personal culture to organizational culture is a topic of great relevance in coaching. Based on insight into developmental level, the coaching process explores two aspects of the individual's performance, first, role performance in the task house, and second, leadership ability as evinced by multiple perspective-taking in the organizational house. Focus on the latter aspect is justified by the fact that there is more to performance than fulfilling task requirements. Each employee within a learning organization is a "thinker-in-action". The ability to view the organization systemically, and the capability of shifting perspectives from one vantage point to another is a crucial precondition of integrated leadership. An executive who is invested in the structural status quo of an organization cannot be considered as a leader of change in that organization.

Regarding the first aspect, research has identified four distinctive aspects of executive role performance:

- (1) use of formal authority and status;
- (2) interpersonal roles;
- (3) informational roles; and
- (4) decisional roles (Mintzberg, 1989, pp. 15-16).

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As much as these aspects are determined by the executive's professional agenda, they in turn exert a strong influence on that agenda. As Bolman and Deal (1991) point out, managers who, as leaders, cannot "reframe" organizational matters are failing in their task of developing a vision. Bolman and Deal distinguish four qualitatively different perspectives or "frames" from which to conceptualize organizational events and situations:

- (1) structural;
- (2) political;
- (3) human-resource; and
- (4) symbolic.

These four frames metaphorically define alternative thought-forms and action scenarios.

Each and every organizational event has a structural, political, human-resource and symbolic (i.e. cultural) implication. When conceptualizing the organization in terms of a structural perspective, the emphasis is on organizational goals, roles, hierarchy of control and division of labor. In and of itself, this perspective is highly limiting. It neglects the fact that the organization is simultaneously a storehouse of human resources, and that these resources raise issues of the "fit between people's needs, skills and values, on the one hand, and their formal roles and relationships, on the other" (Bolman and Deal, 1991). Adding to the complexity is the fact that the organizations often are divided into coalitions focused around issues of power and scarcity. In this political perspective, "organizations are like jungles in which cooperation is achieved by managers who understand the uses of power, coalitions, bargaining and conflict" (Bolman and Deal, 1991).

Finally, as Schein (1992) demonstrated, the way in which an organization learns to solve its problems, i.e. the organization's value system and ritual ("the way we do things around here") form powerful determinants of the employee's inner and outer task environment. In this fourth perspective, the focus is on organizational culture. In terms of this mostly implicit symbolic sphere of the organization, the individual must rely on images, ritual, drama, stories (Bolman and Deal, 1991). Each of the four frames gives rise to different scenarios, schemes of action, and interpretations of where the organization stands regarding its stakeholders and the outside world.

The comprehensive picture that the developmental coaching process elicits, is integral to bringing about what Lewin called "re-education." What is required in reframing is not only learning something new, but unlearning something overlearned (Benne, 1984, p. 274):

Lewin's analysis assumed that effective re-education must affect the person being re-educated in three ways. The person's *cognitive* structure must be altered. And for Lewin, this structure included the person's modes of perception, his ways of seeing his physical and social worlds, as well as the facts, concepts, expectations, and beliefs with which a person thinks about the possibilities of action and the consequences of action in the phenomenal world. But re-education must involve modifying his *valences* and *values* as well as his

cognitive structures. Valences and values include not alone his principles of what he should and should not do or consider doing – which along with his cognitive views of himself and his world are presented by his beliefs. They include is attractions and aversions to his and other groups and their standards, his feelings in regard to status differences and authority, and his reactions to various sources of approval and disapproval. Re-education finally must affect a person's motoric actions, his repertoire of behavioral skills, and the degree of a person's conscious control of his body and social movements.

However, neither Lewin nor Bolman and Deal take into consideration the impact of developmental level on the abilities required for re-education. There are two interrelated stimuli for development: “agentic” development (nurture) which is brought about by our environments, experiences, and the other people who affect our lives, directly and indirectly; and “ontic” development which occurs in the self-awareness and the cognitive capabilities of humans as they move through the life span (nature). Learning occurs naturally as lifespan development occurs, and is both stimulated by, and stimulates, agentic development. Developmental coaching is one way to stimulate that development.

### **Section V: conclusion**

It is important to understand that developmental coaching does not primarily focus on specific behavioral objectives but targets an executive's meaning making system. However, behavioral issues made evident either by participant observation or formal assessment, and behavioral objectives posted by the organizational environment are most helpful in operationalizing developmental goals. When considered in light of developmental findings, behavioral objectives can serve as triggers for having the coach model an executive's developmental target level. Such modeling focuses on the gap between an executive's theory-in-use (program in mind/brain) and what is espoused by his or her speech.

As shown in Figure 3, theories-in-use define individuals' theories of action from which actual behavior ensues. Theories of action are the foundation on which all other aspects of organizational performance rest. The “iceberg” organizations present for conceptual inquiry comprise both informal and formal aspects. How these aspects depend on stakeholders' theory-in-use is a focal mystery. The informal and covert aspects, such as beliefs and assumptions, perceptions, attitudes, and group norms are all directly affected by the individual sense-making systems which inform individual theories-in-use. These, in turn, shape the more formal and publicly visible aspects of organizational functioning. Conceptually, these two aspects form a system with theories-in-use, in the sense that they are a manifestation of such theories. While behavioral coaching and assessment target what kinds of behavior occur, and what behavioral changes are required for meeting organizational objectives, developmental coaching primarily focuses on why the behavior that is observed occurs in the first place. While changes in behavior may accomplish a specific organizational goal, they may be temporary and of limited effectiveness if not supported by a change in the underlying theory-in-

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Formal (overt) aspects of organizations

Goals  
Technology  
Structure  
Policies and procedures  
Products  
Financial resources



Informal (covert) aspects of organizations

Beliefs and assumptions—about the formal and informal systems  
Perceptions—about the formal and informal systems  
Attitudes  
Feelings  
Values  
Informal interactions  
Group norms  
Norms



**THEORIES-IN-USE (individual theories of action)**

Self-awareness profile  
(structural)

Complexity awareness profile  
(procedural)

**Source:** Adapted from French and Bell (1991)

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**Figure 3.**  
The developmental view  
of OD

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use that generates the behavior. Conversely, a change in sense-making may not in and of itself manifest as a behavior change. But when a person's worldview is expanded, as happens when a person matures developmentally, his/her capacity for more flexible and creative thinking increases. This gain in self-awareness is supported by the maturation of cognitive abilities. Both together constitute the central mandate of developmental coaching.

**Note**

1. Dr C. Argyris would emphasize that (in his own words) "the opposite to Model I stance is not a development toward Model II. It inhibits such learning precisely because people believe that the opposite of Model I is an advance. Actually, a candid Model I that is discussable is more of an advance."

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