

CDF Entry Level Program For Coaches

**Interdevelopmental Institute
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Program Overview

- This program aims to educate coaches in all three dimensions of the *Constructive Developmental Framework* (CDF), a tool for empirically assessing adults.
- Although this course teaches CDF at an elementary level, the program yields immediate benefits for practical coaching.
- The main feature of the program is that it focuses on coaches' need to understand clients in the most comprehensive way possible, in particular in their work place behavior and capability.
- The program will address the three dimensions of CDF in this order:
 - psychological
 - social-emotional
 - cognitive.
- **In this way, we start from what is most simple to understand.**
- The goal of the course is to teach you how to use the empirical assessment data from the three dimensions above for working from a holistic and comprehensive picture of your client.

“What’s in it for YOU”

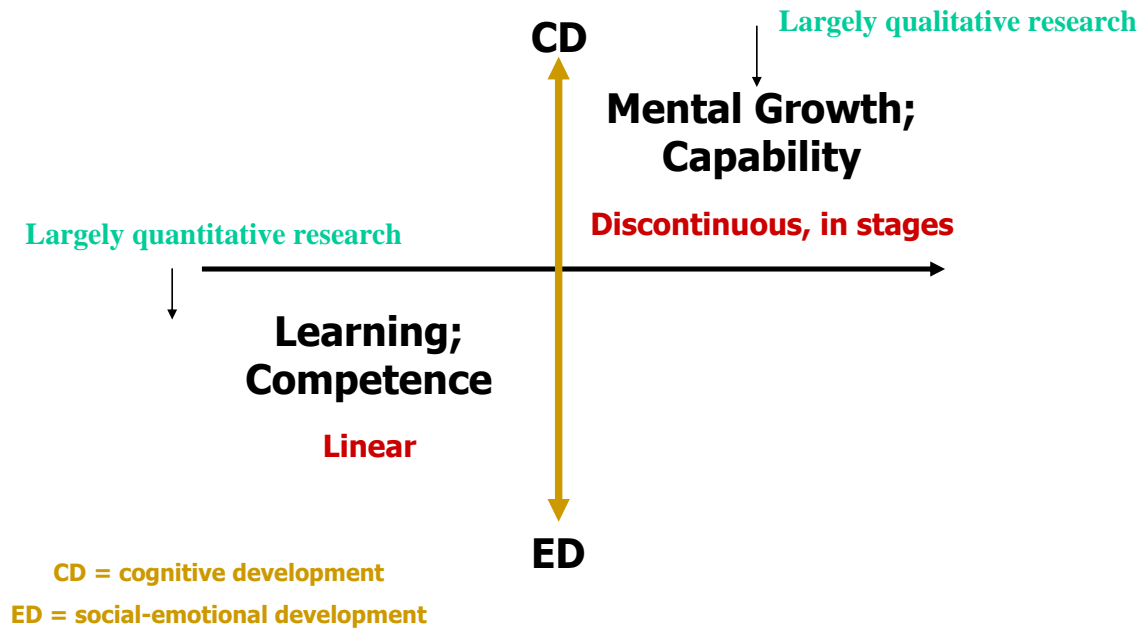
- The main objectives of this program are:
 - To take you from no knowledge about adult development to a point where you can reflect on, and design ,your coaching work in psychological, social-emotional, and cognitive terms
 - To refashion your model of the client and of yourself as a coach based on psychoanalytic know-how and developmental research
 - Integrate all you have learned previously, whatever school you might have attended, into the holistic framework of CDF
 - Through this course, you will arrive at a more comprehensive view of the world, of yourself, and your coaching client.
 - You will become independent of conventional “coaching models” taught in “coaching schools”, and instead will learn to work from **YOUR OWN COACHING MODEL OF INDIVIDUAL CLIENTS** (none of whom is like the other).

Introduction to Evidence Based Coaching

A Look at Your Client

- Your client is a person whose behavior and capability is determined by many factors, above all what we call his/her (unconscious) need/press profile, his/her meaning making, and his/her cognitive capability.
- A client's need/press (NP) profile, when researched by questionnaire, tells us about the way s(he) conducts herself at the workplace, approaches tasks, and affiliates with co-workers and management.
- A client's social-emotional (ED) profile, when researched by semi-structured interview, tells us about the way s(he) answers the question of “what should I do and for whom”? at the present stage of the client's development.
- A client's cognitive (CD) profile, when researched by semi-structured interview, tells us about the way s(he) answers the question: “what can I do, and what are my present options.
- To arrive at a comprehensive understanding of a client, we need to become qualitative researchers of clients, and learn how to put the three sets of empirical data referred to here together into a big picture.

Three Client Dimensions

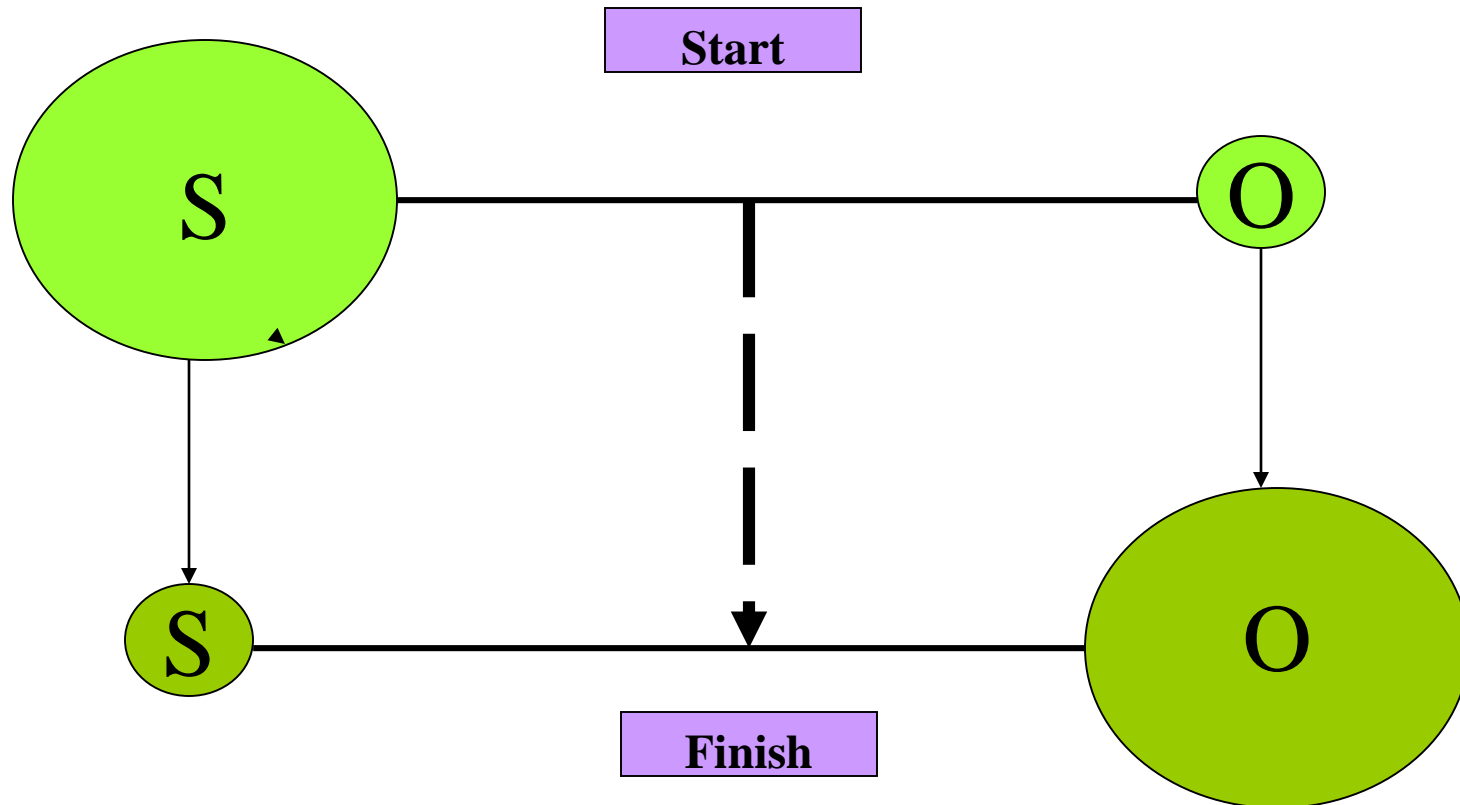


Seeing “Horizontal” and “Vertical” Together

- In CDF, we distinguish two overriding perspectives, the “horizontal”, or behavioral, psychological one, and the “vertical”, developmental one.
- There being only a single unified consciousness, both dimensions are intrinsically linked, and practically support each other.
- In CDF, the horizontal perspective is represented by a psychoanalytic questionnaire called “Need/Press” (www.needpress.com) while the vertical perspective is represented by semi-structured interviewing.
- Social-emotional and cognitive interviewing and interview analysis are the tools used to determine a person’s “level of development”.
- It is the task of the developmental coach, first, to obtain empirical data about a client through assessment, and second, to develop coaching plans based on interpreting such data and understanding their interrelationship.

Overview of Adult Development

When viewed in the three dimensions of CDF (NP, ED, CD), human development is seen as increasing **loss of ego-centricity**. Such loss ultimately leads to balance, which can best be understood as **WELL-BEING**.



A Fourth Kind of Balance

- **The best conventional interpretation of the term “structural balance” is WELL-BEING.**
- In terms of NP, well-being is defined by the relationship of unconscious Need and conscious Press, expressed in terms of an index measuring the effectiveness with which a client uses his psychological Energies (resources) – *manifest as a lack of psychological pain*
- In terms of ED, well-being is defined by the range of social-emotional stages over which a client is distributed, and their proportional strength relative to each other – *manifest as a professional confidence*
- In terms of CD, well-being is defined by a balanced use of “thought form classes” that determine how the client constructs the world intellectually, -- *manifest as equilibrated thinking at and about work*
- **THERE IS A FOURTH KIND OF BALANCE:** that between NP, ED, and CD.

The Overriding Theme of Adult Development

- **The overriding goal of adult development is BALANCE**, or, to speak with Piaget, Equilibrium
- **Balance is best understood as “well being”**, which has a different meaning in each of the three CDF dimensions.
- *Psychological well-being* is based on a balance of unconscious needs (Freud’s Id) and cognitive pressures exerted by a client’s ideals and experiences of the social world (especially the work place)
- *Social-emotional well-being* is based on a balance of the client’s present “center of gravity” and the “lower” and “higher” stages presently informing the client’s meaning making
- *Cognitive well-being* is based on a balance of four ways of constructing the world conceptually (intellectually), called Context (C), Process (P), Relationship (R) , and Transformation (T).

The Coach as a Qualitative Researcher

- Most coach education entirely stays within the horizontal or behavioral domain of clients without introducing coaches into the practice of developmental coaching.
- Developmental coaching can be either based on theory, or else on theory as well as data.
- **Through CDF, the coach learns a theory of adult development that enables him/her to address issues of balance.**
- To make use of the theory, the coach needs to make actual assessments of psychological, social-emotional, and cognitive aspects of client behavior, thus becoming a “qualitative researcher”.
- In this course, we refer to the psychological dimension as “NP” (need/press), the social-emotional one as “ED” (emotional development), and the cognitive one as “CD” (cognitive development)

What is the Topic of Coaches' Research?

- In evidence based, developmental coaching carried out by the coach as a qualitative researcher, the topic of research is the client's psychological, social-emotional and cognitive BALANCE, or WELL-BEING.
- The absence or presence of well-being can be “read from” the empirical data the coach gathers by way of the NP questionnaire and ED and CD interviews.
- These materials are “analyzed” by the coach in order to form a big picture of where the client needs assistance and support.
- Only once the coach understands the empirical data of the client profile can coaching proper begin and be fruitful.
- Ultimately, thus, the research topic of a developmental coach is this: **based on the empirical data I have gathered about a client, what kind of coaching plan and interventions do I need to assist my client?**

The Tools of Developmental Coaching

- The developmental coach uses **two very different assessment tools** in conjunction with each other: **questionnaire outcome analysis and interview administration and analysis.**
- *Psychological inquiry* in CDF is both inquiry into one's own psychological profile as a coach, and inquiry into the client, both of which are supported by the NP questionnaire.
- *Social-emotional inquiry* in CDF is twofold: inquiry during the interview, and inquiry for the sake of interview analysis. While the first is based on intuition and emotional insight, the second is based on knowing the theory of stages.
- Cognitive inquiry in CDF is also two-fold: inquiry during the interview, and interview for the sake of interview analysis. While the first is based on challenging the client's thinking, the second is based on knowing dialectical thinking based on thought forms.

Client Capacity Profile

Client Capacity Profile

Vocabulary

- In the following section, we are learning a number of new concepts.
- Be patient with yourself as you make them your own.
- They are all geared to client's Capacity Profile":
 - Capacity (in contrast to Capability)
 - [unconscious] Need
 - Press[ure] (ideal and actual)
 - Three NP (capacity) clusters [Self Conduct, Task Focus, Interpersonal Perspective]
 - NP Indexes: Energy Sink (ES), Frustration Index (FI), Attunement Index, Distortion Index
 - NP Well-Being Index

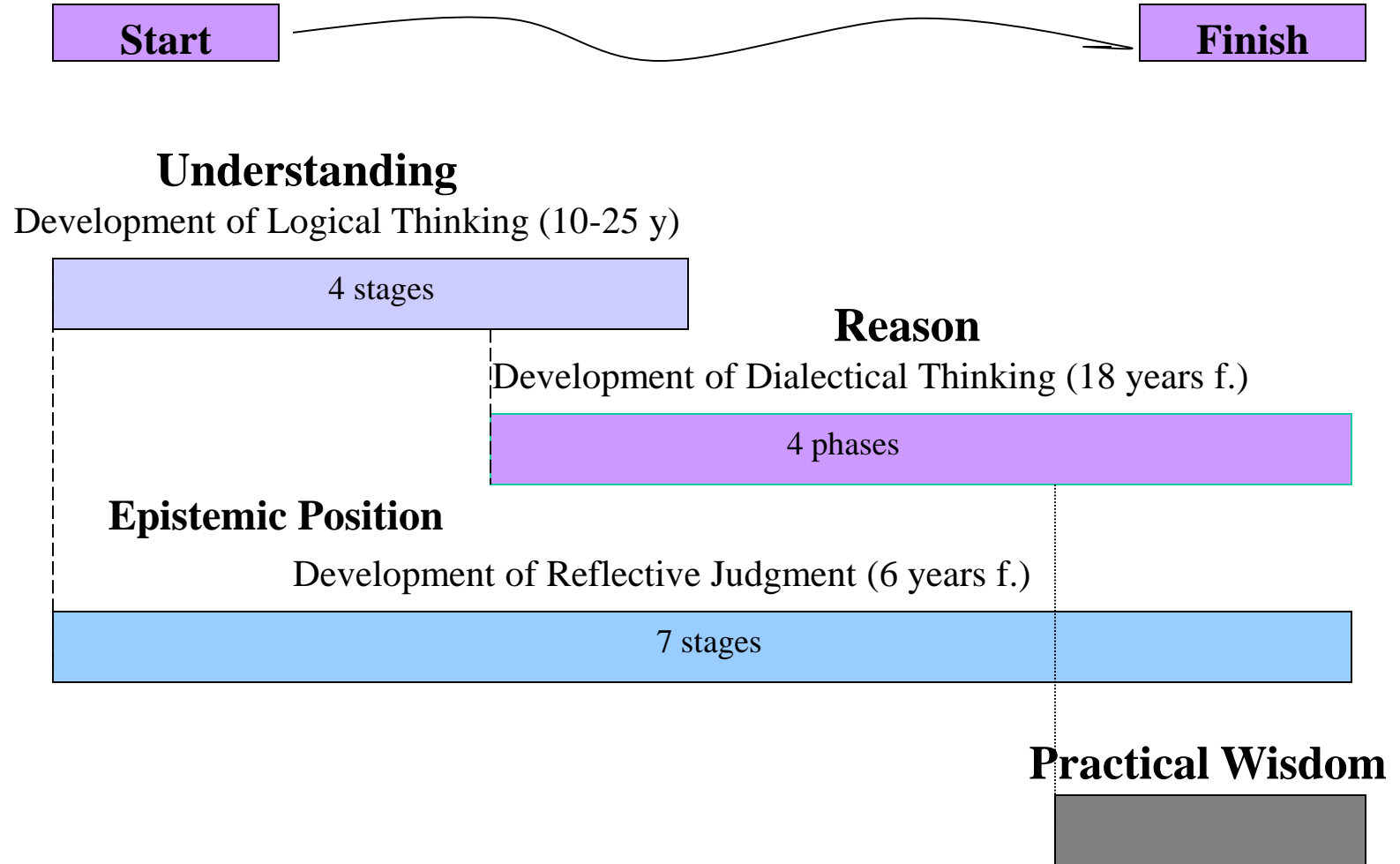
Capacity vs. Capability

- In CDF, we distinguish between a client's capacity and capability.
- This is a terminological distinction made for the sake of being clear.
- “Capacity” points to work behaviors that lie in the horizontal, behavioral dimension.
- By “capability” is meant the “internal workplace” of a client that is determined developmentally, thus lies in the vertical dimension.
- Capability and Capacity constantly interact, but it is important to distinguish them conceptually, because:
 - Without this distinction, vertical and horizontal get mix up
 - What is a matter of learning is then mistaken for being a matter of development and vice versa
 - The interrelationship between capacity and capability gets muddled, and coaching then loses an important distinction.

Behavior, Capacity, Performance

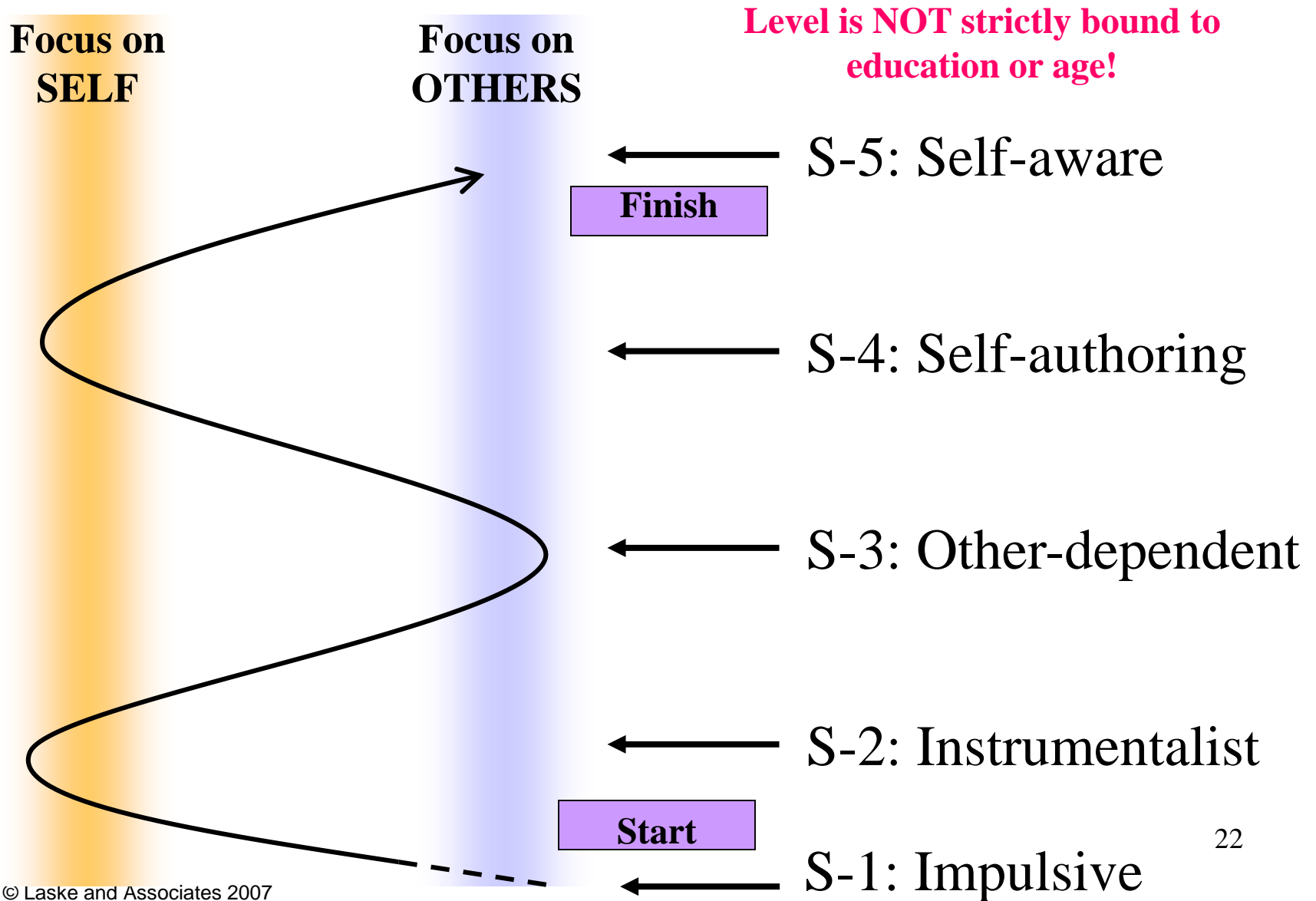
- **Behavior** is a mix of many different elements, such as: potential (capability), absence/presence of psychopathology, skilled knowledge, and motivation, as well as absence/presence of organizational supports.
- **Optimal behavior** depends upon available (ego-) capacity and available competences.
- **Performance** is the observable and measurable outcome of work Capability and behavior at work.
- **Capacity** is the developmentally and psychologically determined **ability to invest energy in work, mentally and physically**, -- thus to use available competences optimally.
- **The Need/Press Questionnaire measures work Capacity.**

CD: Cognitive Development



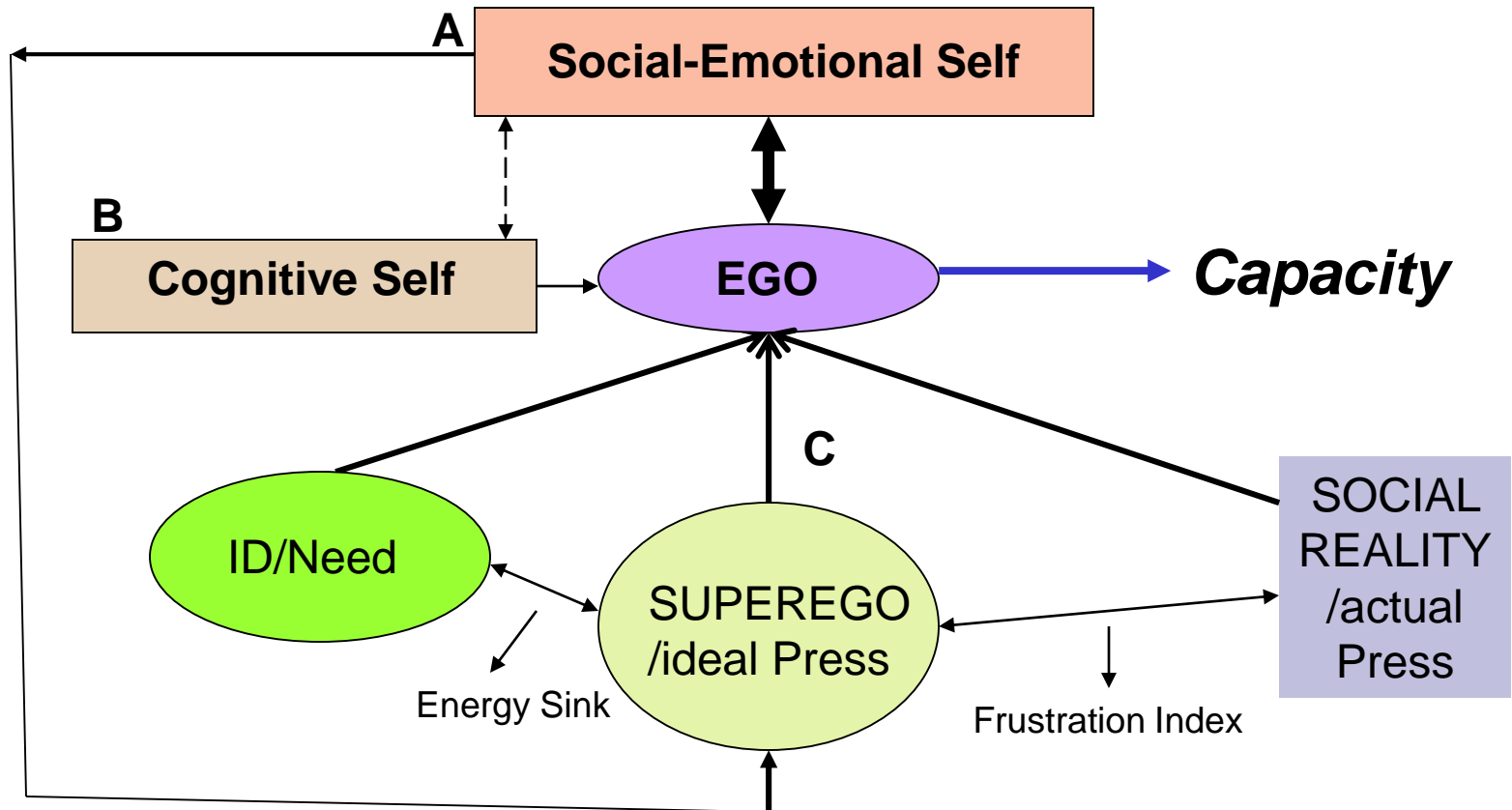
Epistemic Position regard one's view of the nature of knowledge & truth.

ED: Social-Emotional Development



Need/Press: A Capacity Profile

Freud: “What Id (=S) is shall Ego (O) Become”



A person's behavior depends on how the social-emotional and cognitive Self manages the Ego's needs and pressures, or its Capacity.

Organizational Context

- As people living in the 21st century, we live in a world determined by large organizations.
- Of the three perspectives taught at IDM, two – CD and NP – are intrinsically linked to the structure and influence of organizations.
- On the other hand, we show in this course that organizations are *extensions of human adult development*, in that they are structured based on levels of cognitive development.
- These levels are thus the common link between people and organizations.
- We show also that WORK is based on the exercise of reflective judgment and discretion, and this fact is highly relevant for consulting to, and coaching in, organizations.

What You Are Asked to Do

- Consultation to another's person mental process is best undertaken with deep knowledge about human development.
- Coaching as a form of Process Consultation (see below) is no exception.
- We all have intuitions about human development, but typically don't have the language (vocabulary) to be precise about it.
- **For you, this is about to change.**
- One does not have to be a psychologist to make use of insights into human development.
- **One only has to be open to inquire into one's own past and present development, and become aware of it.**
- This course will facilitate this inquiry for you.

Theoretical Background

Developmental Process Consultation

Three Models of Consultation

- With Schein [1987 f], we distinguish three different models of consultation:
 - *the ‘expert model’*
 - *the ‘doctor-patient model’*
 - *the process consultation model.*
- These models differ in how much responsibility the client has for finding ‘solutions’ to ‘problems:’
 - no responsibility in the first model
 - partial responsibility in the second model
 - total responsibility in the third model.

Developmental Process Consultation

- The developmental approach to consultation is based on two main hypotheses:
 - (1) to consult to another party, you have to understand that party developmentally as deeply as possible;
 - (2) you can support a client only to the extent that you are yourself ahead of him or her *developmentally*, and then only within the limits of the client's own developmental potential.
- This entails that 'developmental coaching' is about coaches first and foremost, and only secondarily about the client.
- This is also how the mind works: **you naturally first apply developmental insights to yourself, and only thereafter to clients.**

Coaching as Process Consultation

- ‘Coaching’ is a variant of a broader discipline, namely, **Process Consultation** (PC).
- PC means consultation to another party’s mental process.
- This is a very broad definition.
- It applies to any work with adults, such as coaching, management consulting, social work, psychotherapy, mediation, facilitation, conflict resolution, even law.
- In all of these activities, what matters is:
 - *how adequate to the client’s life and work is the consultant’s model of the client*

Model of the Client

- Any consultant or coach unconsciously defines ‘**who the client is**’ based on his or her own developmental level.
- Since you are SUBJECT TO, -- that is, not in control of – your present developmental level, your model of the client is determined by “where you presently are developmentally,” both in terms of your social-emotional and cognitive development.
- This means that you are unconsciously and with necessity interpreting what is said to you by the client, and what you can observe in the client, IN TERMS OF YOUR OWN DEVELOPMENTAL LEVEL [which you are subject to].
- As a consequence, you have an ethical obligation to be aware of your own developmental level.

Coaching Levels

[as a function of Coaches' developmental stage]

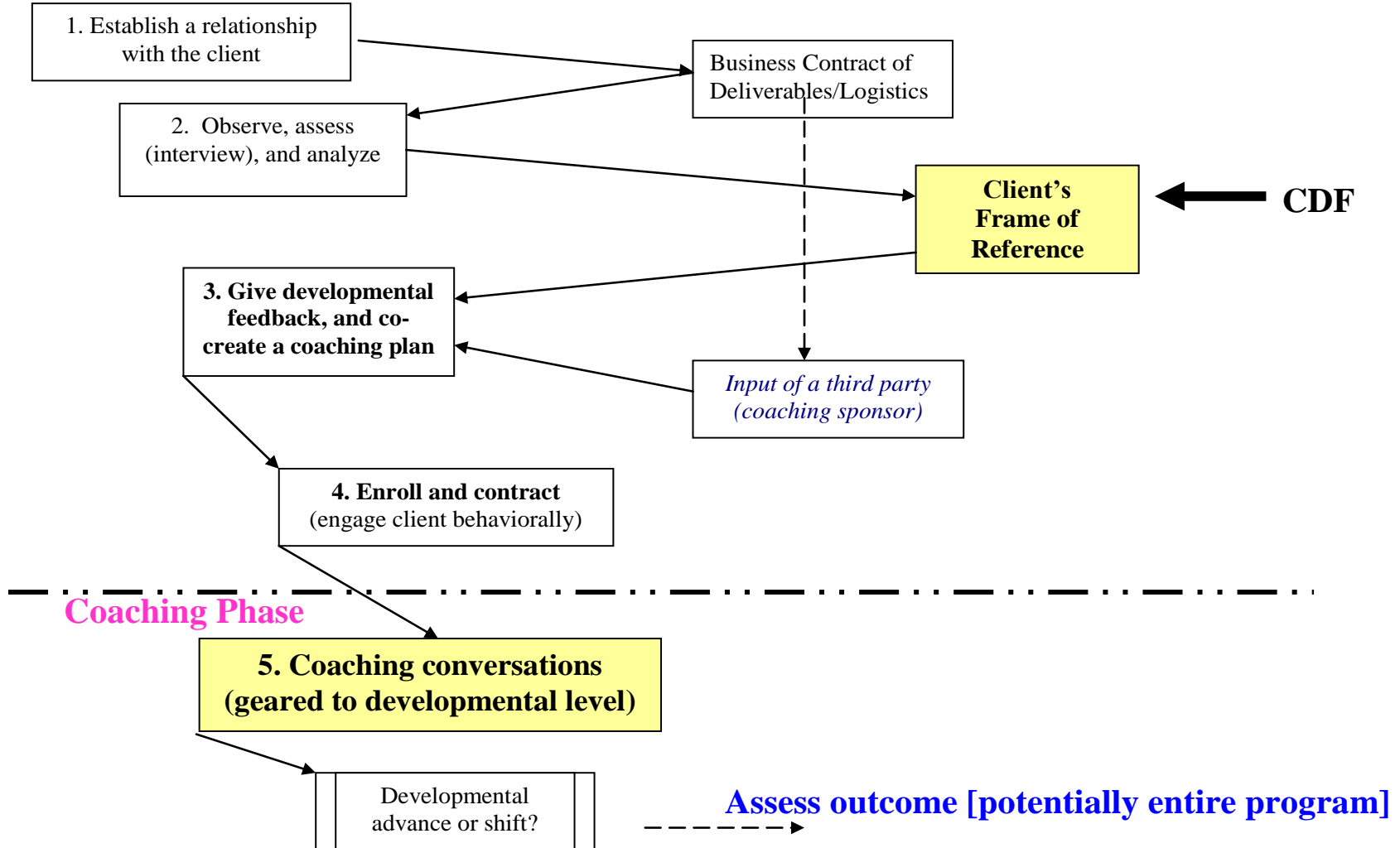
- Other-dependent (Stage 3): Client model based on identification with client, client goals, and client environment (“best practices;” lack of “persona”).
- Self-authoring (Stage 4): Client model based on managing one's own idiosyncratic system of values and principles (beyond “best practices”).
- Self-aware (Stage 5): Client model based on “being in the flow,” open to risk taking and multiple perspective taking (far beyond “best practices”).

Two Main Functions of the Coach

- Developmental coaching is *evidence-based* to the extent that the working relationship between the parties is based on developmental and behavioral assessments.
- Assessments are based on interviews which are **conversations** more than ‘tests,’ and of mutual benefit to both parties.
- The coach acts in two different but related capacities:
 - (1) as a **researcher** (doing qualitative research on the client)
 - (2) as a **consultant** who uses the outcome of developmental assessments, sharing them with the client, and basing coaching plans on the data elicited from the client [through interviews or questionnaire].

Flow of Interdevelopmental Coaching

Assessment Phase



Developmental Consultation has an Existential and a Professional Side

- Developmental coaching combines three perspectives on self and client: *social-emotional, cognitive, and clinical-developmental*.
- The **existential** side concerns WHOYOU ARE at this moment in time in terms of developmental maturity.
- The **professional** side concerns WHAT YOU HAVE at this moment in time: competences, education, expertises, skills, etc.
- You can always suspend what you have, and decide not to use it, but **you cannot suspend who you are**.
- Therefore, we need to look first at who you are developmentally. And that is determined by how you presently answer two questions: WHAT CAN I DO? (CD) and WHAT SHOULD I DO? (ED).

Two Answers that Tell ‘Who You Presently Are’

- **What should I do, and for whom** is the social-emotionally crucial question. Answers to it depend on your level of social-emotional development, i.e., your *meaning making*.
- **What can I do, and what are my options** is the cognitively crucial question. Answers to it depend on your level of cognitive development, i.e., your *sense making*.
- In whatever you do, or whatever your client does, these two questions are answered **simultaneously**. However, we can conceptually distinguish cognitive *sense making* and social-emotional *meaning making*, following research.
- Assessments may detect a gap between the two.

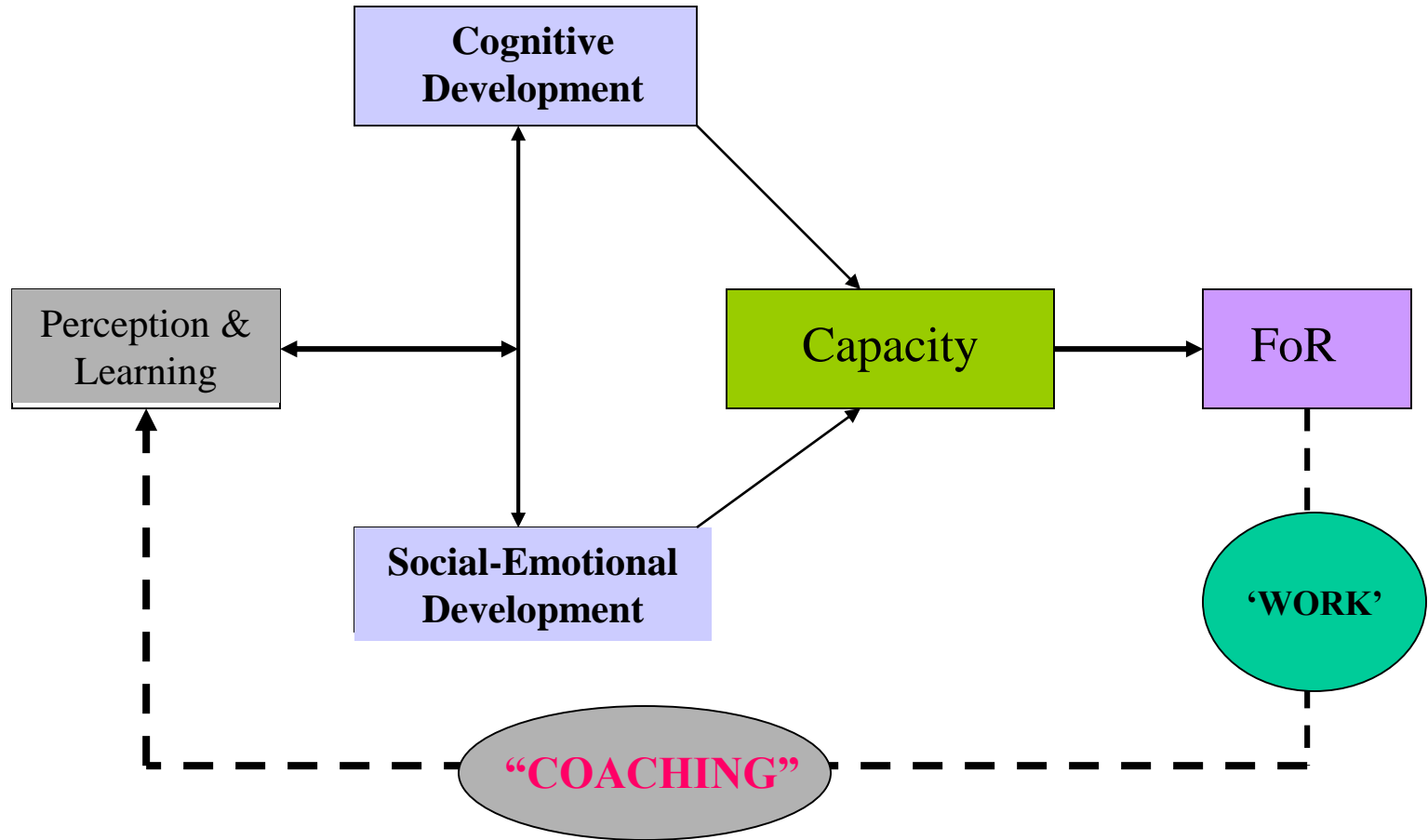
Consultation Begins ‘Midway’

- When consultant/coach and client meet they already have a lot of developmental history behind them.
- It is both parties’ present frame of reference (world view) that decides how they view each other, and how compatible they are.
- **We can assist another person in taking action only to the extent that we understand his/her Frame of Reference (FOR).**
- Based on understanding FOR, we can largely predict a person’s specific way of seeking and using another party’s “help.”
- Therefore, the more the consultant can **predict** based on developmental knowledge, the better; and the more apt is going to be his/her intervention in the other party’s mental process.

Consultation is Based on Frame of Reference of Both Parties

- Frame of Reference (FOR) derives from a complex weaving of a person's cognitive, social-emotional, and psychological growth history.
- FOR fuses continuous 'learning/perception' with discontinuous (CD and ED) 'development' and also informs a person's Capacity for work.
- 'Work' is the exercise of judgment and discretion within certain time limits in pursuing a goal ('what-by-when') [not only in 'business'].
- **To be effective in consultation, the practitioner has to respect the client's developmental profile, or else will satisfy only his or her own 'little personality,' rather than acting as a professional.**

The Relevance of FoR



1. FOR = Frame of Reference
2. Capacity = A person's psychological profile

Two Generic Client Processes

- On the side of the client, we can distinguish two fundamentally different processes:
 - Learning
 - Mental growth through *developmental shifts* and *cognitive spurts* (apparently sudden changes)..
 - These processes are often mixed up, which leads to muddled outcome studies and assertions of coaching effect.
 - “Change” is too fuzzy a notion to deserve the title of generic process. (Unceasing change is the rule, and stability the exception in what we experience as ‘reality’).

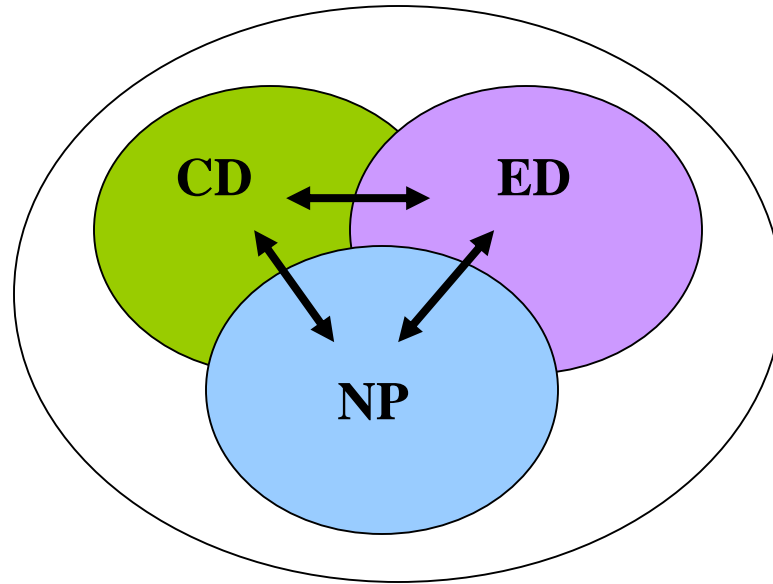
Learning is NOT Development

- Learning is a change *in time* (snapshot), while development is a change *across time* (longitudinal).
- Some learning leads to making developmental shifts, but most learning simply reinforces the learner's present developmental station, or frame of reference.
- We need to distinguish two notions of *development*:
 - “agentic” – “we are developing this team”
 - “ontic” – “people in this team are highly developed”
- Learning and *agentic* development have limits defined by *ontic* development, both cognitive (CD) or social-emotional (ED).
- You don't expect a six-year old to master calculus.

Two Lines of Adult Development

- **The development of coaching methodology has been hampered by not distinguishing between different lines of adult development.**
- The most researched lines of human development are:
 - cognitive development (CD)
 - social-emotional development (ED)
- There is a large body of literature addressing both of these kinds of development.
- In developmental coaching as taught as IDM, two lines of adult development are taught separately, and students are then coached in relating clients' cognitive and social-emotional profile to each other and to the clients' behavioral (clinical-developmental) profile.

Correspondence To Client Questions



- **CD = What can I do, and what are my options?**
- **ED = What should I do, and for whom?**
- **NP = How am I doing? (What is my capacity?)**

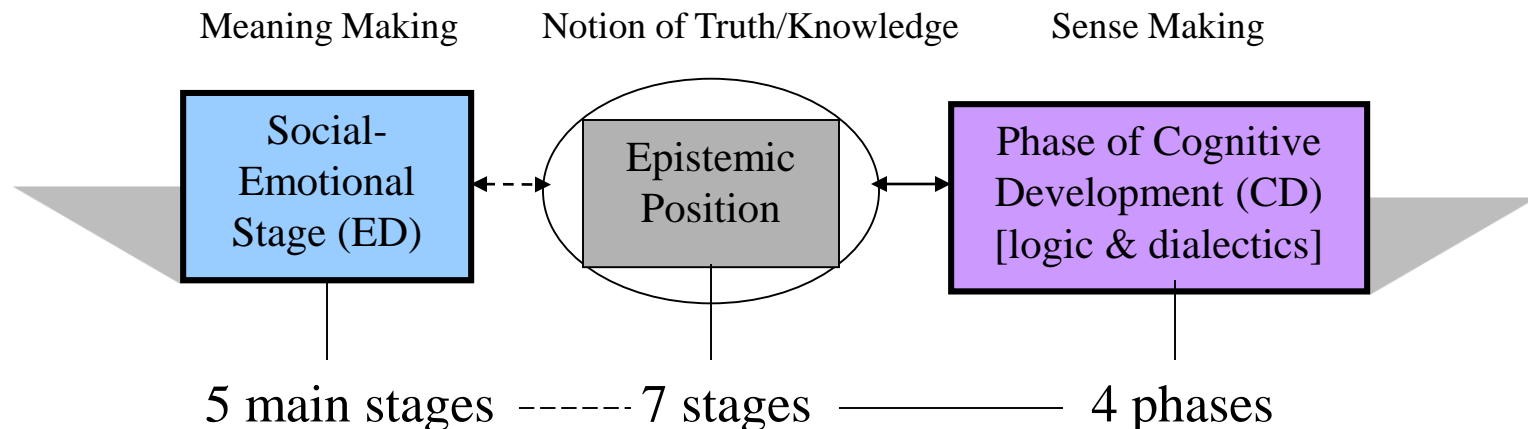
**These questions are brought into coaching
by clients explicitly or implicitly.**

Epistemic Position

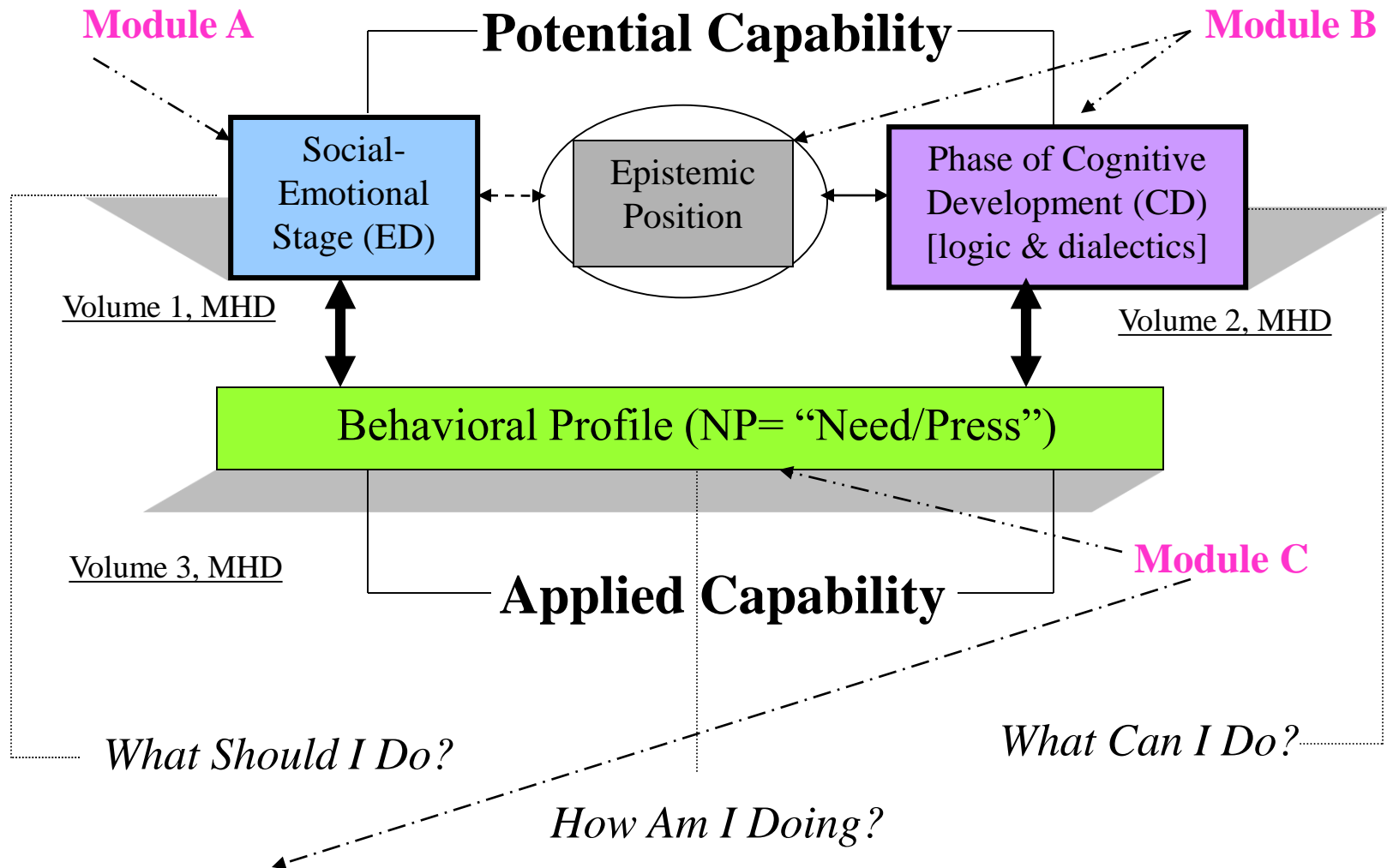
In approaching any kind of work, humans take a particular *epistemic position*. (They work from a particular stage of reflective judgment.)

This position defines a person's conception of the nature of 'knowledge' and 'truth,' their type and degree of certainty.

Epistemic position reflects social-emotional position in the cognitive domain, and is thus a mediator between ED and CD.



Adult Development as Taught at IDM



Module Prep-D & D: Putting A+B+C together in a case study

Language ‘says’ it All!

- In early adulthood (middle twenties) development goes ‘underground;’ no visible physical markers of human development remain.
- LANGUAGE is henceforth the only medium through which to detect developmental position and profile.
- Consequently, LISTENING to what is said by clients becomes the basis of consultation and coaching.
- Listening “developmentally” means to be able to “hear structurally,” that is, to be able to discern **cognitive and social-emotional *structure***, as different from *content*.
- This amounts to being to able understand two things: (1) how meaning is made and (2) how sense is made by a person of his/her experiences.

What is Developmental Listening?

- Developmental listening is the ability to “put in brackets” observable features of, and emotions about, a client, and **focus on the client’s language** for the sake of gauging his or her present **frame of reference**.
- Developmental Listening is involves:
 - focusing client attention
 - probing client utterances
 - interpreting client utterances
 - ‘stepping into clients shoes’
 - formulating hypotheses and following them up (testing them)
 - playing devil’s advocate as to being perhaps mistaken
- Developmental Listening is the single most important ability taught at IDM.
- It is the standard way of understanding Ken Wilber’s “left quadrants” where intention and culture are in focus.

Practice Reflection

1. What has been your adult development over the last decade? In what way has it made itself known to you?
2. What, would you say, has changed in your ability to think abstractly?
3. What, would you say, has changed in your way of approaching relationships?
4. Are there changes in your psychological Capacity to do 'work'?
5. Has your world ('object') become 'larger,' or has it shrunk?
6. What has changed in the way you set goals for yourself?
7. Thinking of your developmental potential, what 'strand' of your being seems to be stretching and expanding most at this time (cognitive, emotional, logical, social)?
8. What does all of this mean for the way you approach life?

What is Developmental Process Consultation?

Why Do We Care About History?

- Evidence about what makes humans *who they are* is a historical product.
- As evidence-based consultants, we cannot disregard what is scientifically known about the development of human thinking, emotion, and behavior, and their consequences for action.
- At IDM, we have selected five scientific traditions on which to base what we call MODEL OF THE CLIENT:
 - Piaget & Kohlberg School research on adult development (since 1970)
 - Elliott Jaques's cognitive theory of organizations (since 1955)
 - Psychoanalytic research into 'psychogenic needs' (Freud, H. Murray)
 - Frankfurt School research on dialectical thinking, updated by Bhaskar (1993)
 - C. Argyris & E. Schein's behavioral organizational research (from 1960)

Milestones of Developmental Research

THREE GIANTS ...

- **1900-1939: S. Freud shows** that ego development is rooted in infancy and childhood experiences of subjective need versus internal/external pressures.
- **1925-1980: J. Piaget** reveals the trajectory of the cognitive development of children and adolescents up to age 25.
- **1955 – 2003: E. Jaques** formulates a theory of human capability, work, and organizational structure based on levels of cognitive development.

... AND A FEW FOOTNOTES

- 1970: W. Perry investigates the relationship between two lines of human development, intellectual and social-emotional, in the college years (adolescents).
- **1969-1984: L. Kohlberg studies the levels (stages) of ethical development from childhood into adulthood, extending the range of research beyond age 25.**
- 1976: J. Loevinger presents a theory of stages of ‘ego-development.’
- 1975-1984: M. Basseches studies the development of dialectical thinking.
- 1982: R. Kegan presents a theory of the ‘evolving self.’
- 1999: O. Laske studies the relationship between the two lines of adult development (social-emotional and cognitive) in executives.
- 2000: K. Wilber publishes a comprehensive summary of developmental theories in world cultures.

Foundation of IDM's Constructive-Developmental Framework (CDF)

| | |
|----|--|
| 1 | Stage developmental framework, enriched by weighting of risk and potential – Kegan/Laske (Module A) |
| 2 | Cognitive-developmental research in dialectical thinking (dialectical thought forms) – Basseches (Module B) |
| 3 | Theory of logical reasoning capability – Jaques (Module B) |
| 4 | Theory of organizational levels (information complexity) – Jaques (Module B) |
| 5 | Theory of psychogenic needs – Henry Murray ('Need' analysis in Module C) |
| 6 | Emotional intelligence – Henry Murray (Interpersonal perspective in Module C) |
| 7 | Organizational Climate analysis – Morris Aderman ('Press' analysis in Module C) |
| 8 | Character structure – Freud (Self conduct and task approach in Module C) |
| 9 | Developmental hermeneutics (depth-interviewing and depth-interpretation) – Schein, Laske (Modules A to D) |
| 10 | Coaching psychology research and literature |

Coaching Has a Short History

- The history of coaching is much shorter than that of the developmental sciences, which date at least from Piaget's early work (1925).
- Coaching being by nature a developmental enterprise, it behooves us as coaches, to be aware of an overarching tradition that has generated insights into human functioning we can disregard only at our professional peril.
- This is the (adult-) developmental tradition.
- This tradition has immense substance and breadth, and can serve as a basis for evidence based, professional process consultation and coaching.

A View at Organizations

Understanding Organizations

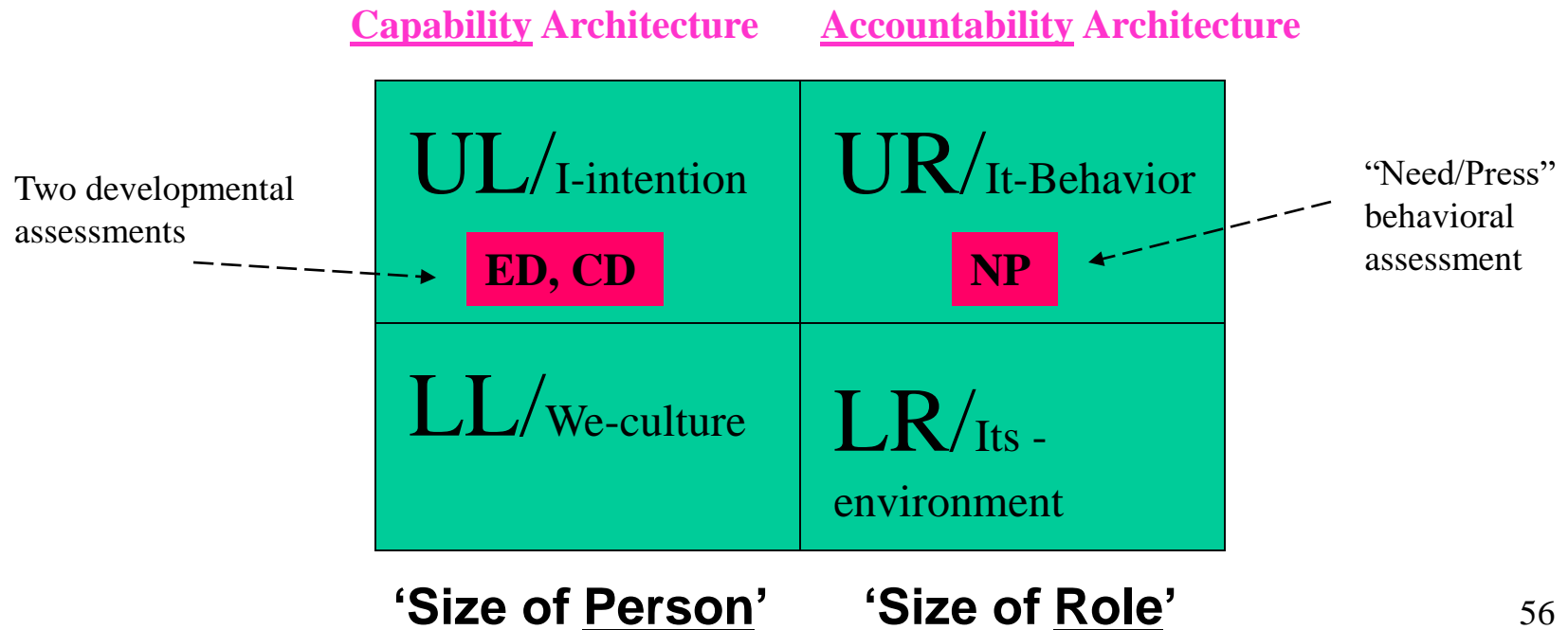
- There are many ways of understanding organizations.
- Bolman & Deal (1991) suggest four complementary perspectives (to be entertained simultaneously):
 - structural: division of labor
 - political: political fiefdoms
 - human resource: how about the people?
 - symbolic: ritual and theatre which keep organizations together (“culture”)
- Jaques viewed organizations as composed of two ‘architectures’: Capability and Accountability Architecture.

In what follows, we combine the structural and human resource perspectives, focusing on the two architectures measurable as *size of role* and *size of person*.

Left and Right Quadrants

We can view the two Jaquesian architectures in terms of four ‘quadrants’ (Wilber), each of which is necessary to understand the other quadrants in depth.

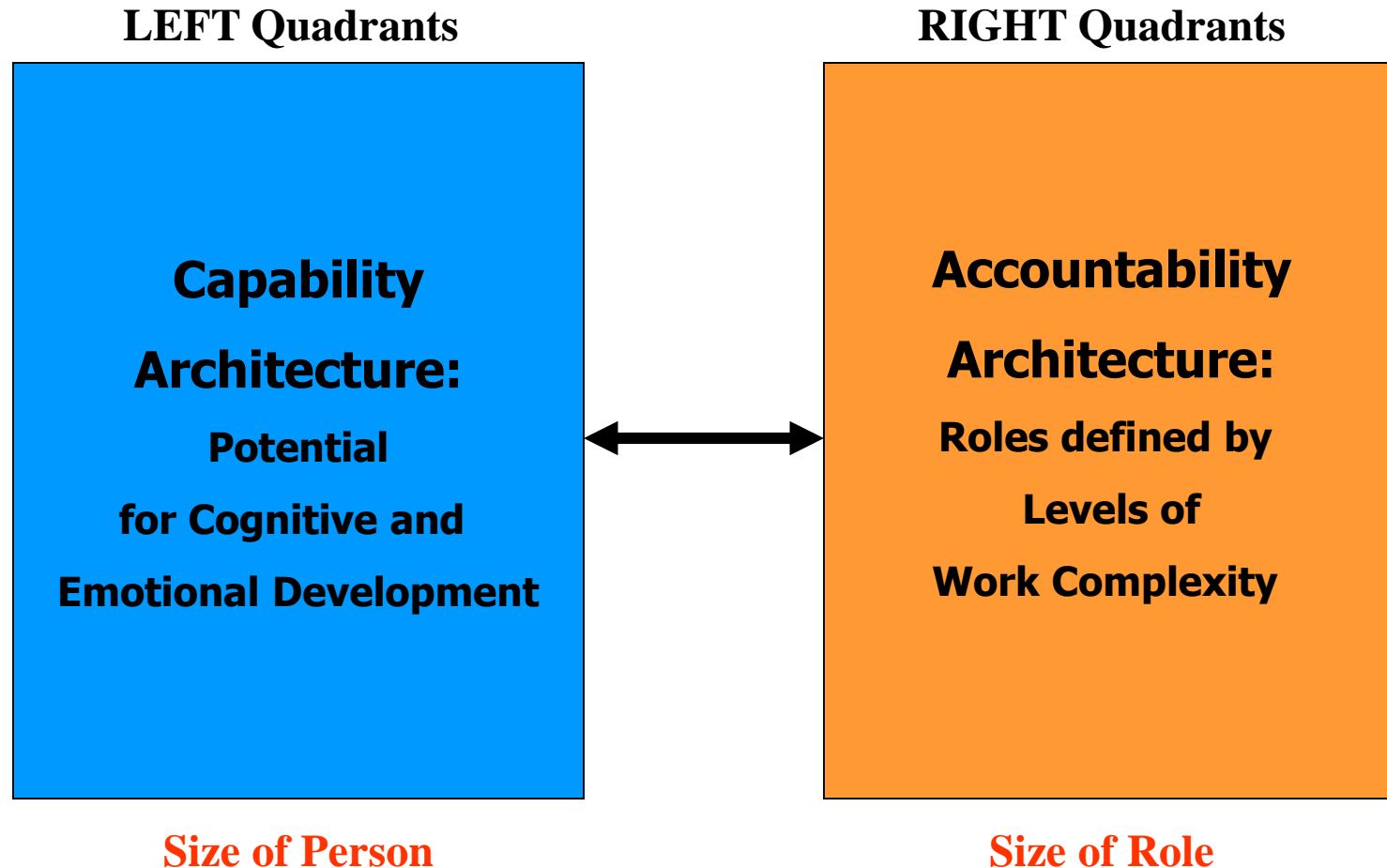
From this vantage point, the Capability Architecture occupies the Left, the Accountability Architecture the Right, Quadrants.



Measurement Within the Quadrants

- Organizations like to measure things, but they are presently better at measuring the **right**, rather than the **left**, quadrants.
- This is so since they only measure the left quadrants in terms of behavior – behaviorally – rather than also in terms of human work capability – **developmentally**.
- However, to be “requisitely organized” (Jaques), organizations need to find a way of measuring the left quadrants, not only with regard to the present but the future, and this can be done by using **developmental assessments**.
- For this reason, IDM teaches coaches and consultants to assist organizations in their attempts to **balance** Accountability Architecture (right quadrants) with Capability Architecture (left quadrants.)

Requisitely Organized Companies Match Two Architectures



Size of Role (8 Strata)

We measure ‘Size of Role’ in terms of Level of Work Complexity (‘Stratum’).

When in balance with human potential capability, **Requisite Organization** results.

| Epistemic Position [CD Fluidity Index] | Strata* | Methods of Information Processing | Social-Emotional Stage (ED) |
|---|---------|---|--------------------------------|
| 7 [>50] | VIII | C4[parallel] | 5 |
| | VII | C3 [serial] | 5/4 – 5(4) |
| 6 [>30] | VI | C2 [conjunctive] | 4(5) – 4/5 |
| | V | C1 [disjunctive] | 4 |
| 5 [>10<30] | IV | B4 [parallel] | 4/3 – 4(3) |
| | III | B3 [serial] | 3(4) – 3/4 |
| 4 [<10] | II | B2 [conjunctive] | 3 |
| | I | B1 [disjunctive] | 2/3 – 3(2) |

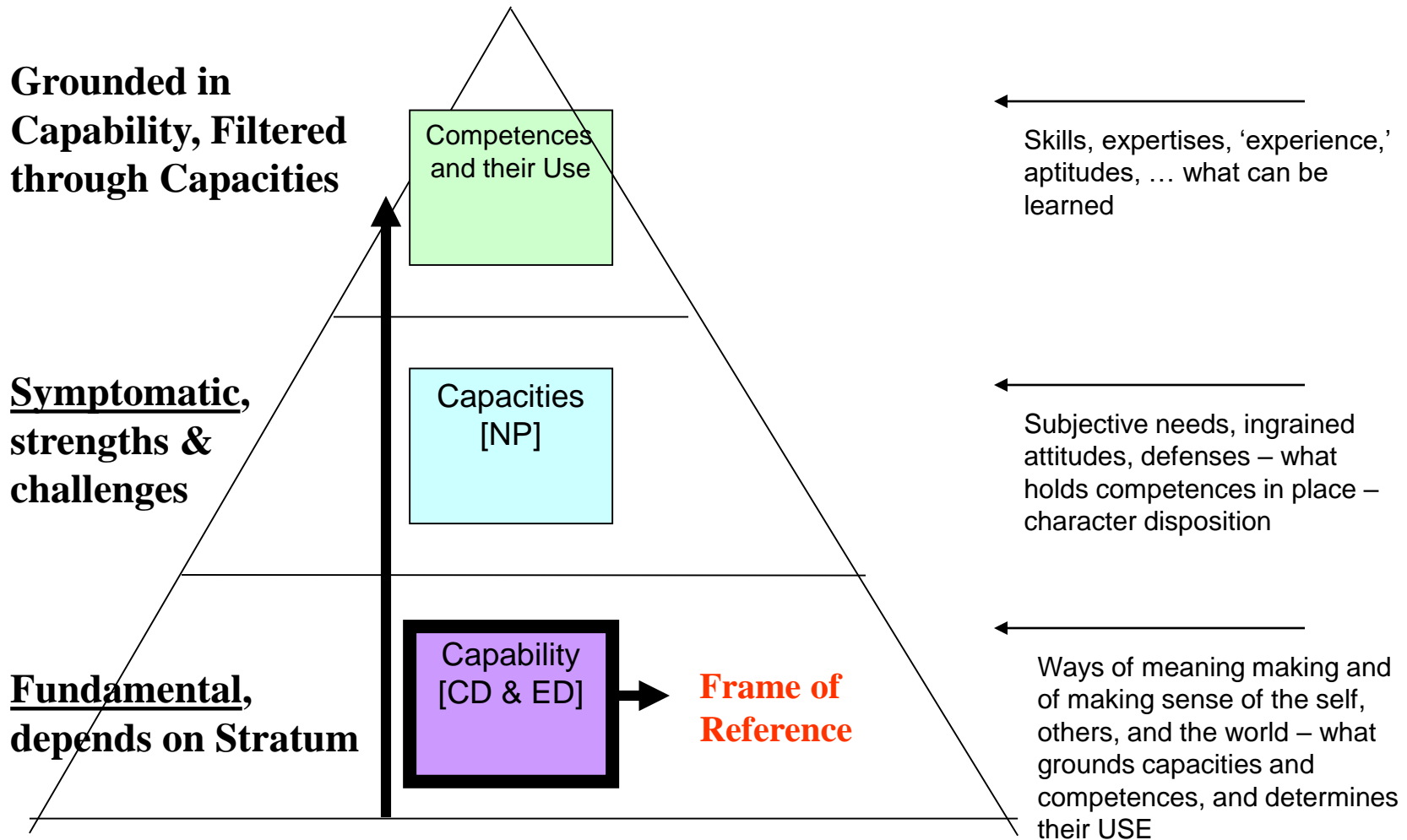
* Typical organizational job titles are, from top to bottom: **Board Member, CEO, EVP, VP, General Manager, Unit Manager, First Line Manager, Operator/Staff.**

Strata are Levels of Potential Capability

- Strata are more than levels of present performance; they point to the **current potential** of those who are stationed there.
- We can say that a person's accountability in an organizational position is defined by what s(he) can **ideally** (potentially) accomplish at the present time, and this depends on the person's cognitive potential.
- However, defining Strata of accountability by cognitive ability alone is not cogent; we must also consider social-emotional development and psychological work capacity of a person.
- When doing so, we are redefining the Human Resources Pyramid and the function of 'HR.'

The 'Human Resources' Pyramid

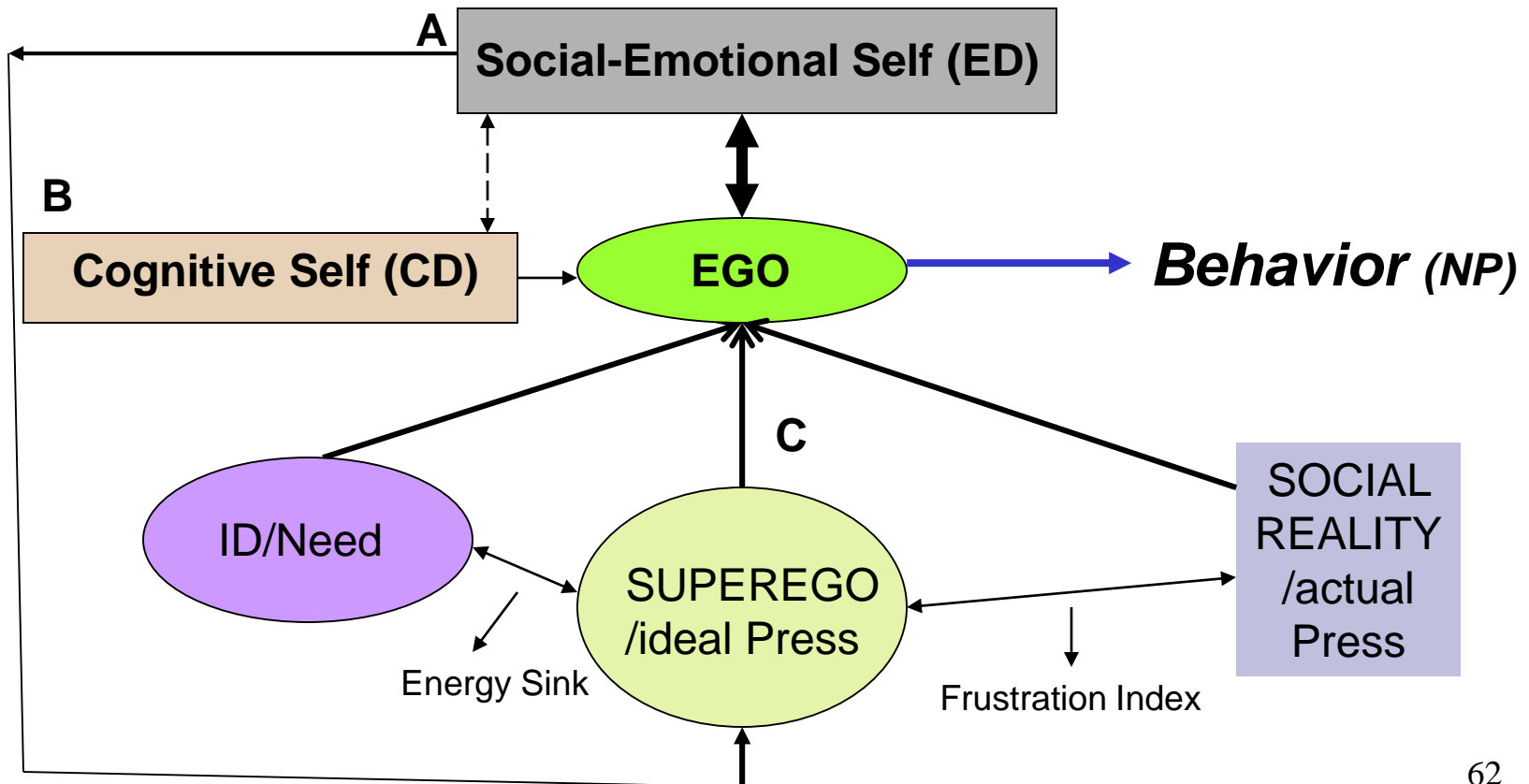
From a developmental perspective



'Competences' are used as a function of Capability

Size of Person

- With Jaques, we regard the developmental profile of a person at work as describing **SIZE OF PERSON**.
- In the spirit of Freud's **What 'Id' is shall 'Ego' Become**, we can say that not only 'Love' but also 'Work' is the outcome of *how a person's Evolving Self (CD+ED) manages the relationship of Id, Ego, Superego, and the real world.*



Work Capability in Organizations

Theory of Human Capability (Size of Person)

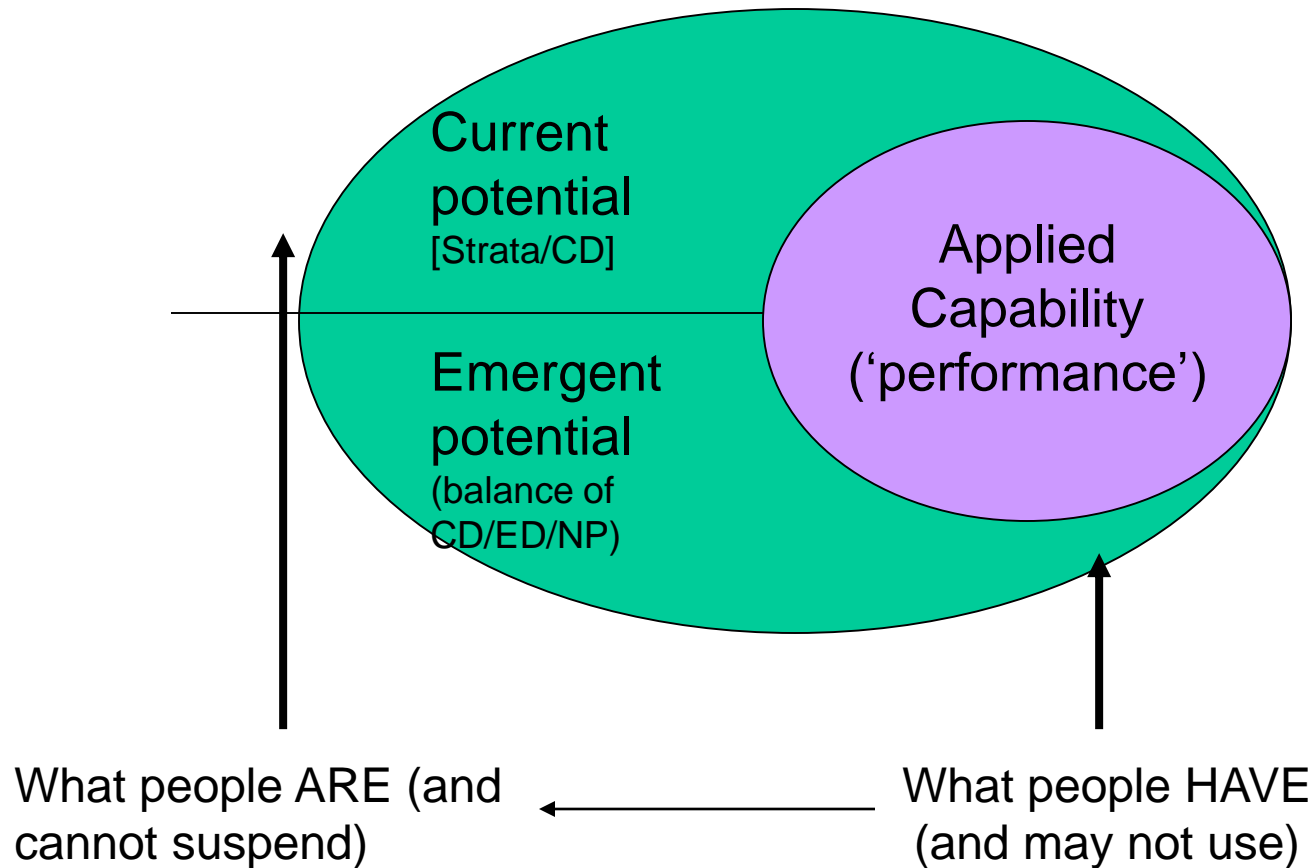
In memory of Elliott Jaques (1917-2003).

Focus on Work Capability

- At IDM we distinguish between two kinds of capability: **applied and potential**.
- In contrast to behavioral coaching, ‘business coaching’ etc., at IDM **we focus on developmental potential** (potential capability).
- Within potential capability we distinguish **current** and **emergent Capability**.
- We also consider work **Capacity**.
- Below follows a definition of the different aspects of Capability, taken from Elliott Jaques’s work (1994).

FOCUS ON POTENTIAL

Rather than cutting people down to their 'performance' level



The power of coaching is reduced when the emphasis is put on 'performance,' – applied capability.

Difference between Applied and Potential Capability

“There is a fundamental difference between a person’s potential capability on the one hand, and values (interest/commitment) and skilled knowledge on the other. The difference is that his or her potential capability is an innate property of the person *as a whole*, whereas a person’s values and skilled knowledge are entities that have their own existence in their own right **independently of any particular person**, and which a person can acquire or shed. ...

... At any given stage in our development, there is an absolute maximum level at which we have the *potential* capability to work. It is constitutionally built in from conception.” [1994, 23]

In other words, potential capability is what a person IS, while applied capability is what a person HAS and can always choose not to use, or may be hindered from using optimally due to a lack of ability to “realize” the potential.

Current Applied Capability

“Current Applied Capability (CAC) for any particular type of work is a function of level of mental complexity (CMP), degree of interest (Value) in that work, possession of the necessary experience and skilled knowledge specific to that work (K/S), and any dysfunctional personal qualities if they exist (-T) ...

$$CAC = f \text{ CMP} * V * K/S * (-T)$$

... Neither the amount of knowledge and experience a person may have acquired, nor the greatest value that person may place upon particular kinds of work can give a measure of that person's innate maximum current potential capability.” [Jaques, 1994, 25]. *In short, you can't extrapolate from applied to potential capability.*

Current Potential Capability

“Current Potential Capability (CPC), i.e., the highest level of work a person could currently carry, in work that he or she valued and for which he or she had the necessary skilled knowledge and experience, is a function of **complexity of mental process** (CMP) alone [Jaques, 1994, 25].

$$\text{CPC} = f \text{ CMP}$$

Complexity of mental processing -- CMP -- is defined by:

- type of logical reasoning a person uses
- phase of development of dialectical thinking a person is presently in.*

* We show in Module B that CPC, more accurately, is $f(\text{CMP} \rightarrow \text{CD})$ since it expands from logical into dialectical thinking.

Emergent Potential Capability

Jaques defines 'future' potential capability (FPC) as “the predicted level of potential capability that a person will possess at some specific time in the future. ... the FPC of a person at given ages can be reliably predicted once that person's potential capability at some specific age has been ascertained.” [1994, 8].

To follow this definition, one does not need to endorse Jaques's “nativist” position regarding predictability of potential capability.

In the developmental perspective here followed, it is not age (and associated 'time horizon'), but level of meaning making (ED) that, in combination with level of mental complexity (CD), defines a person's **Emergent Potential Capability:**

$$\text{EPC} = f(\text{CD} * \text{ED})$$

Acknowledging the progression to dialectical thinking ($\text{CMP} \rightarrow \text{CD}$) and the relevance of psychological profile (NP), we can say:

$$\text{EPC} = f((\text{CMP} \rightarrow \text{CD}) * \text{ED}) * (-)\underline{\text{NP}}$$

Three Types of Coaching

- In light of these three aspects of Capability, we can distinguish:

-- current applied capability (= performance): ← Behavioral Coaching

$$CAC = f \text{ CMP} * V * K/S * (-T)$$

-- current potential capability (= what client can potentially do now):

$$CPC = f \text{ CMP} \quad \leftarrow \text{Cognitive Coaching}$$

-- emergent potential capability (= what client will be able to do in the future):

$$EPC = f ((\text{CMP} \rightarrow \text{CD}) * \text{ED}) * (-)\text{NP} \quad \leftarrow \text{Developmental Coaching}$$

Legend:

| | |
|-----|--------------------------------------|
| CMP | Complexity of mental processing |
| V | Degree of interest in the work |
| K/S | Acquired knowledge and skills |
| T | Clinical symptoms |
| CD | Cognitive development |
| ED | Social-emotional development |
| NP | Psychological, 'Need/Press', profile |

Behavioral vs. Dev. Coaching

- We can distinguish **three generic coaching processes**: *focusing of attention, interpretation, and enactment* (of new behavior) [see Appendix].
- Developmental coaching uses focusing of attention more strongly than interpretation or enactment since focusing of attention makes evident clients' developmental profile (to both parties).
- **The notion is that self-awareness of the client comes before better 'performance.'**
- By neglecting 'focus of attention,' behavioral coaching ends up *not knowing enough about the clients* it is supposedly 'helping.'
- This runs counter to tenets of developmental process consultation.

Practice Reflections

- What does it mean to balance Size of Role and Size of Persons in organizations?
- What are the implications for coaching of defining Size of Role in terms of potential rather than applied Capability?
- What is the difference between current and emergent potential Capability?
- In what sense do NP Capacities mediate between competences and potential Capability?
- In view of the redefinition of the Human Resources Pyramid in this section, why does conventional ‘behavioral’ coaching fall short of what companies are looking for?

End of General Introduction

Some Seminal Research Findings

As we have seen, organization strata are based on different levels of cognitive development.

The majority of consulting tools are **cognitive** tools.

We therefore begin with Cognitive Development (CD).

Cognitive Development (CD)

[Module B]

Cognitive development leads from mastering formal logic in early adulthood to practicing post-formal or *dialectical* thinking in later adulthood, in four phases.

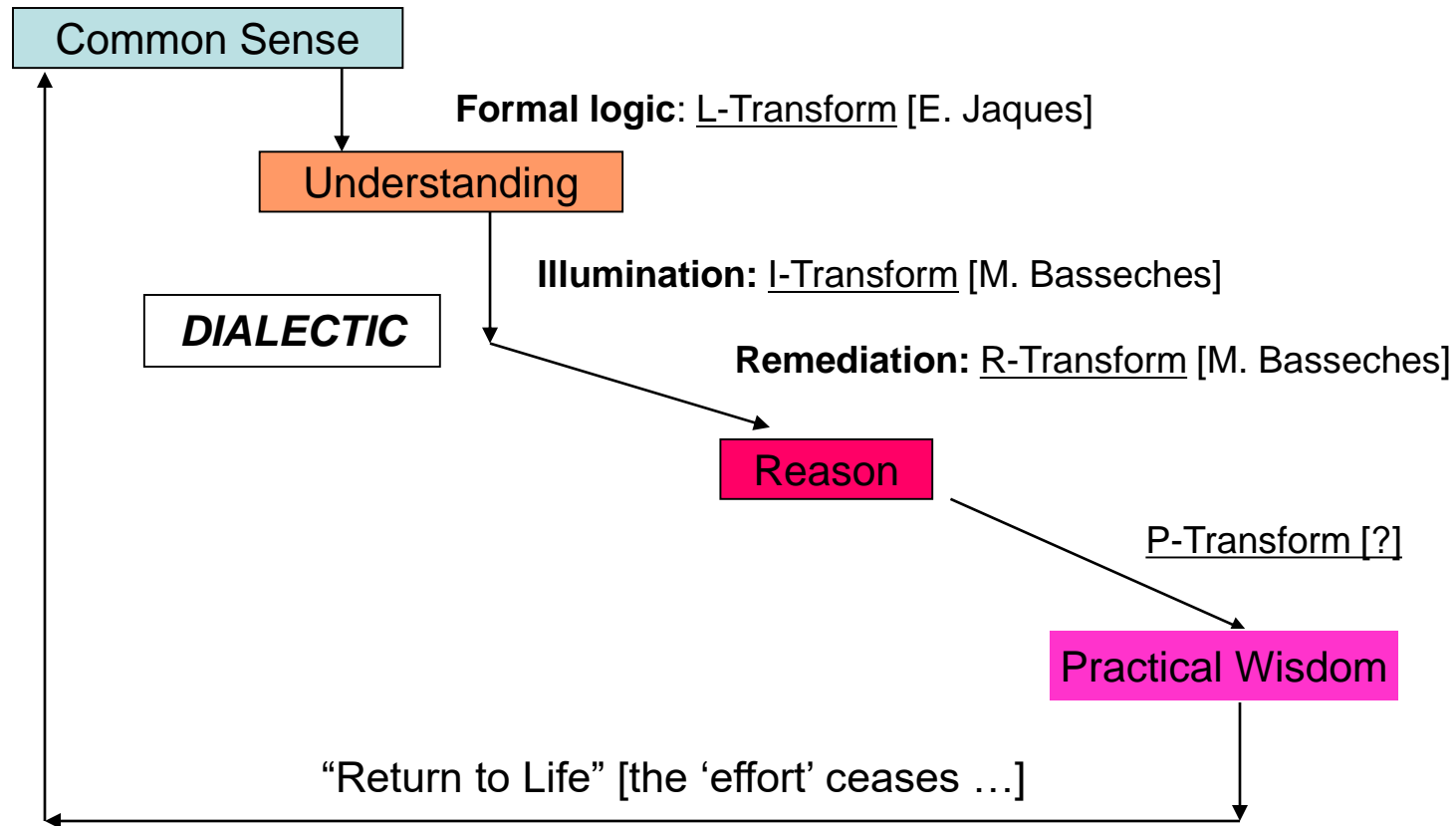
Vocabulary

- In this section, we are learning a large number of new concepts.
- Be patient with yourself as you make them your own.
- They are all geared to ‘Cognitive Coaching’ in Organizations:
 - Transform [set of tools]
 - Epistemic Position [view of ‘knowledge’ and ‘truth’]
 - Stratum (Organizational level or echelon)
 - Method of Information Processing
 - Dialectical Thinking
 - Illumination and Remediation Transforms
 - Phase of Dialectical Thinking
 - Thought Form (TF)
 - Class of Thought Forms
 - The Three Houses (Task-, Organizational, Self-House)
 - Cognitive Coaching

It's All About Equilibrium

- People are largely ‘subject’ to their thinking, aware of it only to the extent of their *reflective judgment* (epistemic position).
- What you are subject to, you do not control.
- To understand and reason about organizational clients, we need some yardsticks by which to measure up to which point our own and our clients’ thinking have so far developed.
- To do so, we need all the help we can get from different theories of cognitive development.
- Although cognitive development occurs in terms of different layers, keep in mind that it’s all about **balance/equilibrium** and **loss of ego-centricity**.

Four 'Eras' of Cognitive Development



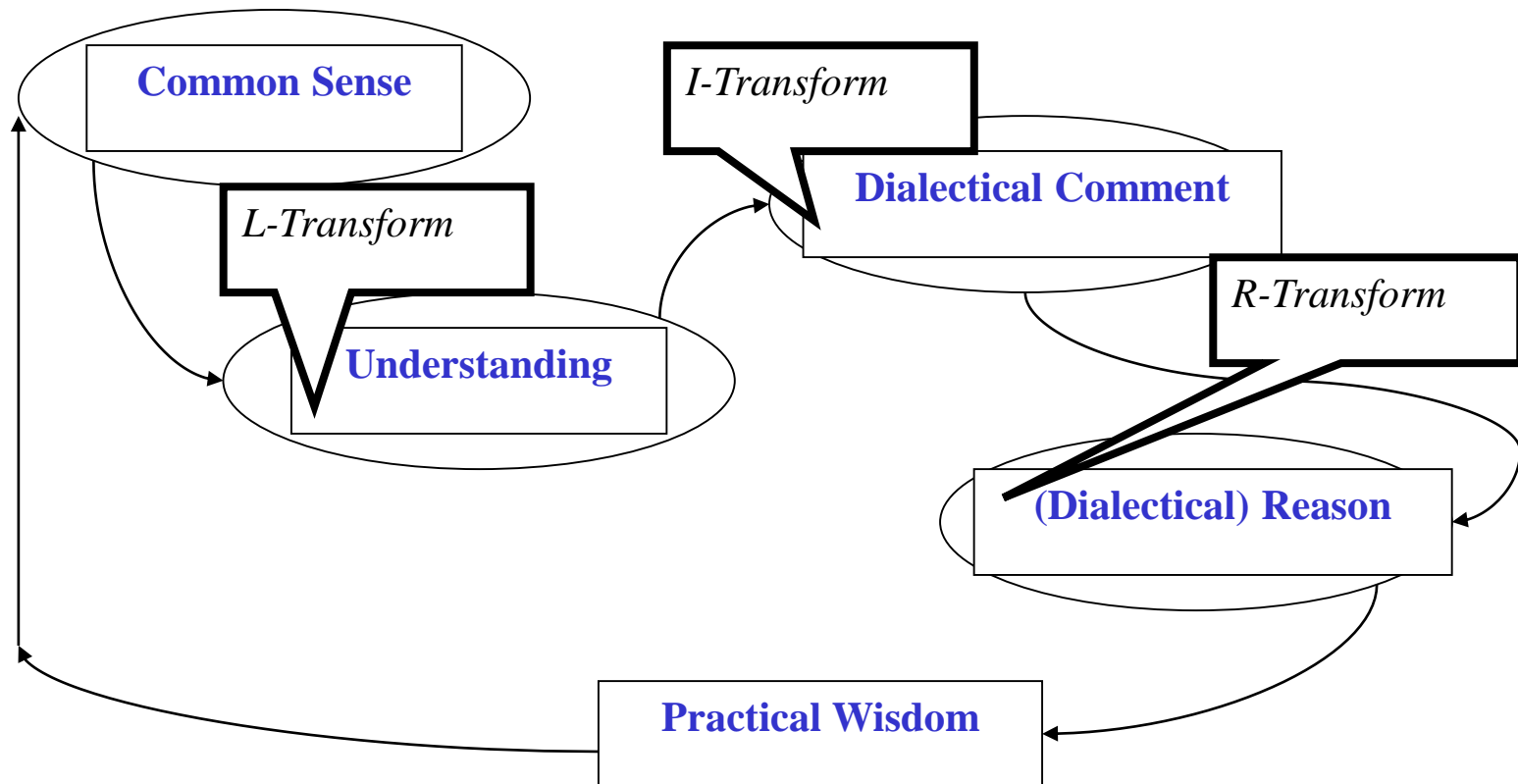
Adapted from Roy Bhaskar (1993, 21)

How ‘Thinking’ Changes

- We are here concerned with structural changes of thinking, not changes in content.
- Structural changes are changes in the operations performed by thinking.
- In the Era of ‘Common Sense,’ we use “concrete operations,” operating with concrete things and entities.
- In Understanding, we (begin to) use abstract operations that can be performed on many different concrete things and entities.
- In Dialectical Thinking, we become fluid in using abstractions in more sophisticated ways than are possible in Understanding.
- **By Transforms, we mean the different logical operations we use when ‘thinking.’**

Transforms Transform Thinking

Transforms are sets of tools becoming available in a specific Cognitive Era



L-[ogic]-Transform: logical tools

I[llumination]-Transform: elementary dialectical tools

R[emediation] -Transform: fully developed dialectical tools

→ Methods of Information Processing
mix Understanding and Illumination

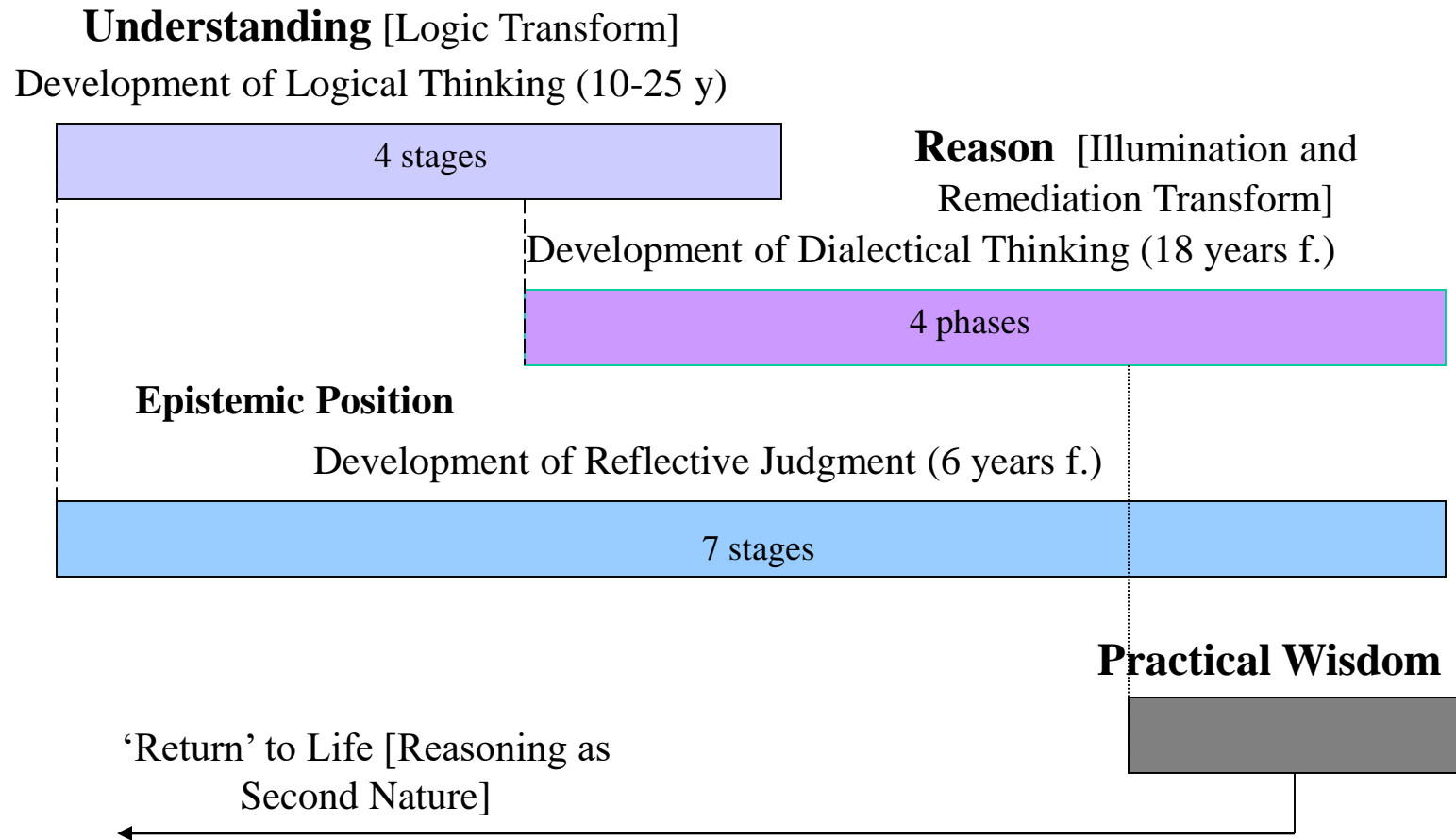
Illumination and Remediation Transforms

- These unusual terms mean something quite simple; they refer to tools for ‘illuminating’ implications of concepts and thereby ‘remediating’ what was initially absent in and from them.
- A thinker ‘illuminates’ a concept if s(he) spells out what is initially invisible, absent, not spelled out in a concept (e.g., ‘road’ cannot be defined without reference to ‘cars’).
- What’s absent from the concept is just as real as what the concept indicates (‘car’ is needed to define ‘road’), and therefore ultimately needs to be included with it. We therefore speak of ‘remediation’ [removing or counteracting absence].
- In the future, we will speak of the I- and R-Transforms as **forms of dialectical thinking.**

It takes Skill to Recognize Transforms

- When listening to people in an everyday way, we are mostly focused on content, not structure.
- **We don't often realize that and how structure shapes content.**
- In cognitive coaching, we learn to listen with new ears.
- We do so by focusing on the logical structure that underlies the content we are exposed to by speakers.
- This takes time to learn.
- However, all developmental interviewing is based on structure-focused listening.
- Here, we begin to practice '**listening to structure**' based on insight into developmental shifts of cognitive structure.

Understanding and Reason Overlap



Epistemic Position is the basis for developing new thinking tools.

Understanding: The Growth of the Logic Transform

Piaget researched his own children's thinking in order to understand better how it might develop. He made ingenious verbal experiments with them, and found:

| Stage | Age | Description |
|---------------------|------------------------|---|
| Sensorimotor | Age: 0-2 | <ul style="list-style-type: none">• Reflex base• Coordinate Reflexes |
| Preoperational | Age: 2-6 or 7 | <ul style="list-style-type: none">• Self-oriented• Egocentric |
| Concrete operations | Age: 6 or 7-11 or 12 | <ul style="list-style-type: none">• More than one viewpoint• No abstract problems• Consider some outcomes |
| Formal operations | Age: 11 or 12 up to 25 | <ul style="list-style-type: none">• Think abstractly• Reason theoretically• Not all people reach this stage |

Dialectical Transforms & Adult Development

- **Basseches** found (1975-1984) that the spurt toward logical thinking in late adolescence overlaps with the beginning phase of post-formal (dialectical) thinking.
- He established that adult development is inseparable from the growth of post-formal, “dialectical” thinking.
- This finding corroborates **Jaques**’s finding that human organizations are built on two (successive) orders of information processing complexity.
- To follow this argument, we first need to understand the relevance of **epistemic position** on which both orders of information processing – logical and dialectical thinking – are based.

Epistemic Position

- ‘Episteme’ is the Greek word for ‘knowledge.’
- *Epistemic positions* are *stages of reflective judgment* which afford an individual different views of the nature of knowledge and truth.
- Since action follows from thought, epistemic positions are crucial. **They mediate between ED and CD, and link logical and dialectical thinking.**
- These positions mark the progression from conceiving of knowledge as a ‘right answer’ to thinking of it as an *abstraction*.
- Along with this goes the development of knowledge as absolutely certain to being *uncertain*, and the need to justify beliefs in the face of uncertainty.

Seven Epistemic Positions

| Epistemic Position or [Stage of Reflective Judgment] | Assumptions about Knowledge and Truth [King & Kitchener, 1994] |
|---|--|
| 1 <u>Common Sense</u> | Absolute and certain; knowledge=belief; knowledge is a right answer. |
| 2 | Absolute and certain; knowledge held by authorities; truth not always immediately available. |
| 3 | Absolute and certain although truth may be temporarily unavailable; concrete systems; unstable view of truth. |
| 4 <u>Understanding</u> <i>Phase 1 of Dialectical Thinking [Stratum IV]</i> | Knowledge and truth are abstractions but idiosyncratic to the knower; knowledge used to substantiate preferred beliefs. |
| 5 <i>Phase 2 of Dialectical Thinking [Stratum V]</i> | <i>Abstract mapping skills</i> allow for comparing and contrasting of abstractions; comparison across contexts possible; issues of part and whole; no integrated view of truth. |
| 6 <u>Reason</u> <i>Phase 3 of Dialectical Thinking [Stratum VI]</i> | <i>Abstract systems skills</i> ; thinking requires action since knowledge and truth are constructed; cross-domain comparisons possible; beginning of internalized categories of comparison and evaluation. |
| 7 <i>Phase 4 of Dialectical Thinking [Stratum VII & VIII]</i> | Knowledge and truth constructed through critical inquiry using hypothesis testing; the common ground of opposites is considered, and used to construct holistic perspectives. |

Attainment of Epistemic Positions

(by age)

| Orientation/ Frame of Reference (FOR) by age | Phase 1 (Fluidity <10) <i>Accommo- dating</i> | Phase 2 (Fluidity <30) <i>Transitional</i> | Phase 3 (Fluidity >30<50) <i>Assimilating</i> | Phase 4 (Fluidity >50) <i>Fully Dialectical</i> |
|--|--|---|--|---|
| Epistemic Position | 4 | 5 | 6 | 7 |
| <i>% of empirical sample</i> | | | | |
| <i>41+</i> | | | 50 | 50 |
| <i>36-40</i> | | 15 | 57 | 29 |
| <i>31-35</i> | 19 | 40 [?] | 26 | 16 |
| <i>26-30</i> | 15 | 47 | 3 | 35 |
| <i>21-25</i> | 51 | 17 | 14 | 1 |
| <i>16-20</i> | 29 | 6 | 2 | |

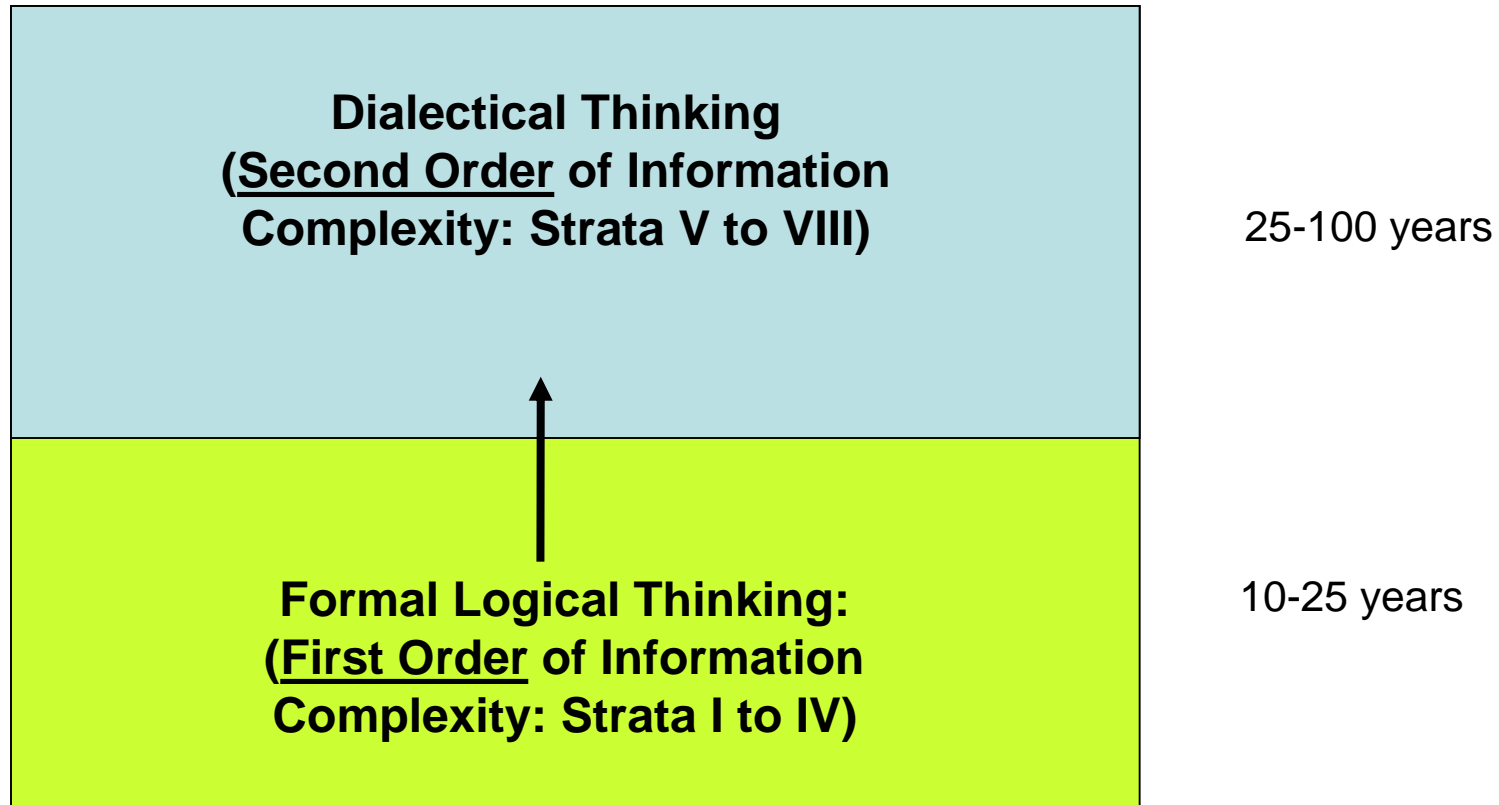
* King & Kitchener 1994, 149.

The Thinking Organizations

The World of Organizations

- The first to base the theory of organization resolutely on cognitive levels was Elliott Jaques (1989 f.).
- Organizations are more than large collections of people; they are agglomerations of people who WORK by THINKING.
- Organizations are ‘organized’ in terms of cognitive levels, called STRATA, and ‘work’ is based on reflective judgment.
- Organizations’ *accountability architecture* is structured in terms of ROLES, and these roles require specific levels of thinking, along with different methods of information processing.
- Jaques proposed that ascending higher organizational levels is a matter of being able to use different *methods of information processing* extending over two *orders of information complexity*.

Higher Levels of Accountability Require Systems Thinking (Reason)



Dialectical thinking constitutes a second order of information processing.

Methods of Information Processing

Define Strata

We measure ‘Size of Role’ in terms of Level of Work Complexity (‘Stratum’).

When in balance with human potential capability, **Requisite Organization** results.

| Epistemic Position [Fluidity Index] {measured by interview} | Strata | Methods of Information Processing* | Social-Emotional Stage {measured by interview} |
|---|--------|--|--|
| 7 [≥ 50] | VIII | C4[parallel] | 5 |
| | VII | C3 [serial] | 5/4 – 5(4) |
| 6 [>30] | VI | C2 [conjunctive] | 4(5) – 4/5 |
| | V | C1 [disjunctive] | 4 |
| 5 [$>10 \leq 30$] | IV | B4 [parallel]; iff | 4/3 – 4(3) |
| | III | B3 [serial]; if | 3(4) – 3/4 |
| 4 [≤ 10] | II | B2 [conjunctive]; & | 3 |
| | I | B1 [disjunctive]; or | 2/3 – 3(2) |

* Since they are recursive over two successive Orders of Information Processing [Complexity], B and C, these methods at times mix logical and dialectical thinking [Jaques, 1994].

Strata Differ in Terms of Transforms (Methods of Information Processing) Used

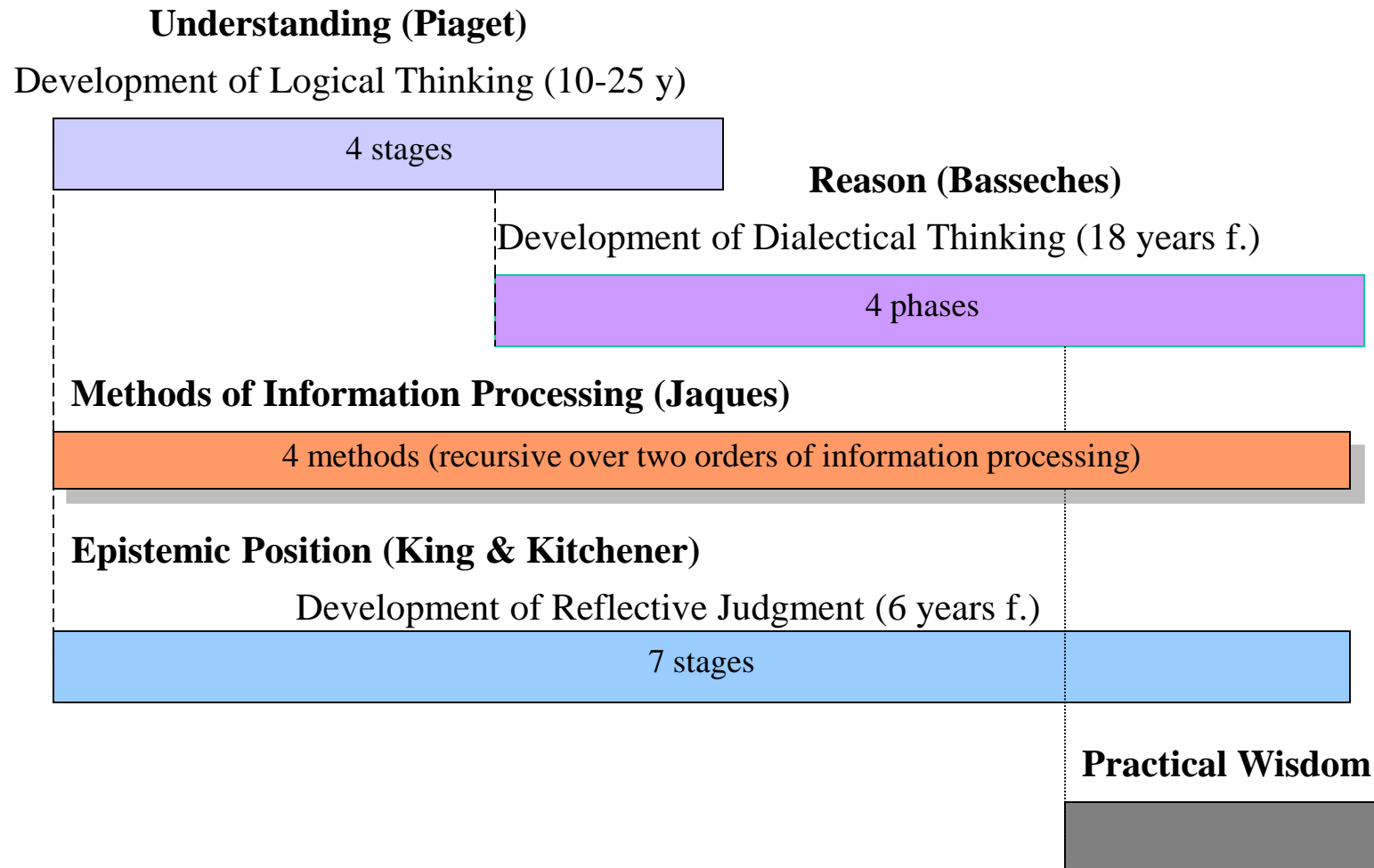
- Organizations stretch across two different ‘Orders of Information Complexity’ – Understanding and Reason -- each of which is associated with a different *time horizon* (window into the future).
- Jaques’s **Methods of Information Processing** are used in the Logic Transform as well as the Dialectical Transforms.
- Formal logic (L-Transform) suffices at lower levels of abstraction (Strata I to IV), but not at higher-level echelons (Strata V to VIII).
- Methods of Information Processing also correspond to different TYPES OF WORK that people do [for which different types of current potential capability are required].

Methods of Information Processing

| Type 1 ('or') | Type 2 ('and') | Type 3 ('if') | Type 4 ('iff') |
|--|---|---|--|
| <u>Disjunctive</u> <u>[declarative]</u> <u>Reasoning:</u> Bringing forward a number of separate ideas, with no explicit connections made. | <u>Conjunctive</u> <u>[cumulative]</u> <u>Reasoning:</u> Bringing together a number of different ideas, none of which can make a case, but together they do. | <u>Conditional</u> <u>[serial]</u> <u>Reasoning:</u> constructing a line of thought made up of a sequence of ideas, each of which leads on to the next, thus creating a chain of linked reasons. | <u>Bi-conditional</u> <u>[parallel]</u> <u>Reasoning:</u> examining a number of other possible positions, each arrived at by conditional thinking, and held in parallel, going back and forth between the chains. |

* According to Jaques, these four types *recursively* occur over four levels (depending on the level of abstraction): A to D. Of these, two levels, B and C, are crucial in the organizational work of adults. Order B is based on formal logic, Order C on post-formal, dialectical logic.

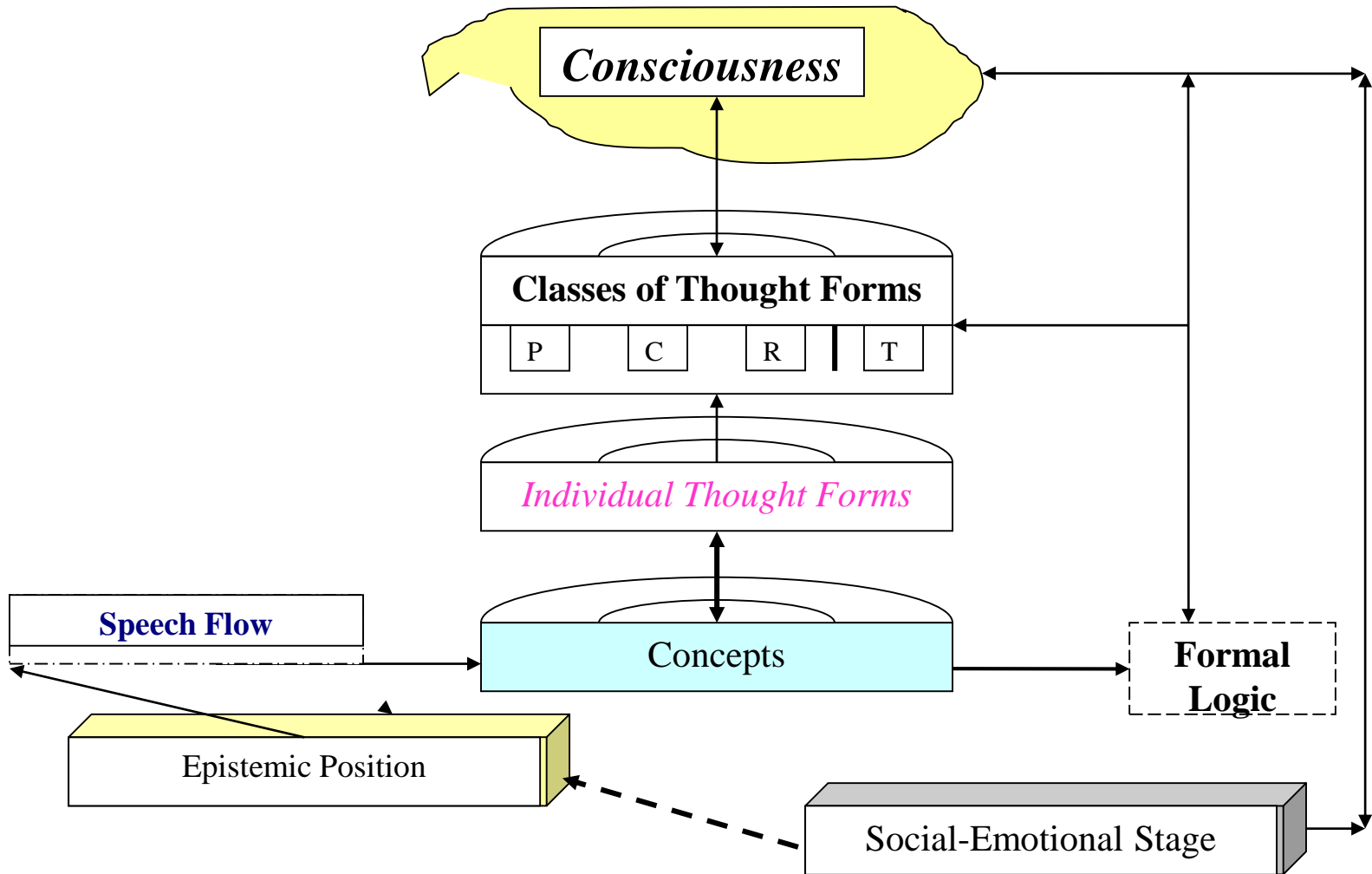
Methods of Information Processing Combine Formal and Dialectical Logic



From Understanding to Reason

- In working with adult clients, the crucial stretch of cognitive development of interest to the consultant is the **transition from logical to dialectical (systemic) information processing.**
- This process is central to the transition from Stratum IV to V where clients begin to construct *unified whole systems* (Jaques, 1998, 69).
- This transition requires the acquisition and coordination of dialectical ‘Thought Forms’.
- **Thought Forms are logical abstractions used in constructing systems and systems of systems.**
- They are not concepts, but can be expressed by way of many different concepts.

From Logical to Dialectical Thinking

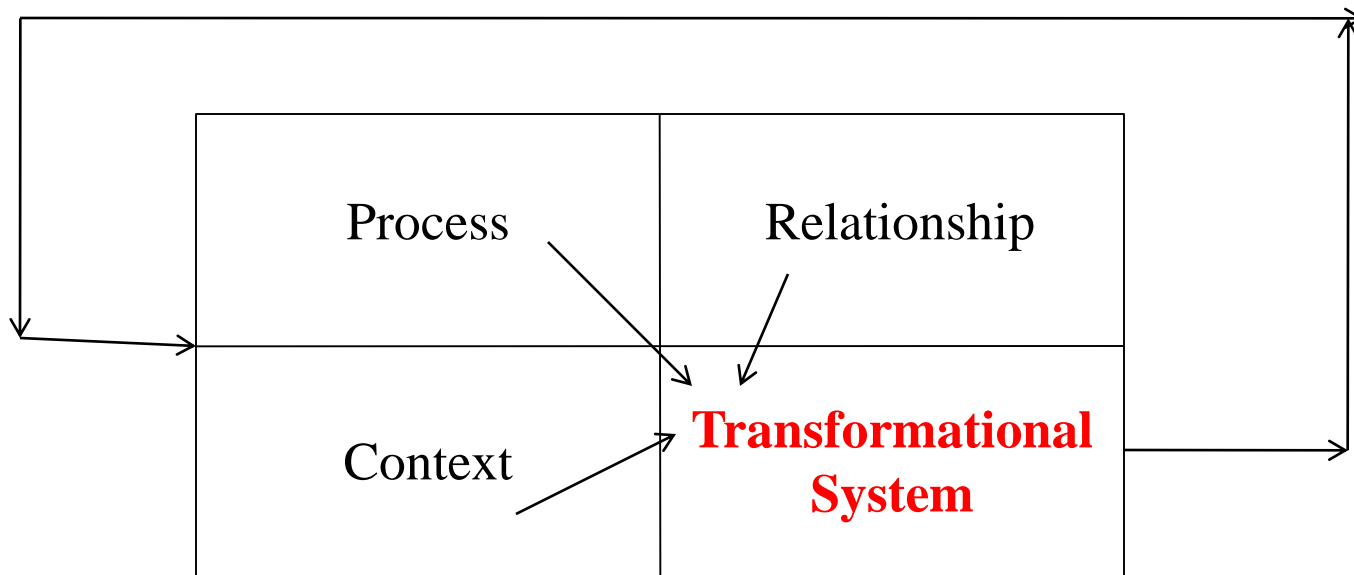


What is Dialectical Thinking?

- Thinking ‘dialectically’ amounts to establishing a higher level of equilibrium in one’s thinking than logical thinking permits.
- It is a **discovery procedure for finding truth**, and is based on ‘splitting off’ one abstraction from another in order to bring them together into a larger, more complex whole.
- When you realize that you can’t define ROAD without reference to ‘cars’ (because a road not used by cars is not a road but perhaps a mall or a runway), you are thinking dialectically.
- *This is so because you are splitting off a logical A (= road) from what it is not, or non-A (=cars).*
- *There are many non-A’s of road all of which, initially invisible, when taken together, enrich the concept of ROAD, by linking it to other things (“the Other of Road”).*

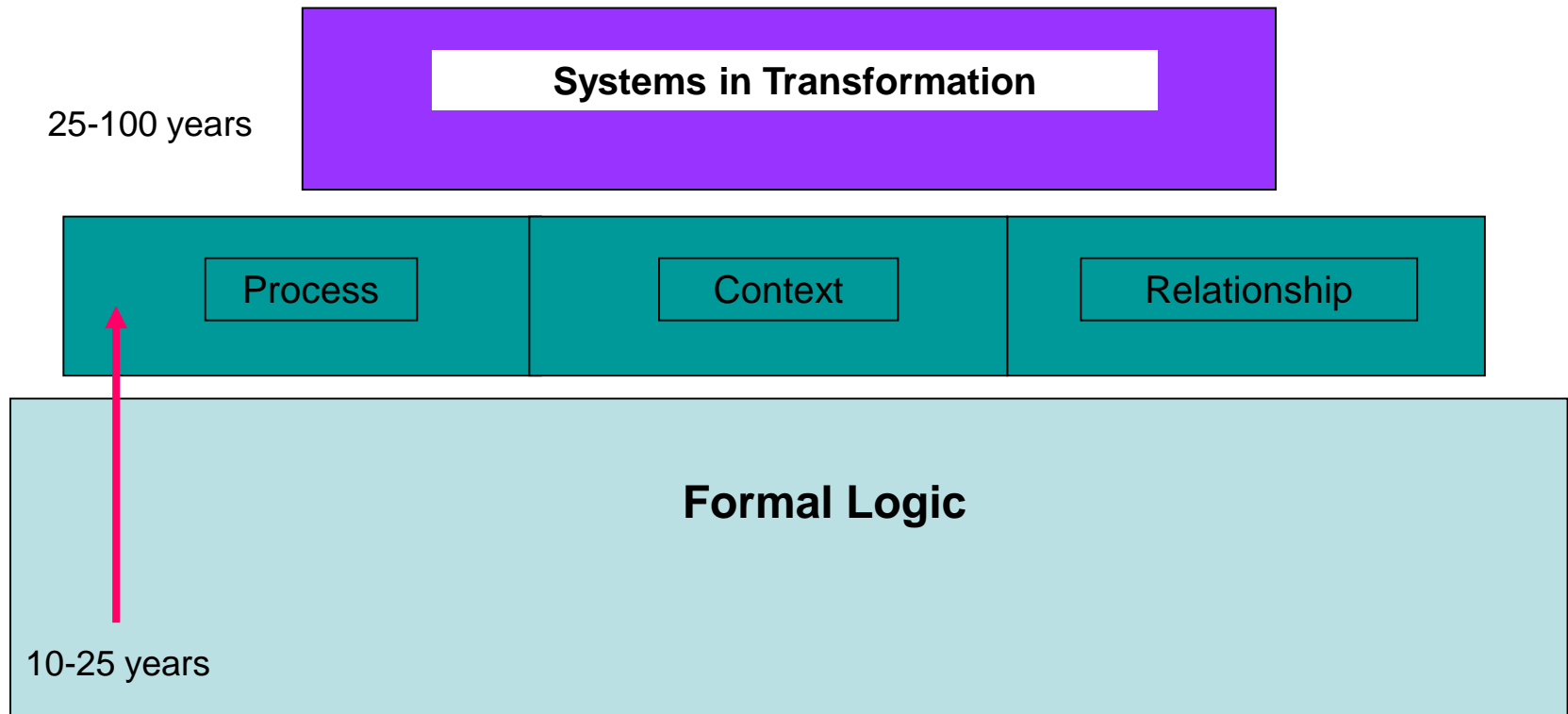
The Quadrants of Dialectic

We can best understand dialectic as a system of ‘ontological’ principles that shape reality, and that we follow in our thinking by using four classes of thought forms: Process (P), Context (C), Relationship (R) and Transformational System (T).



Steps towards Post-Formal Thinking After Age 25

Formal thinking by nature evolves into 'dialectical' thinking

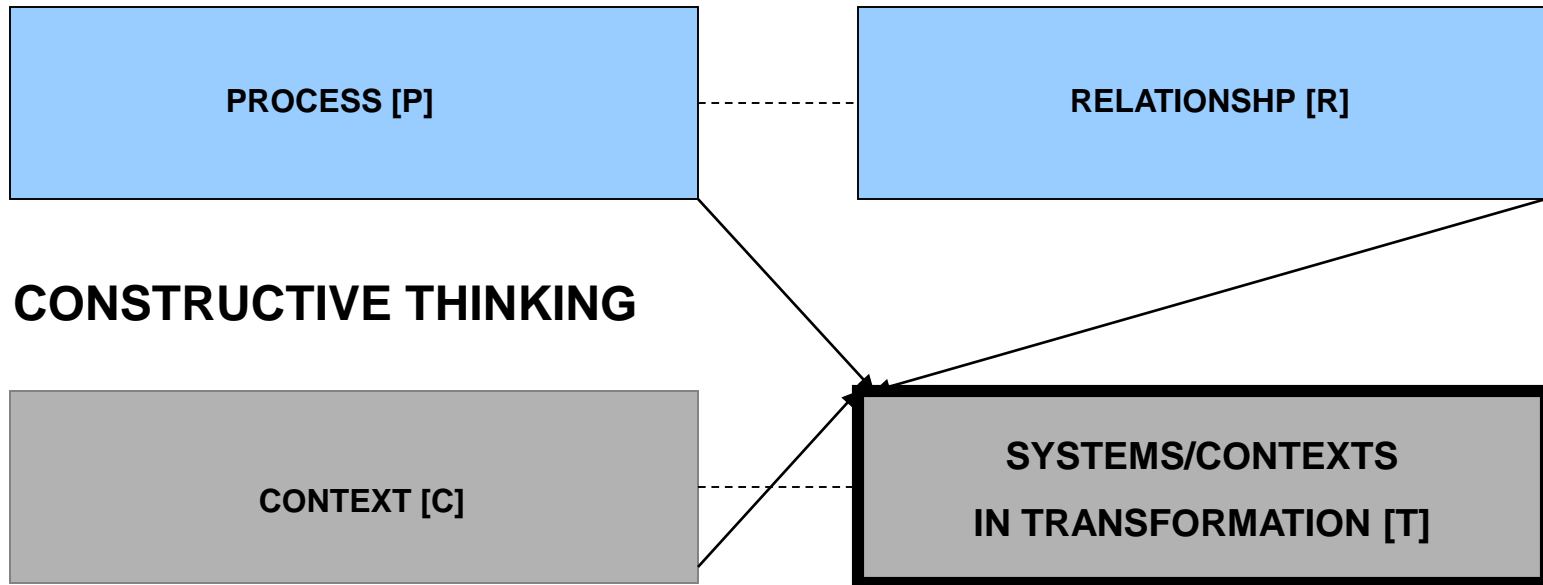


Focus of Attention

- In constructing ‘reality’ for ourselves, we make use of four classes of abstractions, or *Thought Forms* (Basseches’s *schemata*.)
- Each of these classes lets us ‘look’ at different but related aspects of what is **real**.
- We can consider the four ‘classes of Thought Forms’ (TFs) as different *ways of focusing attention*:
 - **Process TFs** [P] look at what emerges (emergence).
 - **Context TFs** [C] look at the ‘big picture’ (whole and parts).
 - **Relationship TFs** [R] look at the ‘common ground,’ or relation-ship between different parts of a whole.
 - **Systemic TFs** [T] tie these three aspects of attention together at a higher, *meta-systemic* level (systems of systems).

Relationship Between Foci of Attention

CRITICAL THINKING



**Process and Relationship enhance *critical thinking*,
while Context and Systems in Transformation help *construct reality*.**

Testing Our Understanding of Cognitive Complexity

Let's Compare Three Managers' Thinking

- We are not talking philosophy here.
- Let's LISTEN to three different managers talking about one and the same organizational situation, that of a merger.
- Your task is to pay attention to what you perceive as “more than logical thinking,” meaning complexity of thinking beyond the simplistic separation of one thing from another.
- Assume you are listening to these managers in a coaching session.
- What would be your response to the three different descriptions below in terms of *your own thinking*, and what would be your estimation of the kind of thinker you are dealing with in your client?

Manager A

“When we bought Acme’s service business, it was clear that if we didn’t build efficiency into the combined network, we’d fail. Efficiency means reduced overall costs, more revenue from our customer base, and less work overlap. Now we can price our products more competitively, knowing we can continue to build our revenue stream through service contracts. And providing that service will keep us close to our customers for equipment lifecycle planning and utilization analyses. If we can keep our eyes focused on managing costs and delivering quality, the results will be there.”

Manager B

“When we bought Acme’s service business, it was clear that one of the immediate advantages would be in building a more efficient network. By integrating product and service sales, we become a more complete operation, and customers will see us in a new light. However, we also become more vulnerable to a lack of integration until we can define that new business model, and manage re-training and re-directing our sales force. Even then, perhaps customers may feel we’re not as focused on our huge new service operation as was Acme. And Engineering is committed to reducing maintenance and Manufacturing to driving up quality; that may mean we’ll have to branch out to include servicing competitors’ products to justify the new service infrastructure and manage the overhead. Would customers see that as a dilution of our commitment to our own products? We’re juggling many more things than before, and risk over-extending ourselves. How we balance customer perceptions, cost efficiencies, and product development will be a challenge, but we can succeed if we plan carefully and give it our best shot.”

Manager C

“Once we decided to buy Acme’s service business, we knew that there were a lot of ramifications to consider that could only incompletely be foreseen right away. We knew that in many ways we had considerably complicated not only our in-house way of working, but also the market environment in which we would have to function. While on the one hand, we were clearly striving to become a more complete operation, we had previously been on safer ground since our business model had been thoroughly tested and validated, and we had a reasonably clear view of who our customers were and what they expected of us. But once we integrated Acme’s service business, we had to rethink almost everything we had learned to take more or less for granted. There were questions of attunement of our workers to the company’s new mission, but also of customers to the broader agenda we now came to be identified with. We were also introducing new goals for our internal business process, and put in jeopardy the balance of the parts of our operation which had already been quite complex when focusing on product sales alone. So, there now many different contexts to consider that were only partly known to us initially. Essentially, the effect of this was that we became much more sensitive to relationships, not only between parts of our operation, but to relationships between product and services, work force and customers, business process and financial process, not to speak of systemic interactions that tested the limits of stability and harmony of our operations. We now had to coordinate a larger number of subsystems, and these subsystems tended to transform in a way that was not initially foreseen or even foreseeable. As a result, we felt we would lose out if we did not succeed in developing multiple perspectives on almost every aspect of our organization.”

What Differences Between Managers A, B, C, Are There?

Since we don't yet have the tools required to distinguish:

- **four classes of thought forms**
- **order of information processing complexity**
- **four phases of dialectical thinking,**

let's use the tools we informally do have, to characterize differences between these managers, in:

- *concept of the nature of truth and knowledge (epistemic position)*
- *complexity of abstract thinking*
- *“fluidity” of thinking*
- *ability to think about two different things “in parallel”*

Cognitive Coaching Metric

| Cognitive Dimensions | Manager 1 | Manager 2 | Manager 3 |
|--|-----------|-----------|-----------|
| Epistemic Position* | 4-5 | 6 | 7 |
| Order of Information Complexity (= Level of Work Complexity = Stratum)** | | | |
| Method of Information Processing | | | |
| Predominant Class of Thought Forms*** | | | |
| Phase of Dialectical Thinking* | | | |

* Epistemic Position and Phase of Dialectical Thinking are closely associated with each other.

** Order of Information Complexity points to Stratum (appropriate Level of Work Complexity)

*** Predominance of Class of Thought Form points to **imbalance of thinking** if any, and is a topic of cognitive coaching.

Understanding *Phases* of Dialectical Thinking and *Classes* of Thought Forms

Research shows, that Jaques's 'Second Order of Information Processing' divides into four phases, and is based on four classes of Thought Forms

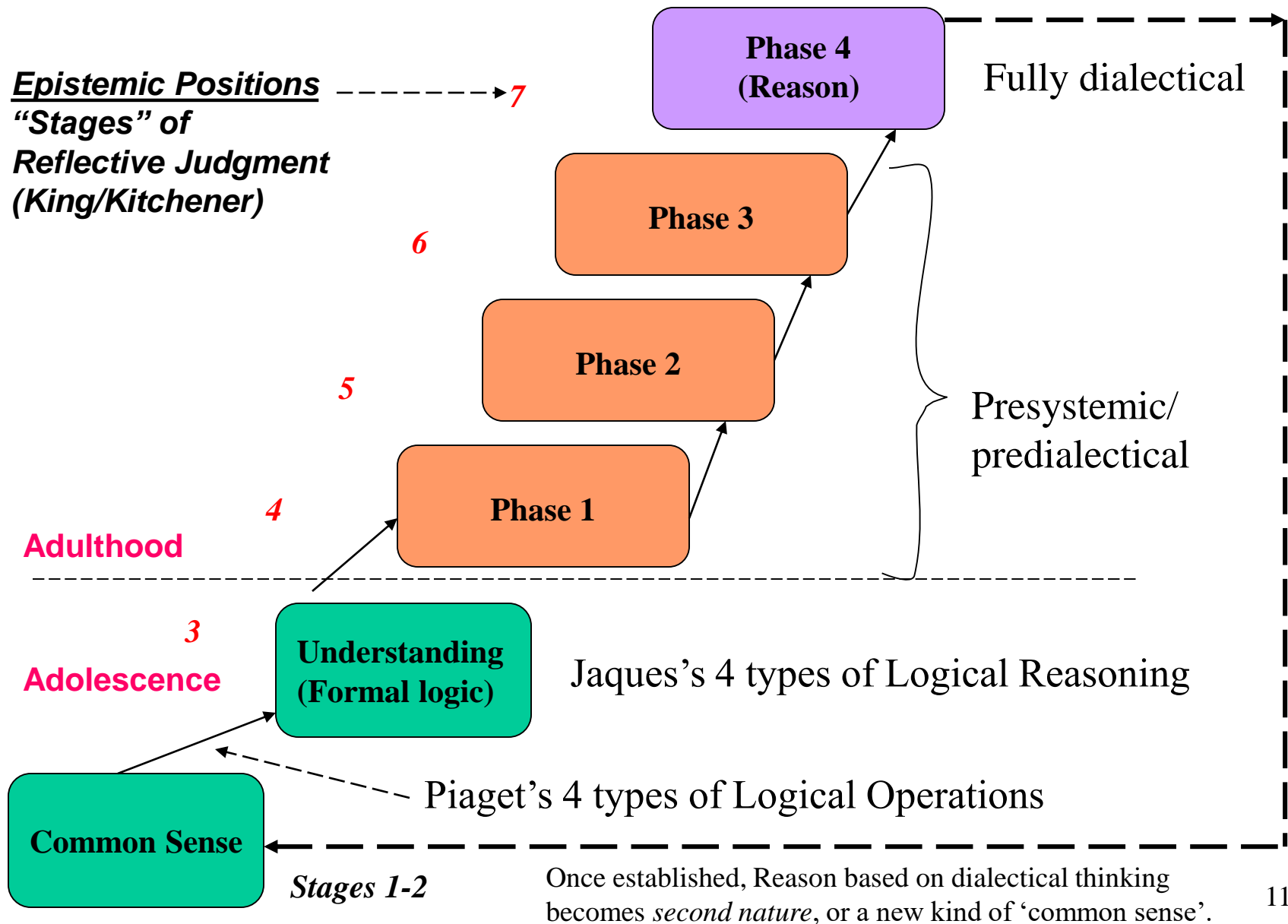
What Happens in Early Adulthood

- We learnt that the ‘spurt’ toward logic and the onset of dialectical thinking overlap in late adolescence (18 years f.)
- While this accounts for the well-known ‘confusion’ of adolescents, it also advances their ‘relativistic’ epistemic position (“everyone has a right to his own opinion”) based on which they begin grasping that ‘knowledge’ is an abstraction.
- To understand the emergence of dialectical thought, it is more realistic to think in terms of ‘phases’ rather than ‘stages’. (After all, we are measuring “fluidity”).
- **The four phases of dialectical thinking indicate increasing fluency in the use of *Thought Forms*, enabling the thinker to ‘split off’ one abstraction from another, and thereby relate them.**

Phases: From Understanding to Reason

- In the beginning of adulthood (approximately the middle twenties), a gradual turn from logical thinking to dialectical thinking – or from “Understanding” to “Reason” – sets in [with large variations between people, and partly dependent on education].
- In terms of Thought Forms (TFs), this journey seems to occur in **four phases**:
 - Phase 1: few isolated TFs are present in thinking
 - Phase 2: increasing number of TFs, loosely coordinated
 - Phase 3: larger number of TFs with increasingly stronger interconnections established
 - Phase 4: fully dialectical thinking in terms of transformational systems.

Phases of Development of Dialectics (Basseches, 1978 f.)



Class of Thought Form Regards Attention

- People ‘focus attention’ by using a particular **class of Thought Forms**. Here is how:
- You may pay attention to how things unceasingly change and what emerges (Process; P). [Image: A Wave].
- You may focus on building scenarios emphasizing the whole and its parts (Context; C). [Image: ‘Big Picture’]
- You may single out relationships between events, situations, people, ideas (Relationship; R). [Image: Common Ground]
- Or you may be able to draw at least two of these aspects together, such as P+C, C+R, P+C+R, to think in terms of Systems in Transformation (T). [Image: ‘Beehive’].

Foci of Attention Detailed

(Thought Form numbers in brackets)

Process [Wave] – everything is in unceasing motion

- Preserving fluidity in thought (3, 5)
- Attention to actual or potential processes of change (1, 4, 6-7)
- Describing movement as occurring via opposites (2)

Context [Big Picture] – larger contexts remain stable across change

- Attention to organized and patterned wholes (8-9, 13-14)
- Recognizing & describing systems as systems (10-12)

Relationship [Common Ground] – intrinsic and external links hold things together

- Attention to relationships (15-18)
- Describing relationships as interactive and constitutive (19-21)

Transformational System [Organism]—systems constantly reorganize themselves

- Attention to the limits of stability of systems (change potential) (22)
- Describing transformation from one system to another (23, 27)
- Describing relationships among systems (25-26, 28)
- Describing the construction or emergence of systems (24)

Thought Forms Articulating PROCESS

| | |
|--|--|
| 1 Primacy of change | The inner and outer world is unceasingly changing, so that A is always drifting toward non-A, or B |
| 2. Inclusion of antithesis to form a synthesis (A => B → C) | Something A stands in opposition to something 'other' or B. Upon inclusion of B, A becomes 'A prime,' or C, an altered, more complex A |
| 3. Correlativity [see #19] | A owes its existence to B, or naturally leads to recognition of B |
| 4. Ongoing interaction [see #20] | Interaction between A and non-A (B) is a source of movement and change |
| 5. Active, practical knowledge | Applied to knowledge, it is seen as always "under construction" |
| 6. Casting in cement (isolating from process) | What appears to be a "thing" is really a FORM able or ready to "transform," and cannot be isolated from the process it is part of |
| 7. Element of process (in contrast to linear causality) – things as forms | Everything is an element of a larger process, and cannot be reduced to linear causality; elements of reality are linked multi-dimensionally. |

Thought Forms Articulating CONTEXT*

| | |
|---|--|
| 8. Parts of a whole (emphasis on the embedded part) | Events, situations, persons are elements of a larger context that explains their nature;-- they need to be 'contextualized'. |
| 9. Holism, Balance, Gestalt (emphasis on the whole) | Events, situations, persons add up to a 'bigger picture' that needs focusing on. |
| 10 Functional system, integrated Structure | Systems and structures are balanced configurations that can be described in functional, historical, or structural terms. |
| 11. Paradigms and Frameworks | Ideas, assumptions, and theories are rooted in paradigms and frameworks that form their context. |
| 12. Forms of Stability based on Equilibrium | The smooth functioning, harmony, or stability of systems and configurations needs an explanation. |
| 13. Frames of Reference [ideas relative to their context] | Depending on the frame of reference, events etc. have different meanings |
| 14. Multiplicity of Contexts (in thinking) [see #28 for systems] | There is a need to evaluate ideas, theories, and assumptions in terms of multiple contexts and points of view. |

* Thought Forms #8-9, 10-12, and 13-14 are closely linked.

Thought Forms Articulating RELATIONSHIP*

| | |
|--|---|
| 15. Limits of separation | Single events, situations, actions are misconstrued when separating them from related events, situations, and actions. |
| 16. Relationship between elements that compose a larger whole | Elements must be seen as related within a larger whole, rather than separated. |
| 17. Critique of Pluralism (“anything goes”) and Subjectivism (“everybody has a right to his opinion”) | Neglect of relationships between opinions, ideas, assumptions, leads to reduction of complexity; the opinion that everybody has a right to his opinion overlooks relationships that bind opinions to underlying frameworks. |
| 18. Patterns of Evaluation [related-ness of judgment systems] | Ideas, theories, and assumptions do not exist in a vacuum; they form patterns that can be described. |
| 19. Reciprocity [higher form of #3] | Precise description of the nature of reciprocity between two events, situations, etc. |
| 20. Patterns of Reciprocal Influence [higher form of #4] | Precise description of patterns of influence |
| 21. Constitutive or intrinsic relationships | Precise description of logical relationships that precede the elements they relate (e.g. marriage). |

* Thought Forms 15-16, 17-18, 19-20 are closely linked.

Thought Forms Articulating SYSTEMS IN TRANSFORMATION*

Systems in Transformation are the highest Form of Reality found in Nature and Society.

| | |
|---|---|
| 22. Limits of stability, harmony, and durability [#2 applied to contexts, with focus on thesis-antithesis] | Acknowledgement of the fact that stability, harmony, and durability depend on antithetical forces that hold each other in balance. |
| 23. Conflict as source of development [valued positively, focused on synthesis] | Contradictions and sources of disequilibrium seen as motor of development, leading to the dissolution of older forms of systems. |
| 24. Balance or equilibrium pursued as goal (value of resolving conflict) | There is value in reaching developmental goals that establish a new equilibrium or balance. |
| 25. Evaluative comparison of systems | Systems can be compared in terms of level of equilibrium, inclusiveness, differentiation, integration, etc.). |
| 26. (Process of) Coordinating systems | Recognition that two or more systems are related to each other, and can be coordinated. |
| 27. Self transforming systems [#2 in its most developed form: things as forms] | Emphasis on the emergent, self-transforming nature of (equilibrated) systems. |
| 28. Multiple perspectives | Emphasis on integration of diversity, and adoption of multiple points of view, for the sake of doing more justice to the complexity of reality. |

* #23-25 entail positive valuations.

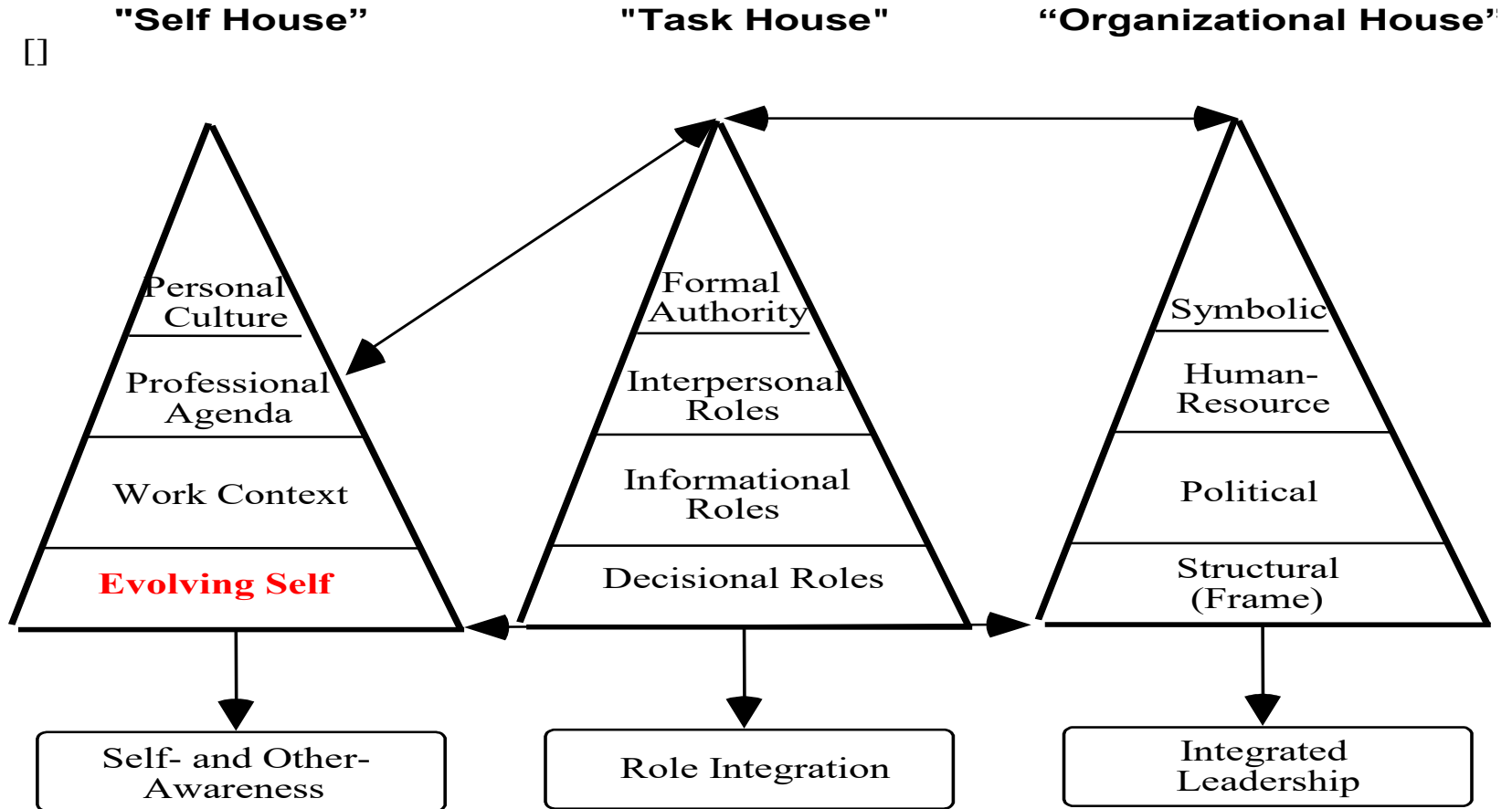
Cognitive Fluidity Is a Function of Phase of Dialectical Thinking Development

- **Phase of Dialectical Thinking** – how capable you are in using the I- and R- Transforms -- is measured in terms of *Fluidity Index*.
- Degree of cognitive fluidity indicates the degree of BALANCE that is achieved when using all four classes of Thought Forms.
- Thus, in Phase 1, fluidity is low, many Thought Forms are absent, and those present are not well coordinated; therefore, level of thinking in terms of systems is low as well.
- By contrast, in Phase 4, fluidity is high, the majority of Thought Forms or all of them is (are) present, and the thinking is primarily one in terms of systems in transformation.

Measuring Cognitive Fluidity

- In Module B, we learn to measure cognitive fluidity of thought through a **cognitive interview**, by assessing the number and degree of clarity of Thought Forms used by the interviewee.
- Since it focuses on the interviewee's work, the semi-structured interview is called the **Professional Agenda Interview**.
- This interview is conducted in three different *mental spaces* called the client's **Task House, Organizational House, and Self House**.
- In the first, the client speaks about his function, tasks, and roles; in the second, about his/her relationship to the organization as a whole; and in the third, about his/her own professional agenda, values, and career development.

The Mental Space of Coaching: The Three Houses



The Position of the Coach in the Houses

- **The coach is an observer of the client's movements in and between the Houses**, but also partakes of the Houses in his/her own way.
- The coach's position in the Self House originates in his/her personal uniqueness, culture, and present developmental/conceptual level. From these elements derives the coach's *Professional Agenda*.
- In the Task House, the coach's status and authority is that of a neutral supporter (supervisor) with extensive interpersonal and informational roles to play. (Decisions here are those regarding coaching strategy.)
- Except for the case where the coach is a management consultant in the broader sense, the external coach knows the client's Organizational House only *indirectly*, **through the client**.
- **However, it behooves the coach to know as much as possible about the client's wider work environment, and the company's industry position.**

See Otto Laske, An Integrated Model of Developmental Coaching, Coaching Psychology Journal, 1999, vol. 51.3.

Coaching Emphasis in the Houses

- In the Self House, emphasis is on the client's uniqueness ('self') in all of its facets, behaviorally and developmentally, as it informs the client's *Professional Agenda*.
- In the Task House, emphasis falls on the client's concrete tasks and role functioning deriving from his/her formal status and authority, especially the integration of the self with different roles.
- In the Organizational House, emphasis falls on the *mental frames* used by the client in conceptualizing the organization:
 - emphasis on command structure, division of labor, and internal business process [structural perspective]
 - emphasis on partaking of political coalitions [political perspective]
 - emphasis on the relationship between individual and organizational needs [human resources perspective]
 - emphasis on organizational culture, including multicultural issues [symbolic perspective].

Cognitive Coaching

- As long as you (our your clients) think of knowledge as absolutely certain, fluidity of thinking is nil; in fact, *thinking* then equals *believing*.
- When people wake up to the realization that knowledge is constructed by the mind, and is based on hypothesis formulation and testing, they begin to gain cognitive fluidity.
- As they find different ways of justifying beliefs in what is true, they reach different, higher epistemic positions.
- **‘Cognitive coaching’ requires the coach to be ahead of the client in terms of dialectical thinking (using the I- and R-Transforms).**
- The best way to master cognitive coaching is to learn and practice dialectical Thought Forms.

Practice Reflections

1. Which of the cognitive structures introduced in this section – epistemic position, phase of dialectical thinking, order of information processing (Stratum) -- is most difficult for you, and why?
 - What happens if you make yourself aware of your present focus of attention (P, C, R, T) [classes of Thought Forms]?
 - On what Stratum would one find most of your coaching clients?
 - In which of the Three Houses are you most ‘at home’ as a coach, and what floors of which Houses do you hesitate to enter? (See Laske, 1999, ‘An Integrated Model of Developmental Coaching’.)
 - In your view, which House is most suited for social-emotional coaching?
 - Which House is most germane to cognitive coaching?
 - If you had to decide between doing behavioral, cognitive, or developmental coaching, what would be the criteria?

Social Emotional Development (ED)

[Module A]

Defining work capability in terms of level of cognitive development – level of sense making – alone is not sufficient; we also need to take into account a client's social-emotional maturity.

Vocabulary

- In the following section, we are learning a number of new concepts.
- Be patient with yourself as you make them your own.
- They are all geared to ‘Developmental Stage’ (used interchangeably with ‘Developmental Level’):
 - Meaning Making
 - Social-emotional stage (“main” and “intermediate”); also: ‘developmental structure’
 - Center of Gravity
 - Risk-Clarity-Potential Index (RCP)
 - Developmental shift
 - Developmental listening
 - Interview prompts

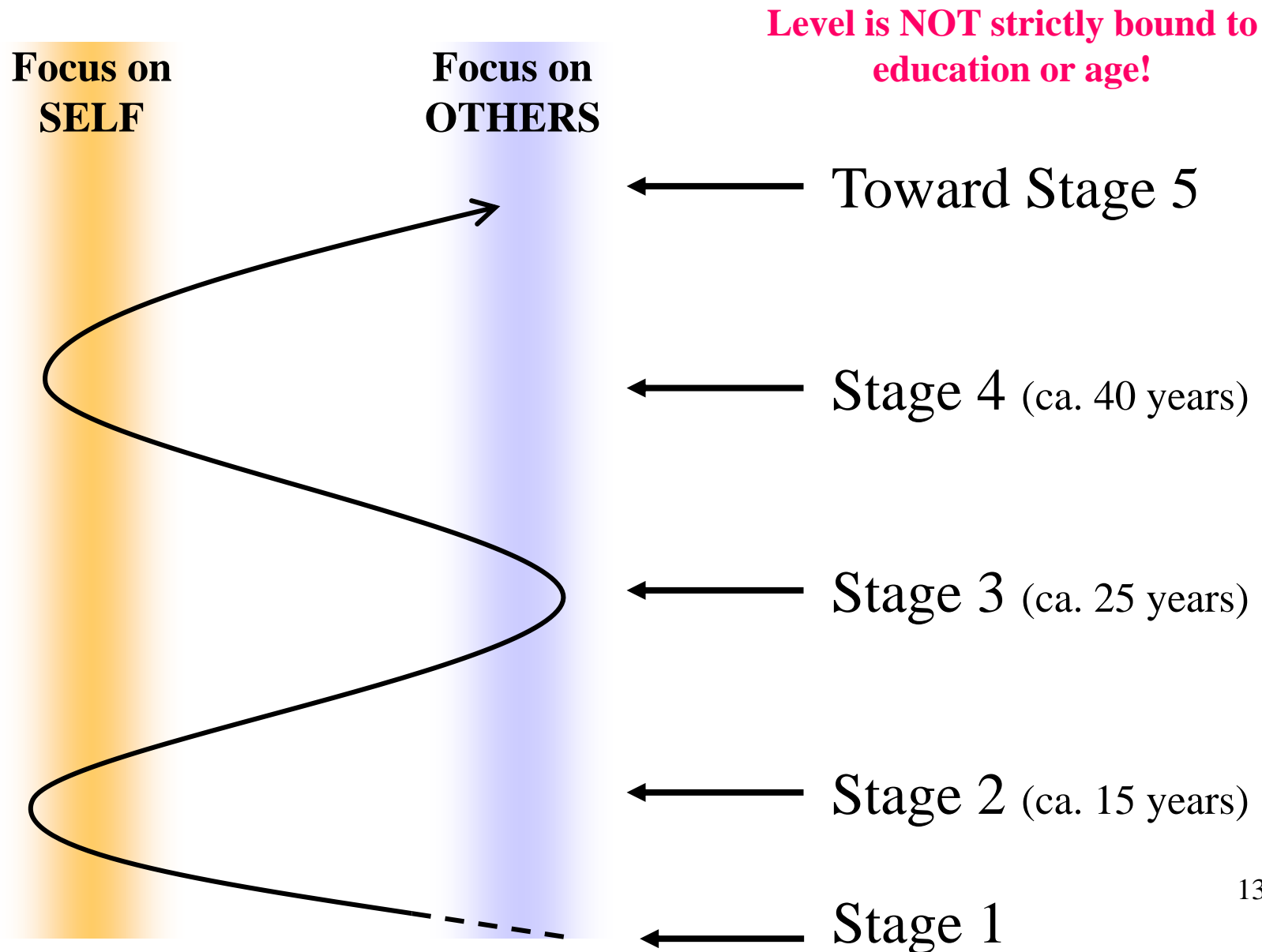
Cognitive and Social-Emotional Development

- Social-emotional development is based on one of the most fundamental abstractions in human life, namely SELF and OTHER, and these abstractions are ‘lived’ differently depending at different developmental stages.
- **We can view social-emotional development as a manifestation of cognitive development, especially the mind’s journey from Understanding to Reason.**
- From this point of view, what changes over the life span is the readiness of the individual:
 - to grasp Self and Other as **abstractions** instead of concrete persons
 - to **coordinate** Self and Other in an increasingly abstract and fluid way.

Notion of Social-Emotional ‘Stage’

- The cognitive difference of Self and Other appears in individual life as the tendency of wanting to be separate at the same time that one wants to be included in a group with others.
- This existential tension is life-long, and is resolved differently at different positions along the life span (stages).
- Self and Other are initially *merged* (Stage 1), and then seen as *opposites*, one being the other’s tool (Stage 2; **instrumentalist** stage)
- In a further step, ‘Other’ and others are *internalized*, thus becoming part of the Self which is increasingly determined by its Other (Stage 3).
- From this **other-dependent** state emerges a **self-authoring** position in which for the first time Self is experienced *as an abstraction*, more precisely a **SYSTEM** (stage 4).
- Beyond this social-emotional stage, ‘Self’ becomes linked to ‘Other’ as a matter of course. We say that the individual has become **self-aware**.

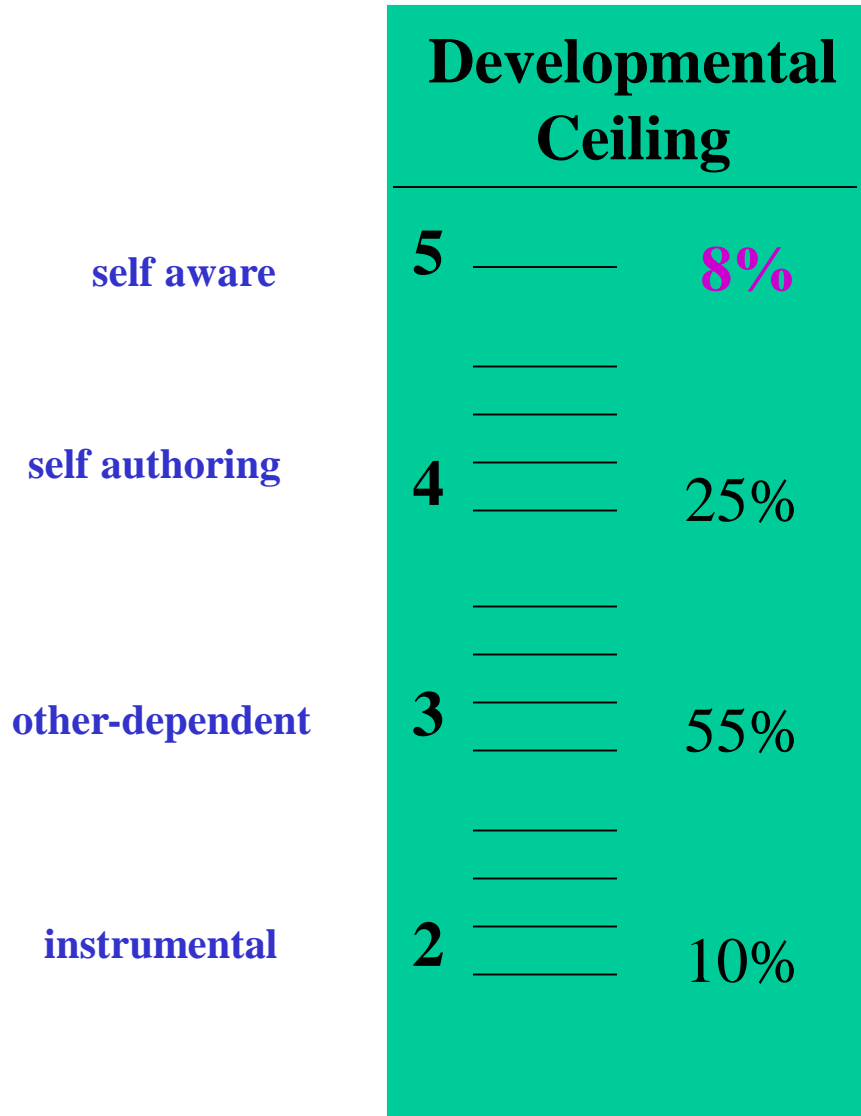
The Social-Emotional Journey of Consciousness



Social-Emotional Stage Implies An Epistemic Position

| Stage | Relationship of 'Self' (S) to 'Other' (O) | Approximate Epistemic Position as to the Nature of Truth |
|----------|---|--|
| 1 | S is merged with O | 1 |
| 2 | S and O are opposites, with O subordinate to S (and an instrument for S) | 2 |
| 3 | S internalizes O, becoming defined by O | 3-4 [phase 1 of dialectical thinking] |
| 4 | S experiences 'itself' as a system related to O which is a different, 'other' system | 5 [phase 2 of dialectical thinking] |
| 5 | S knows to be incomplete without O, and is dialectically linked to O with which it shares common ground | 6-7 [phases 3-4 of dialectical thinking] |

Adult Developmental Attainment in Evolved Societies

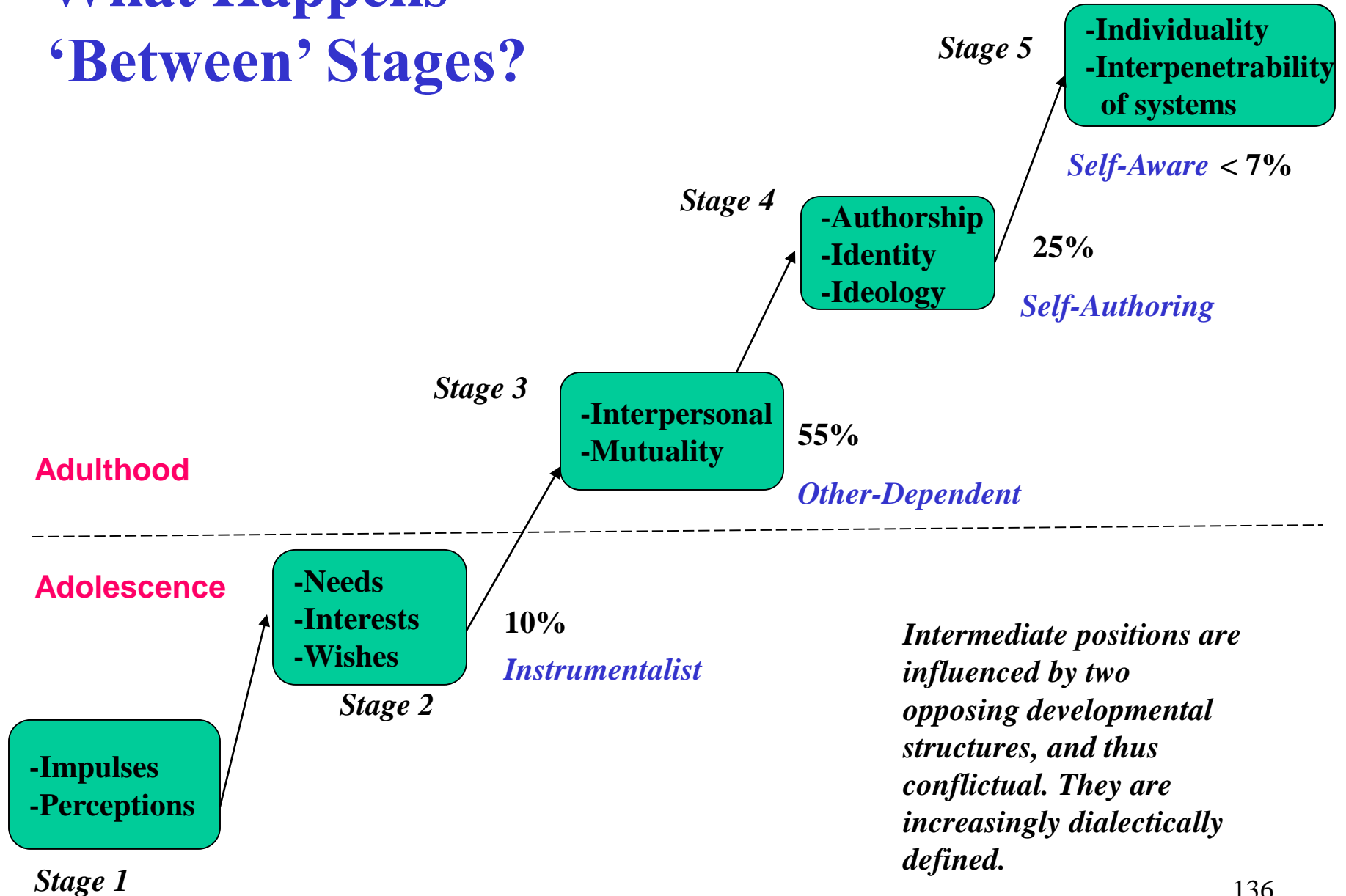


To the left are 4 main levels, each comprising 4 intermediate levels. These sublevels indicate degrees of advancing toward the next following level. As the percentages on the right indicate, most individuals remain on level 3, while 25% of individuals reach level 4, and 8% reach level 5. The names of the levels are meant to indicate a crucial feature of each of the levels of social-emotional potential.

Social-Emotional Stratification of the Social World

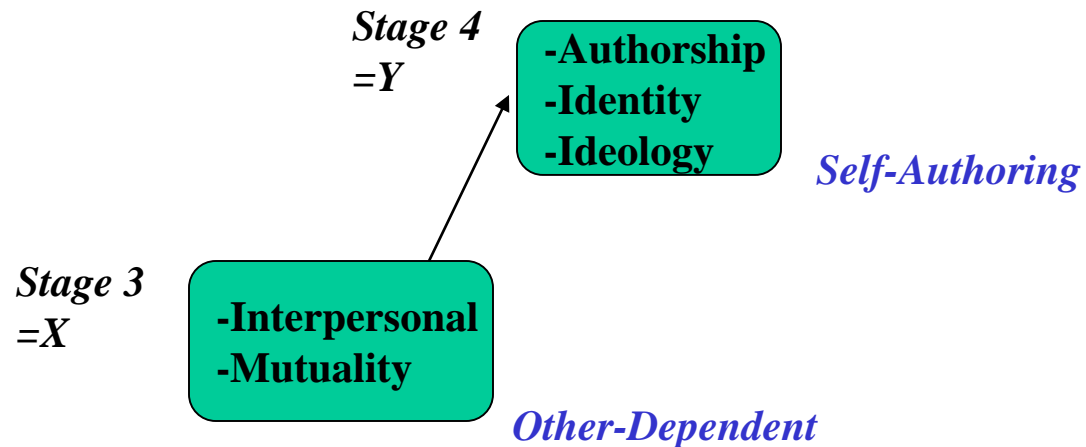
- As shown, the social world we live in is social-emotionally **stratified** in a way not very different from the way in which organizations are structured in terms of different cognitive levels or Strata.
- Since social-emotional stage and cognitive levels are linked, consultation which neglects to take this developmental stratification into account for the sake of ‘equality’ is “kidding itself.”
- Equality does not mean equality of developmental levels but equality of opportunity of manifesting one’s potential capability.
- Thus, there is no “contradiction” whatsoever between equality and developmental stratification or hierarchy (Jaques, 1994).

What Happens 'Between' Stages?



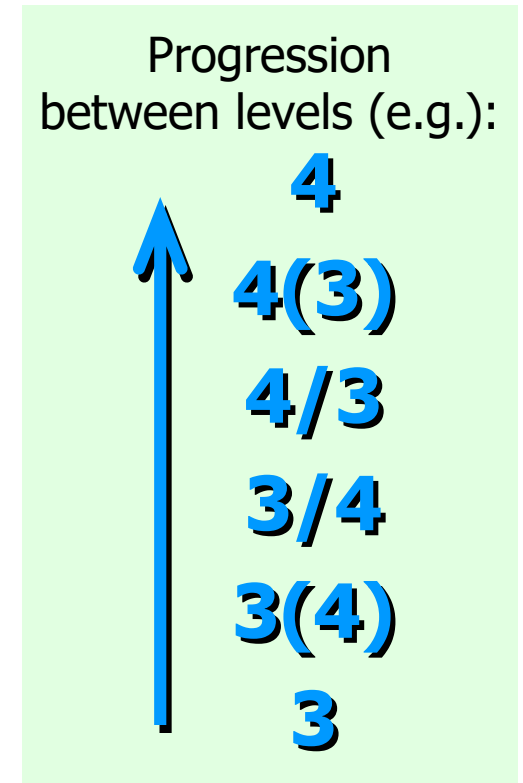
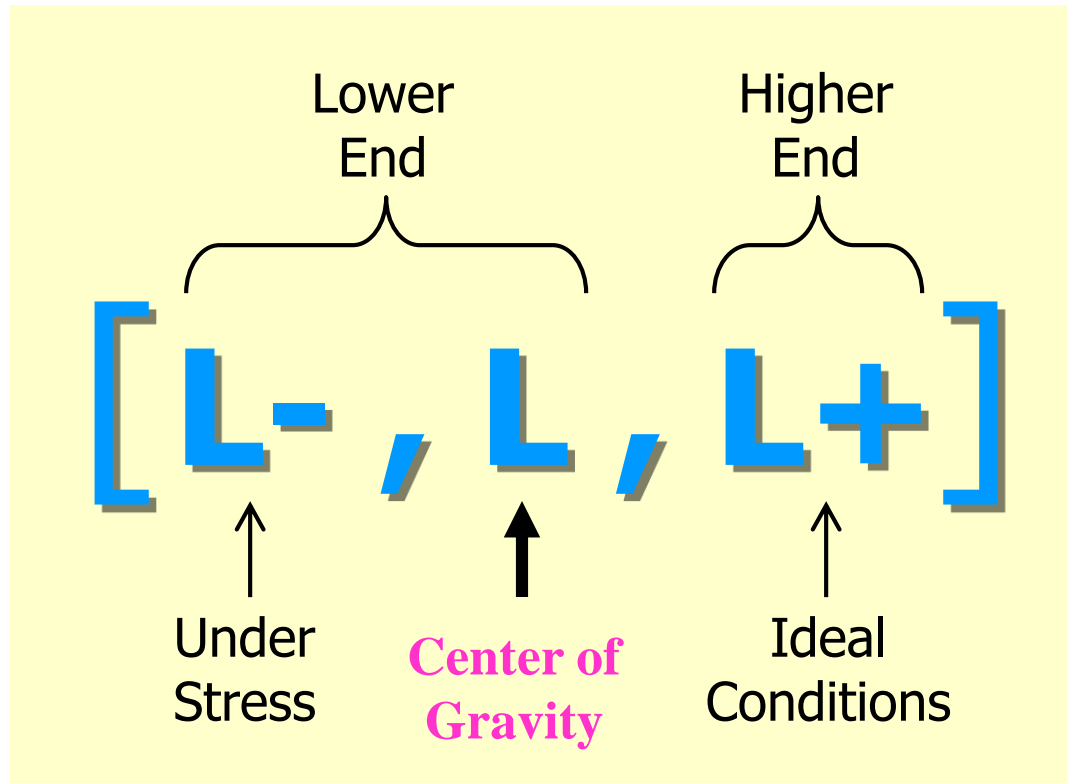
Intermediate Stages

Example



- Since **consciousness is an oscillation**, nobody ever lives at a single stage.
- Rather, there is a **Center of Gravity**, L , associated with a lower ($L-1$) and higher level ($L+1$). The lower stage defines *risk*, the higher, *potential*.
- We notate four intermediate stages as:
$$X(Y) = 3(4); X/Y = 3/4; Y/X = 4/3; Y(X) = 4(3).$$
- The turning point toward the higher stage is Y/X , here $4/3$, where the higher stage is first reached, however tentatively.

Oscillations around a Social-Emotional Center of Gravity



Structure of Developmental Shifts

3 → 3(4) → 3/4 → 4/3 → 4(3) → 4

↑
A small,
timid step
beyond S-3;
very fragile

↑
Move into a
conflictual
situation,
where the
lower stage
'wins out.'

↑
Turning
point
where the
higher
stage is
first
reached

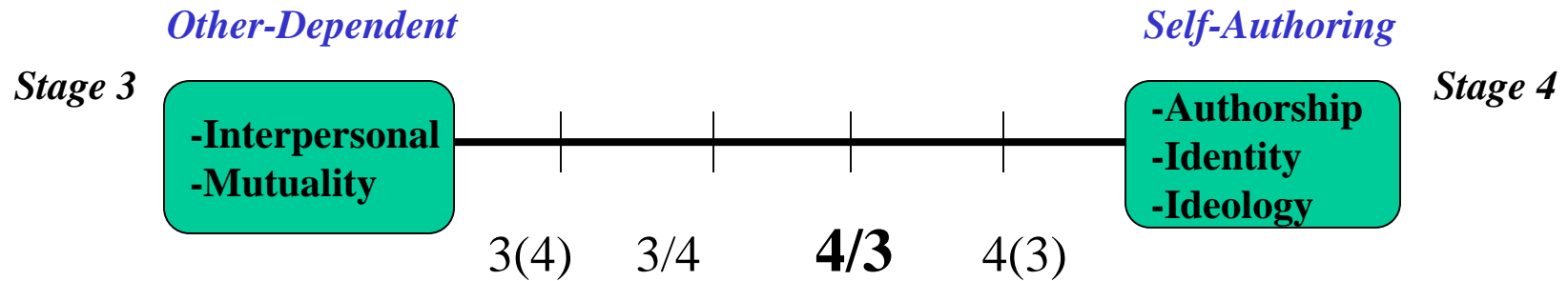
↑
'Espousal'
stage need-
ed for self-
reassurance

↑
Fully realized,
'embodied' higher
main stage

This schema
generalizes to
all social-
emotional
stages

└────────────────────────────────┘
**2 opposed stages operating
simultaneously: conflict;
coaching may do much good.**

Risk-Clarity-Potential Index (RCP)



- We ascertain through *interview* where a client's center of gravity is, say 4/3.
- We also ascertain the client's total range, from lowest to highest (typically 3 stages), say 3/4 to 4(3).
- By selecting about 15 “structurally relevant” passages (*bits*) from an interview, we give a *weighting* to the client's score, notated in ‘{...}’, say 4/3 {3:7:4} (meaning: 3/4 = 3, 4/3 = 7, 4(3) = 4, altogether 14 passages).
- The expression in curly brackets is the RCP, where L-3/4 defines developmental RISK (of regression) while L-4(3) defines dev. potential.
- The RCP is central in building realistic coaching plans.

Meaning of the ‘RCP’ Index (Laske, 1999)

The ‘risk-clarity-potential index’ expresses the *stability* with which an individual presently lives at a particular social-emotional level, and the individual’s potential to move on to a subsequent level.

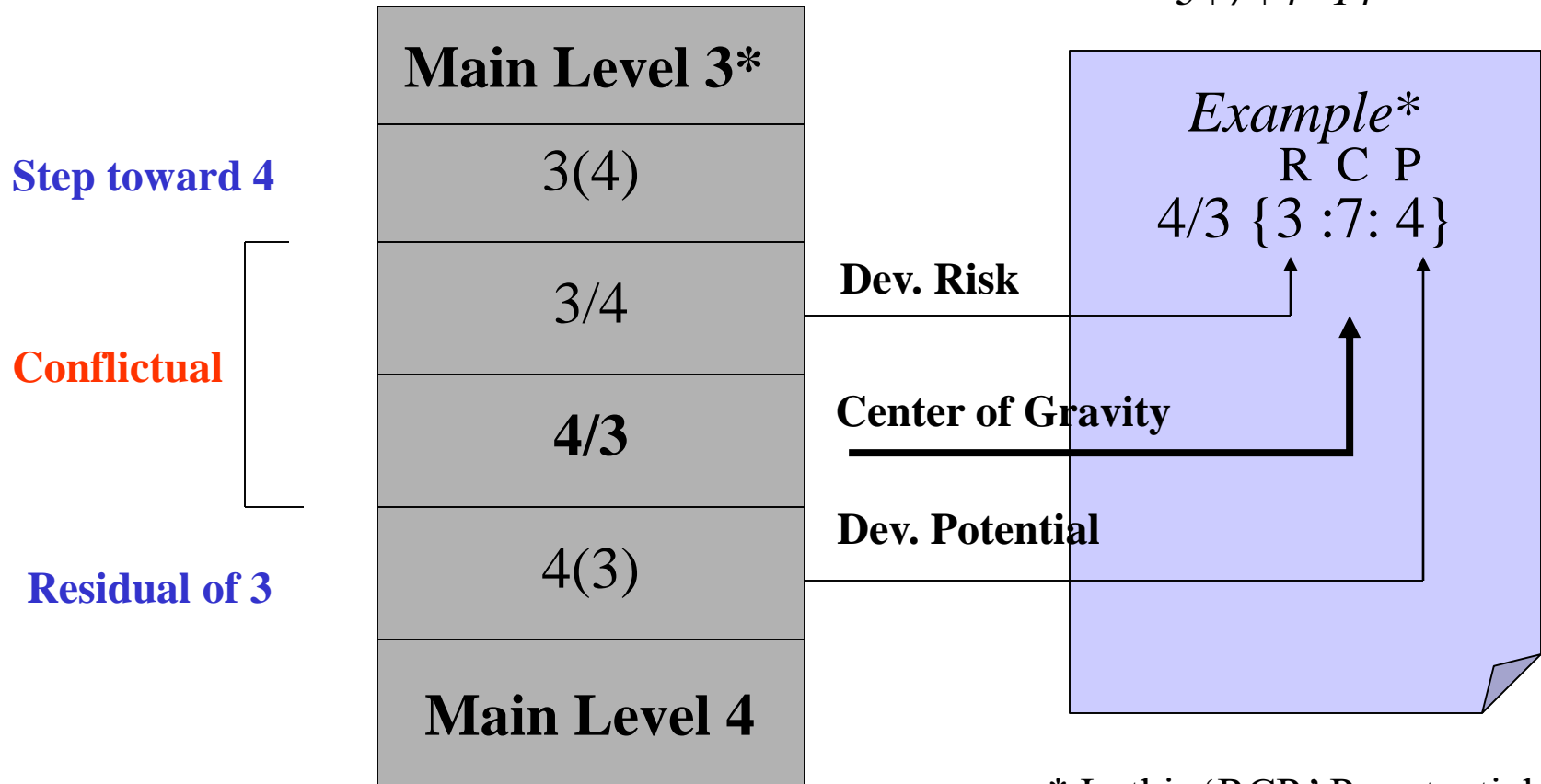
- Example:

An individual with RCP {3:6:4} is solidly embedded in the main level (L), with a moderate risk of ‘regressing’ to a lower level (L-1), which is, however, compensated for by a higher potential to proceed to the next higher level (L+1). This individual is in a position of ‘high developmental stress,’ reaching for a higher level of self awareness than s(he) presently holds (and thus in need of scaffolding & support).

Computing the RCP

No. of interview passages scored:

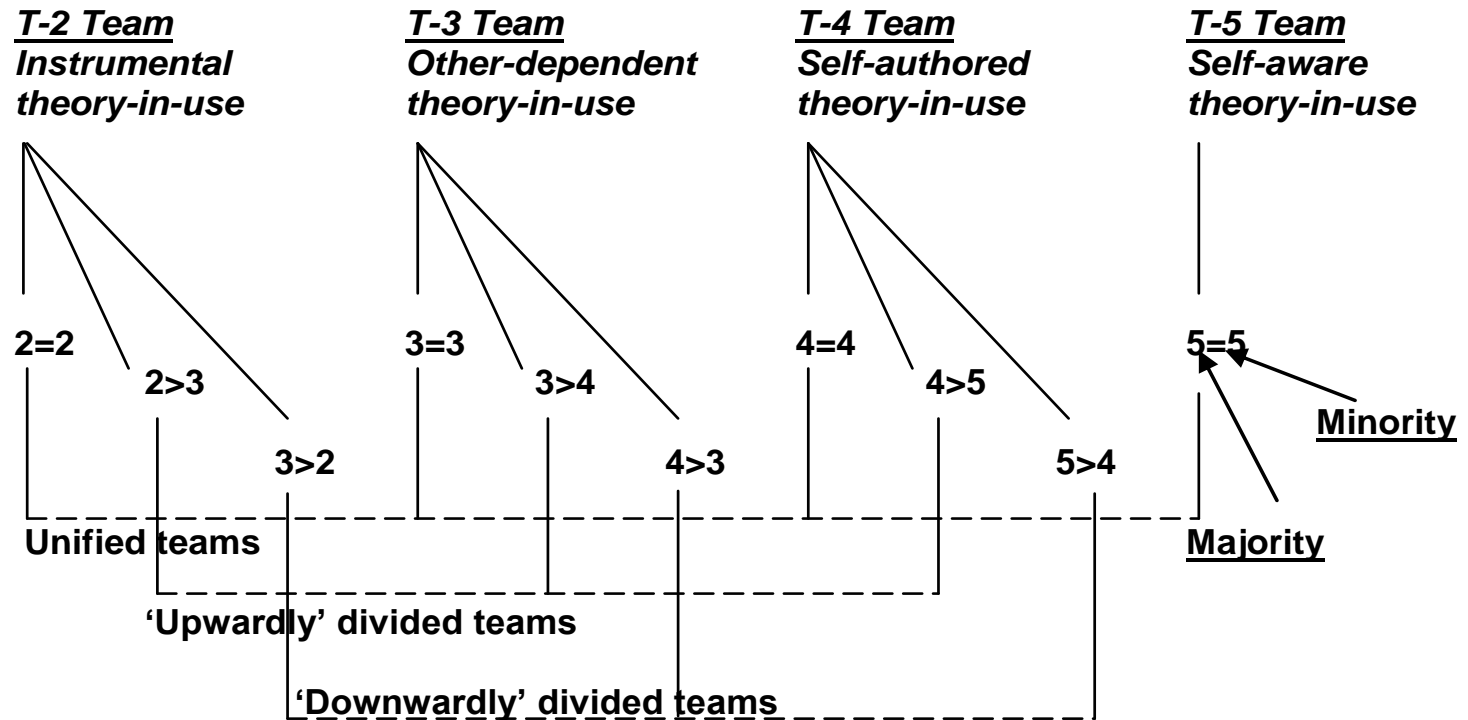
$$3+7+4=14$$



* 'recursive,'
recurring on all levels


* In this 'RCP,' P=potential outweighs R=risk, the main level being strongly articulated

Social-Emotional Team Typology



Teams are typically developmentally divided (rather than unified). We speak of ‘downwardly divided’ teams if the *majority* of team members resides at a *higher* level than the minority, and of ‘upwardly divided’ in the opposite case.

Social-Emotional Progression of Adults – Individuals vs. Teams



| ED [Individuals]* | ED [Teams]** |
|-------------------|------------------------|
| 5(4) - 5 | Unified S-5 |
| 5/4 | Downwardly divided S-5 |
| 4/5 | Upwardly divided S-4 |
| 4 – 4(5) | Unified S-4 |
| 4/3 – 4(3) | Downwardly divided S-4 |
| 3(4) – 3/4 | Upwardly divided S-3 |
| 3 | Unified S-3 |
| 2/3 - 3(2) | Downwardly divided S-3 |

Crucial developmental
boundary for
professional work
[‘post-bureaucratic
boundary’]

*Lahey et al. (1988) & Laske (1999)

** Laske, 2006 (MHD vol. 1)

BRIEF OVERVIEW OF STAGES

| Level | Characteristic |
|-------------|--|
| 2 | Ruled by needs, desires, wishes; 'two world hypothesis' |
| 2(3) | Beginning to be influenced by physical and imagined others |
| 2/3 | Conflicted over risking exposure to others' feelings and thoughts; resolution to level 2 |
| 3/2 | Conflicted, but with more detachment from own needs and desires, resolution to level 3 |
| 3(2) | Able to be influenced by imagined others and their expectations |
| 3 | Made up of others' expectations; 'our world' hypothesis |
| 3(4) | In need of 'handholding' by physical other to act on own behalf |
| 3 /4 | Conflicted over, and unsure about own values, direction, worth, capability |
| 4/3 | Conflicted, but with more detachment from internalized viewpoints, resolving to level 4 |
| 4(3) | Nearing self-authoring, but remaining at risk for regression to others' expectations |
| 4 | Fully self-authoring decision maker respecting others; 'my world' hypothesis |
| 4(5) | Begins to question scope and infallibility of own value system; aware of own history |
| 4/5 | Conflicted over relinquishing control and taking risk of critical exposure of own view |
| 5/4 | Conflicted, but increasingly succeeding in 'deconstructing' self; committed to flow |
| 5(4) | Fully committed to deconstructing own values, benefitting from divergent others |
| 5 | No longer attached to any particular aspect of the self, focused on unceasing flow |

Stage Characteristics

Social-Emotional Center of Gravity

Clare Graves, developmental researcher, writes:

*Briefly, what I am proposing is that the psychology of the mature human being is an unfolding, emergent, oscillating spiraling process marked by progressive subordination of older, lower-order behavior systems to newer, higher-order systems as man's existential problems change. Each successive stage, wave, or level of existence is a state through which people pass on their way to other states of being. **When the human is centralized in one state of existence (center of gravity), he or she has a psychology which is particular to that state.** His or her feelings, motivations, ethics and values, biochemistry, degree of neurological activation, learning system, belief systems, conception of mental health, ideas as to what mental illness is and how it should be treated, conceptions of and preferences for management, education, economics, and political theory and practice are all appropriate to that state. (Summay Statement, "The Emergent, Cyclical, Double-Helix Model of the Adult Human Biopsychosocial System," Boston, May 20, 1981; Wilber, 2000, 40; 227).*

Changing Orientations Across Adult Stages

| Orientation | L- 2 [10%]* | L-3 [55%] | L-4 [25%] | L-5 [10%] |
|-----------------------------------|---------------------------------------|--|-------------------------------------|---|
| <i>View of Others</i> | Instruments of own need gratification | Needed to contribute to own self image | Collaborator, delegate, peer | Contributors to own integrity and balance |
| <i>Level of Self Insight</i> | Low | Moderate | High | Very High |
| <i>Values</i> | Law of Jungle | Community | Self-determined | Humanity |
| <i>Needs</i> | Overriding all others' needs | Subordinate to community, work group | Flowing from striving for integrity | Viewed in connection with own obligations and limitations |
| <i>Need to Control</i> | Very High | Moderate | Low | Very low |
| <i>Communication</i> | Unilateral | Exchange 1:1 | Dialogue | True Communication |
| <i>Organizational Orientation</i> | Careerist | Good Citizen | Manager | System's Leader |

The Level-2 ‘Instrumentalist’ Culture

| | |
|-----------------------------------|---------------------------------------|
| Orientation | L-2 [10%] |
| <i>View of Others</i> | Instruments of own need gratification |
| <i>Level of Self Insight</i> | Low |
| <i>Values</i> | Law of Jungle |
| <i>Needs</i> | Overriding all others’ needs |
| <i>Need to Control</i> | Very high |
| <i>Communication</i> | Unilateral |
| <i>Organizational Orientation</i> | Careerist |

Individuals of this culture define themselves by their own immediate wants and needs. They are focused on preserving their self image regardless of its accuracy, and reject any feedback that is at odds with their own rigid self perception. They will follow convention if it is to their advantage but will take recourse to deception when convinced they are safe to do so. In a position of power, they will micromanage and manipulate others to their own advantage, and show unbridled careerism. (In political terms, these are Adorno’s “authoritarian personalities.”)

Journey to Stage 3

- ***Journey toward stage 3:*** is about bringing inside the self others' perspective. My new perspective now includes my ability to imagine your taking a perspective on me, and to bring inside myself the mediation of these separate perspectives, -- which previously were negotiated only as a matter of social consequence in the external world.
- ***Developmental risk:*** loss of imagined self containment
- ***Meaning of 'internalizing another's perspective':*** ability to hold more than a single view:
 - *First, a bringing inside the self another's or others' perspectives which were before considered only from the viewpoint of my own independent enterprises.*
 - *Second, an ability to derive my own thoughts and feelings as a direct consequence of how the other is thinking and feeling, and not solely as a consequence of what the other will DO in response to my actions*

The Level-3 ‘Other-Dependent’ Culture

| | |
|-----------------------------------|--|
| Orientation | L-3 [55%] |
| <i>View of Others</i> | Needed to contribute to own self image |
| <i>Level of Self Insight</i> | Moderate |
| <i>Values</i> | Community |
| <i>Needs</i> | Subordinate to community, work group |
| <i>Need to Control</i> | Moderate |
| <i>Communication</i> | Exchange 1:1 |
| <i>Organizational Orientation</i> | Good Citizen |

Individuals of this culture define themselves based on expectations of external and/or internalized Others. They find it difficult to know where they end and others begin. They are NOT acting from their own value system since they are unable to disentangle themselves from *internalized others* (conventions), and therefore don't make good change agents, but rather followers. In any population, they form the majority.

Journey to Stage 4

While there is a social ‘forcing function’ for moving people from Stage 2 to 3, there is no such function beyond Stage 3, so that movement upwards is, from there on, entirely ‘from the inside out.’

- ***Journey toward stage 4:*** starting with the distinction between physical others, internalized others, and ‘myself,’ individuals inch toward a sense of what is “other than me;” they don’t get social help in this, and are thus on their own.
- ***Developmental risk:*** loss of imagined safety as member of a physical and/or internalized group, thus loss of the communal or shared self
- ***Meaning of ‘forming a theory of self:’***
 - *First, people must internally distance themselves from their need of being acknowledged and accepted by the community; they must be able to ‘go it alone’ if their own inner voice tells them to do so*
 - *Second, people must develop a better and better notion of their uniqueness, of what makes them different from others, and find the courage to make that difference known to others while respecting others’ otherness*
 - *Third, people must develop an ethical theory of integrity of self*

The Level-4 ‘Self-Authoring’ Culture

| | |
|-----------------------------------|-------------------------------------|
| Orientation | L-4 [25%] |
| <i>View of Others</i> | Collaborator, delegate, peer |
| <i>Level of Self Insight</i> | High |
| <i>Values</i> | Self-determined |
| <i>Needs</i> | Flowing from striving for integrity |
| <i>Need to Control</i> | Low |
| <i>Communication</i> | Dialogue |
| <i>Organizational Orientation</i> | Manager |

Individuals of this culture are defined by their own value system and ‘integrity.’ They can manage themselves, and therefore others. However, they have difficulty standing away from their idiosyncratic life- and career history in a critical way, and may be defensive when asked to do so. As change agents, they will try to impose their own value system on others for the better of the community, and may find it challenging to go beyond merely respecting others.

Journey to Stage 5

While there is a social ‘forcing function’ for moving people from Stage 2 to 3, there is no such function beyond Stage 3, so that movement upwards is, from there on, entirely ‘from the inside out.’

- ***Journey toward stage 5:*** starting with the distinction between my own identity and that of others, and feeling a keen need to work with others as ‘midwives’ of my own development, I gradually begin to see the limits of my own character, history, assumptions, certitudes, and self-constructed identity, and therefore the limits up to which I can impose my values and perspectives on others.
- ***Developmental risk:*** loss of the self-authoring self, by risking exposure of my own limitations to others’ intimate participation in my self development
- ***Meaning of ‘abandoning my self-authored self’ [‘being in the flow’]:***
 - *First, people must be shaken out of their unconscious identity with their life history and “successes,” to grasp the limitedness of their own universe*
 - *Second, people must embrace knowledge sources other than intellect, such as ‘heart’ and ‘spirit,’ thereby bringing a sacrifice of mere rationality; but they can give up only as much rationality as they have previously acquired*
 - *Third, people must extend what is ‘real’ for them to a multi-perspectival view in which many certainties can be balanced in search for the authentic action required at a particular moment*

The Level-5 ‘Self Aware’ Culture

| | |
|--|---|
| Orientation | L-5 [10%] |
| <i>View of Others</i> | Contributors to own integrity and balance |
| <i>Level of Self Insight</i> | Very High |
| <i>Values</i> | Humanity |
| <i>Needs</i> | Viewed in connection with own obligations and limitations |
| <i>Need to Control</i> | Very low |
| <i>Communication</i> | True Communication |
| <i>Organizational Orientation</i> | System’s Leader |

Individuals of this culture think of and treat others as midwives of their own development, thereby modeling ongoing learning, self-inquiry, and risking critical self-exposure. Whatever their expertise, they are no longer attached to any particular aspect of the self, but are rather focused on ‘being in the flow’ where anything may happen. They are attuned to unceasing change and openly share their apprehensions, insights, and doubts for the good of everybody they work and live with.

Journey beyond Stage 5

Susan Cook-Greuter, “Postautonomous Ego Development, 1999 (pp.80-81)

- ***Journey toward higher stages:*** as far we know today, developmental stages extend further to “post-autonomous” stages where maximal subject-object separation is replaced by universal embeddedness
- ***Developmental risk:*** journey into spirituality beyond existing developmental grounding is fraught with risk of overextending existing resources
- ***Meaning of ‘universal embeddedness’***
 - *First, keen ‘construct awareness,’ meaning pervasive awareness of the limitation of language in capturing what is real*
 - *Second, insight into one’s own languaging as a way of limiting awareness for oneself and others*
 - *Third, loss of the permanent object world by further de-centering from self (subject)*
 - *Fourth, cyclical rather than linear experience of causality*
 - *Fifth, immersion in the phenomenal flux, and access to layers and layers of symbolic abstraction*

Understanding Stage Transitions

[Developmental Shifts]

- The movements within individual ranges – from S-2 to S-3, from S-3 to S-4, etc. – are **movements in thought** that translate into different ways of *making meaning* of social reality.
- In what follows, we'll catch a glimpse of such a transition.
- Your task is to understand clearly the position from which the journey is starting, and to arrange 4 fragments [A to D] – exemplifying intermediate stages – in the right order so they lead to next higher (main) stage.

This is the stage from which the evolution begins ...*

I have just been gathering data for the decision I and my boss have to make, rather than going ahead with the decision on my own, or waiting for the boss to come in. He really prefers to delegate, and I just didn't take up the challenge to make a decision on my own. But now I realize that he really doesn't mind if I make a decision that has to be made, and that he really likes me to do that because then he doesn't feel as if he's depriving me of authority, or as if he really should be making the decision. Before, it really was a strain between us, because we didn't get to make decisions as much as I really found necessary and wanted to, or else I harassed him about making the decision, and then felt guilty about it. Making the decision by myself occasionally makes both of us happier and even the relationship between us smoother.

* Adapted from L. Lahey et al., Subject-Object Interview Handbook, 1988.

Where to Begin

- In tracing the developmental journey from the previous slide, you first want to ask yourself what **developmental range** the speaker is in, S-1 to S-2, S-2 to S-3, etc.
- You want to justify to yourself that your hypothesis is correct, by asking yourself ‘devil’s advocate’ questions like: “could it be another stage?” (why should it be this one?)
- When certain, you want to consider the **characteristics of the journey** from the speaker’s start position (stage) to the next higher, main stage (e.g., S-2 to S-3): *what is the speaker grappling with as s(he) ascends to another level of meaning making?*
- For any new fragment (A to D), ask yourself what is different from the start position, and then sequence the fragments in the ‘right’ order. In class, justify your outcomes.

What is the correct sequence of the following four illustrations, AND WHY?

A.

Now I just make a decision by myself, and don't wait for his. When I need to solve an important problem, I'll tell him about it and say: "Boss, I'd like you to support me in this, else I am going ahead." Of course, he finds no time for me, and I'd enjoy work more if he did, but at least, I get to decide. To tell you the truth, though, sometimes I wonder if doing it this way is much better than delegating, because even though he doesn't say that much, I can see that it hurts his feelings that I just go ahead without him, and I feel like I'm being a bad employee. Why don't I just wait for him to make the decision? It's not so bad, and he is so busy! But then I get mad and think: "Don't I have the right to act on my own judgment? It isn't fair of him to make me feel guilty." And so go ahead, but I end up feeling guilty about it.

B.

I just decide by myself now. My boss doesn't like it a lot of the time, but I think it's not only better for me but better for our relationship. I have just had to accept the fact that there are some things I am not going to get from him, and he has to do the same thing. He's working with somebody who has certain expertises, and though he does not fully share them, he has to understand that I am competent in what I do, and will thus make decisions on my own. I know he doesn't like it, but I try not to dwell on that. And I'm aware that there's a part of me that doesn't want him to dwell on it either—I find it much easier when he doesn't dwell on our different competences.

WHAT MAKES IT HARD IF HE DOES DWELL ON THAT. *Well, I just have to work harder to remember that although I can be sad about his not helping me decide, I do think it's very important for me to honor my own interests. IT'S VERY IMPORTANT. Yes, because I'm not me if I don't.*

Interviewer questions in CAPITALS.

C.

But now I am making decisions at work on my own if that's what I want to do. HOW DOES THAT WORK. It's not good for me to be so dependent on my boss. He himself helps me to see that. He keeps saying I have to make more of the decisions at work by myself, and I really do feel that it's important for me to decide myself. WHY IS THAT IMPORTANT TO YOU, MAKING DECISIONS ON YOUR OWN. I'm an adult, and I think it is time that I started making my own decisions, don't you think?

D.

I just make the decision on my own now. I feel guilty about it sometimes, because I know my boss would rather be consulted, and would want me to wait for his input. I can see him feeling mad about my decision, and I feel myself changing my mind, right on the spot, that's not right for me to make my decision, and that just stops me in the tracks. **SO WHAT HAPPENS.** Sometimes I make the decision, and sometimes I don't. **HOW ARE YOU ABLE TO MAKE DECISIONS UNDER THESE CIRCUMSTANCES.** I remind myself that it doesn't make sense to wait for him, because then I only end up punishing him for my decision not to make up my own mind. We both end up unhappy then.

How to Gather Developmental Evidence

- Even though the Developmental Coaching Program is not teaching interviewing in depth, it's good to know that it is only by structured interview that you can elicit valid social-emotional and cognitive data.
- This happens differently in social-emotional and cognitive interviewing since the “prompts” used by the interviewer are different.

Social-Emotional Prompts

- **Success:** can you think of a time in your recent work where you felt somewhat jubilant, feeling you had achieved something that was difficult for you, or that you had overcome something?
- **Changed:** if you think of how you have changed over the last year or two, or even months, regarding how you conduct your life, what comes to mind?
- **Control:** can you think of a moment where you became highly aware that you were losing control, or felt the opportunity of seizing control, what occurs to you?
- **Limits:** if you think of where you are aware of limits, either in your life and/or work, something you wish you could do but feel excluded from, what comes up for you?
- **Outside of:** as you look around in the workplace or the family, where do you see yourself as not fitting in, being an outsider, and how does that make you feel?
- **Frustration:** if you think of a time where you were in a situation not of your choosing, where you felt totally frustrated, but unable to do something about it, what emerges?
- **Important to me:** if I were to ask you ‘what do you care about most deeply,’ ‘what matters most,’ are there one or two things that come to mind?
- **Sharing:** if you think about your need of sharing your thoughts and feelings with others, either at work or at home, how, would you say, that plays out?
- **Strong stand/conviction:** if you were to think of times where you had to take a stand, and be true to your convictions, what comes to mind?
- **Taking risks:** when thinking of recent situations where you felt you were taking, or had to take, risks, either to accomplish or fend off something, what comes to mind?

Cognitive Prompts

- Using prompts in cognitive interviewing is more complex.
- We use the Four Quadrants of Dialectic as well as the Three Houses to ascertain a client's cognitive profile.
- These two pillars are independent: the quadrants are represented by four classes of thought forms, and these can occur and be used in each of the Houses.
- Thus, there is no pre-established harmony between the Quadrants (or classes of dialectical thought forms) and the Houses.
- Instead, we use *Guide Questions* for the Houses that introduce to them, and then amplify these questions by *Probe Questions* depending on the flow of the conversation. You'll get a better idea of this in Module B.

Practice Reflections

1. How up to now have you assessed a client's maturity?
2. How up to now have you assessed your own developmental level in relation to the client's?
3. How have you settled the ethical question as to whether you are sufficiently developed to take on a client?
4. How does the knowledge offered in this section change your mind as to what is ethical behavior in coaching?
5. How does the knowledge offered in this section change your mind as to what is professional coaching?
6. If you had to give feedback to a client in terms of his or her social-emotional level, how would you proceed?

Capacity Profile (NP)

[Module C]

Capacity [Ego-strength] is what holds competences in place, enabling their optimal use.

Human Capacities Are Grounded in Capability and Ground Competences

**Grounded in
Capability, Filtered
through Capacities**

**Symptomatic,
strengths &
challenges**

**Fundamental,
depends on Stratum**

Competences
and their Use

Capacities
[NP]

Capability
[CD & ED]

**Frame of
Reference**

Skills, expertises, 'experience,'
aptitudes, ... what can be
learned

Subjective needs, ingrained
attitudes, defenses – what
holds competences in place –
character disposition

Ways of meaning making and
of making sense of the self,
others, and the world – what
grounds capacities and
competences, and determines
their USE

‘Competences’ are used as a function of Capability

Applied Capability and Capacity

- **Capacity** has largely escaped the attention of ‘Human Resources’ Departments (and of the ‘Coaching Community’ as well).
- Even Jaques only acknowledged Capacity as “absence of psychopathology” (‘-T’), -- rather than also the *positive glue* that a person’s ego contributes to work.
- Potential capability can ultimately *become* applied capability [actual work] only to the extent that there is enough Capacity or Ego-Strength to manifest it.
- **Importantly, Capacity carries a pre-adult legacy.**
- Consequently, without understanding a client’s **psychological Capacity for work** one cannot coach *realistically*, either in ‘life’ or in ‘business’ coaching.

Capacity Determines Performance Outcome

- Recalling Jaques's definition of *current applied capability*:

$$CAC=f(CMP * K/S * V * -T),$$

negatively NP assesses '-T,' *absence of psychopathology*.

- Positively, NP assesses the extent to which an individual's motivation (V) and Capacity (-T) are adequate to the Level of work complexity (Stratum) on which a person has organizationally been placed.
- NP details a client's CAPACITY, the psychological disposition that enables competences to be optimally used.
- As a **filter** of potential Capability [when mapped into applied Capability], Capacity determines use of competences, and thus also performance outcome.

Capacity and Ego-Strength

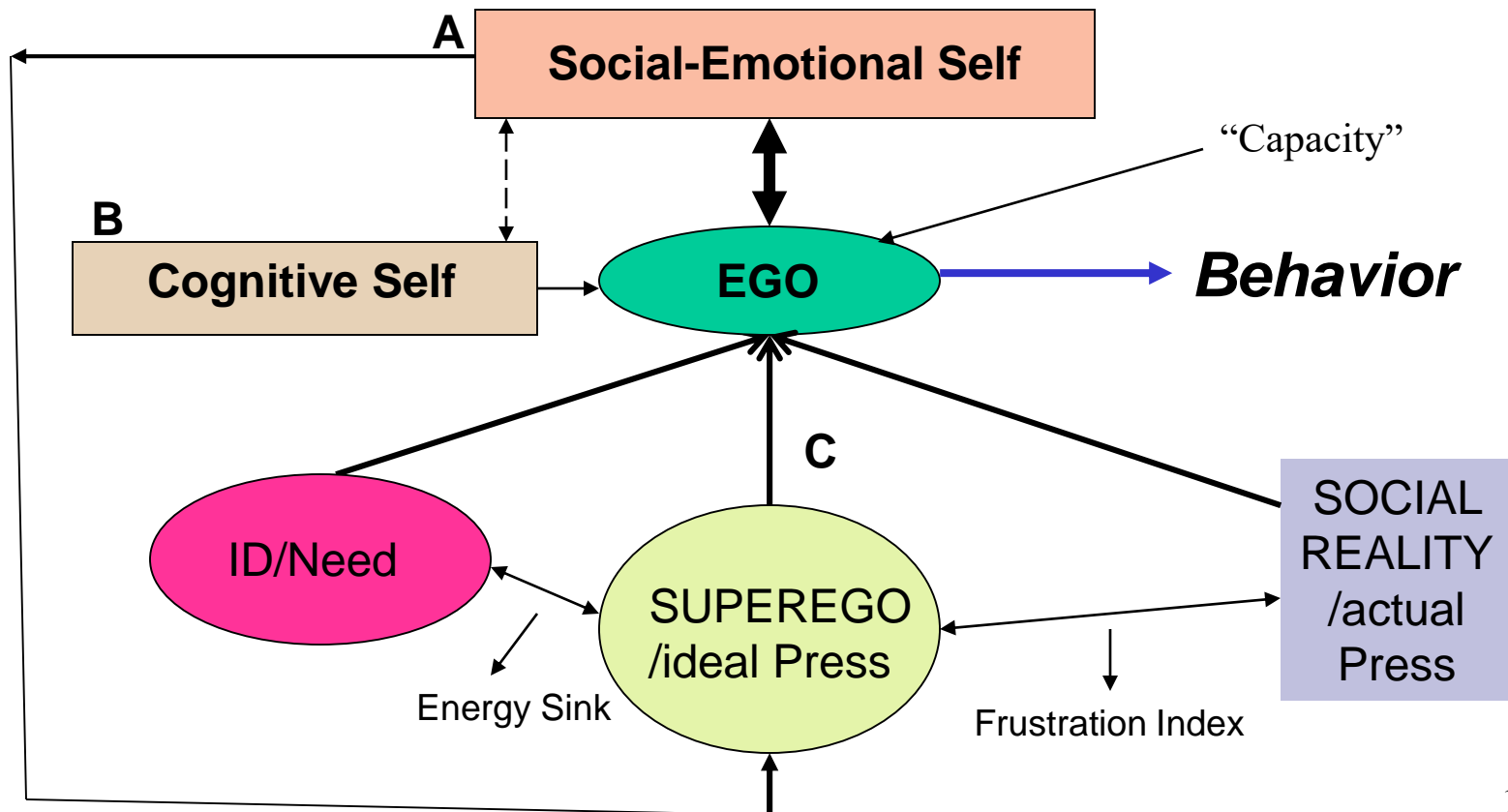
- There is close alignment between Capacity and **ego-strength**.
- From a Freudian perspective, ego-strength is equal to degree of ego-centricity.
- Since developmentally, ego-centricity is diminishing over the life span, ego-strength could be assumed to increase over the lifespan.
- However, a person's pre-adult legacy – experiences of childhood and adolescence – may influence how far ego-centricity in the developmental sense can be 'reduced,' naturally or by process consultation or 'therapy'.
- In the NP Questionnaire, Capacity is conceptualized as a system of two opposing sets of variables, Need and Press, which together form a *closed energy system*. **However, this system is 'open' in the sense that it is 'under adult development.'**

‘Need’ versus ‘Press’ at Work

- The notion in this Freudian questionnaire by H. Murray and M. Aderman is that people have [inborn] **psychogenic needs** carried over from childhood and adolescence which can:
 - be in conflict with each other;
 - remain unfulfilled due to the pressure [ideals] a person imposes on him- or herself to satisfy other needs;
 - be impaired in their gratification by the conflict between two kinds of pressure, ideal (self-imposed) and actual (environment-imposed) press[ure]
 - be better fulfilled if the individual is made aware of the conflicts and gaps that occur between what s(he) is striving for and what s(he) is experiencing as (social) ‘reality.’

Understanding Clients' Capacity Profile

- In the spirit of Freud's **What 'Id' is shall 'Ego' Become**, we can say that people's behavior is the outcome of *how their Evolving Self (CD*ED) manages the relationship of Id, Ego, Superego, and the real world.*



Logical or Dialectical Thinking?

- The strict “logical” distinction between Need and Press and their three clusters of variables may make one think that reasoning about NP data can be based on formal logical thinking.
- However, since Need and Press are SYSTEMS, as are their variables, what is actually required is the ability to relate different systems (class 4 of Thought Forms), or ‘meta-systemic’ thought.
- This is also the case when interpreting NP data developmentally, since different systems are coordinated thereby.
- Constructing a Capacity profile means constructing a ‘big picture’ of the clients strengths and challenges at work, and detailing that picture through elucidation of psychological conflicts and findings in relation to developmental data.

Viewing Capacity Profile Developmentally

- As in the cognitive and social-emotional domains, the notion of low **ego-centricity** is equally central in regard to Capacity Profile.
- In NP, high ego-centricity manifests in the form of a high '*Energy Sink*' (gap between Need and 'ideal Press' (subjective aspiration) and/or a high '*Frustration Index*' (gap between ideal and 'actual Press' (experience of the social environment) [which makes for a low Effectiveness Index].
- We can use view a client's Capacity Profile developmentally, by formulating a 'coaching plan' that takes the client's developmental position, both cognitive and social-emotional, centrally into account.

Structure of the NP Questionnaire

- The Questionnaire's 'Profile Sheet' comprises 3 clusters of 6 variables each, named '**Self Conduct**' (SF), '**Task Focus**' (TF), and '**Interpersonal Perspective**' (IP; another term for emotional intelligence). [See next slide].
- The 18 behavioral variables appear on both sides of the Profile Sheet, Need and Press.
- On the Press side, they indicate 'ideal' as well as 'actual' Press, that is, super-egoic aspirations and experience of social (organizational) reality.
- NP variables are therefore interpreted *differently* for N, iP, and aP.
- The variables' values extend over a 10-step Likert scale from 0 to 9.
- '0' ["too little"] is the opposite of '9' ["too much"], and equally a coaching issue; whereas the values "in the middle" (around the managerial norm not shown on the next slide) represent either normalcy or strength.
- A client's NP profile sheet is thus a summary of clients' behavioral strengths and challenges, and directly suggests **coaching issues**.

Need-Press Profile

NEED

Self Conduct

... 1 ... 2 ... 3 ... 4 ... 5 ... 6 ... 7 ... 8 ... 9

... 1 ... 2 ... 3 ... 4 ... 5 ... 6 ... 7 ... 8 ... 9

... 1 ... 2 ... 3 ... 4 ... 5 ... 6 ... 7 ... 8 ... 9

... 1 ... 2 ... 3 ... 4 ... 5 ... 6 ... 7 ... 8 ... 9

... 1 ... 2 ... 3 ... 4 ... 5 ... 6 ... 7 ... 8 ... 9

... 1 ... 2 ... 3 ... 4 ... 5 ... 6 ... 7 ... 8 ... 9

Task Focus

... 1 ... 2 ... 3 ... 4 ... 5 ... 6 ... 7 ... 8 ... 9

... 1 ... 2 ... 3 ... 4 ... 5 ... 6 ... 7 ... 8 ... 9

... 1 ... 2 ... 3 ... 4 ... 5 ... 6 ... 7 ... 8 ... 9

... 1 ... 2 ... 3 ... 4 ... 5 ... 6 ... 7 ... 8 ... 9

... 1 ... 2 ... 3 ... 4 ... 5 ... 6 ... 7 ... 8 ... 9

... 1 ... 2 ... 3 ... 4 ... 5 ... 6 ... 7 ... 8 ... 9

Interpersonal Perspective

... 1 ... 2 ... 3 ... 4 ... 5 ... 6 ... 7 ... 8 ... 9

... 1 ... 2 ... 3 ... 4 ... 5 ... 6 ... 7 ... 8 ... 9

... 1 ... 2 ... 3 ... 4 ... 5 ... 6 ... 7 ... 8 ... 9

... 1 ... 2 ... 3 ... 4 ... 5 ... 6 ... 7 ... 8 ... 9

... 1 ... 2 ... 3 ... 4 ... 5 ... 6 ... 7 ... 8 ... 9

... 1 ... 2 ... 3 ... 4 ... 5 ... 6 ... 7 ... 8 ... 9

Self Concept

Risk Taking

Flexibility

Need for Power

Need for Visibility

Confrontationalism

Autonomy

Drive to Achieve

Resourcefulness

Endurance

Quality of Planning

Need to Self-Protect

Affiliation

Relationship to Power

Empathy

Helpfulness

Dependency

Bias

ORGANIZATIONAL PRESS

Self Conduct

0 ... 1 ... 2 ... 3 ... 4 ... 5 ... 6 ... 7 ... 8 ...

0 ... 1 ... 2 ... 3 ... 4 ... 5 ... 6 ... 7 ... 8 ...

0 ... 1 ... 2 ... 3 ... 4 ... 5 ... 6 ... 7 ... 8 ...

0 ... 1 ... 2 ... 3 ... 4 ... 5 ... 6 ... 7 ... 8 ...

0 ... 1 ... 2 ... 3 ... 4 ... 5 ... 6 ... 7 ... 8 ...

0 ... 1 ... 2 ... 3 ... 4 ... 5 ... 6 ... 7 ... 8 ...

Task Focus

0 ... 1 ... 2 ... 3 ... 4 ... 5 ... 6 ... 7 ... 8 ...

0 ... 1 ... 2 ... 3 ... 4 ... 5 ... 6 ... 7 ... 8 ...

0 ... 1 ... 2 ... 3 ... 4 ... 5 ... 6 ... 7 ... 8 ...

0 ... 1 ... 2 ... 3 ... 4 ... 5 ... 6 ... 7 ... 8 ...

0 ... 1 ... 2 ... 3 ... 4 ... 5 ... 6 ... 7 ... 8 ...

0 ... 1 ... 2 ... 3 ... 4 ... 5 ... 6 ... 7 ... 8 ...

Interpersonal Perspective

0 ... 1 ... 2 ... 3 ... 4 ... 5 ... 6 ... 7 ... 8 ...

0 ... 1 ... 2 ... 3 ... 4 ... 5 ... 6 ... 7 ... 8 ...

0 ... 1 ... 2 ... 3 ... 4 ... 5 ... 6 ... 7 ... 8 ...

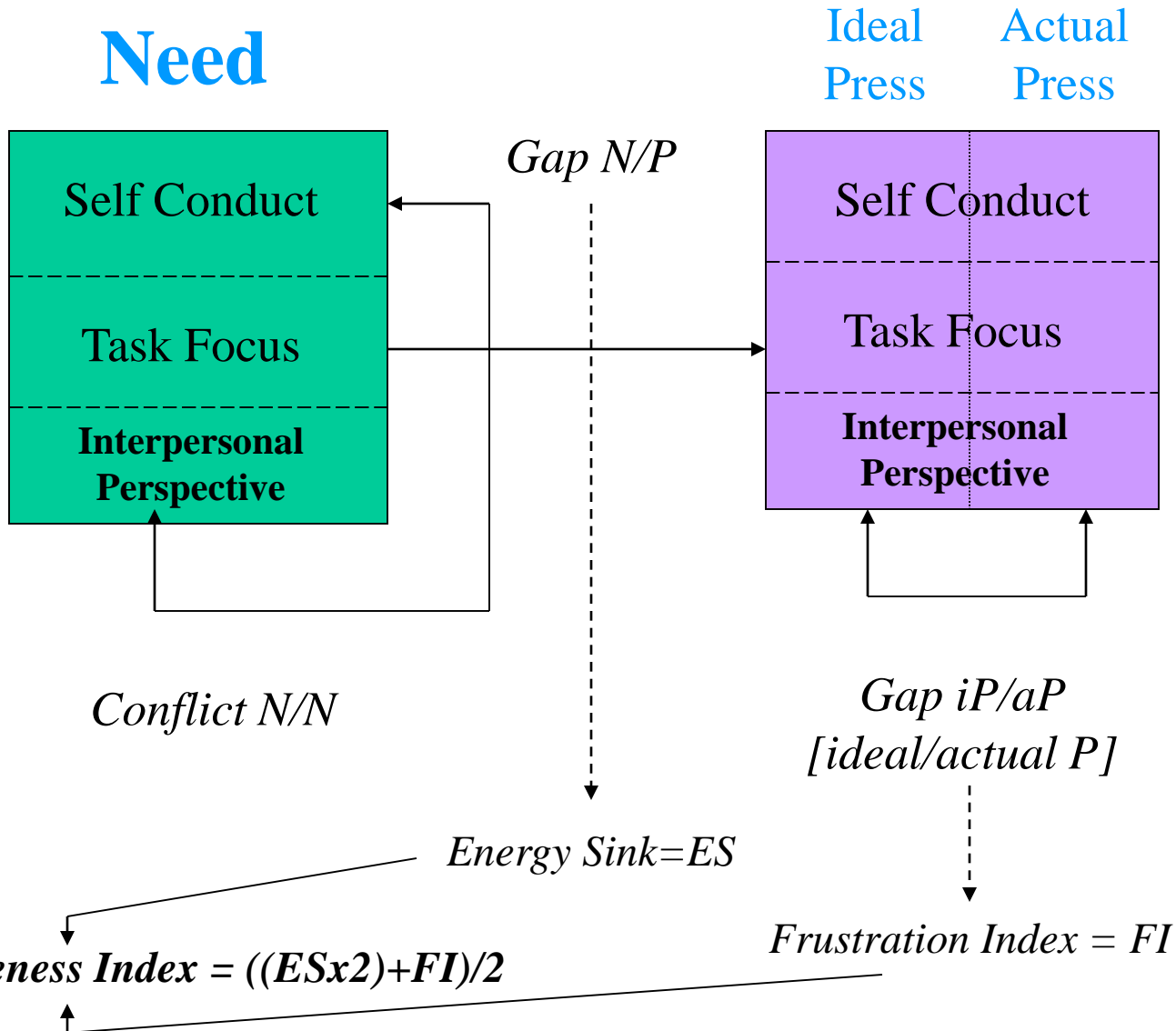
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0 ... 1 ... 2 ... 3 ... 4 ... 5 ... 6 ... 7 ... 8 ...

The Anatomy of Capacity

Need



Energy Sink and Frustration Index

- Since Need is what you unconsciously strive for (Freud's Id), there may be conflicts between different needs, or else different needs may support each other [not always to your benefit].
- Since your Super-Ego imposes pressures on yourself (Ego), it may clash with your strivings.
- Ego pressures can be twofold, stemming from inside you – **ideal Press** -- and from the social ('external') world [which you internally construct] – **actual Press**.
- Therefore coaches need to pay attention to the following behavioral aspects:
 - need conflicts
 - gaps between Need and 'ideal' Press (your aspirations; ENERGY SINK)
 - gaps between ideal and 'actual' Press (your aspiration and actual experiences; FRUSTRATION INDEX)

Attunement and Distortion Index

- Over long years of use, the NP Questionnaire has accumulated ‘**managerial norms**’ – typical ways that managers in organizations behave.
- We can measure a client’s **attunement** to the organizational culture as well as his or her **distortion** of it [based on needs] against such norms.
- Attunement and Distortion occur wherever a client deviates from managerial norms by more than 2 steps upwards or downwards.
- A high Attunement Index indicates a very good understanding of organizational functioning, while a high Distortion Index signals need-based (ego-centric) distortion of what is going on in an organizational culture.
- **Combined with the Energy Sink and Frustration Index measures, these indexes help develop realistic coaching plans.**

Case Example

Sarah's Capacity Profile (NP)

| Variable | Need; Ideal Press, Actual Press |
|-------------------------------|---------------------------------|
| Self Conduct | |
| 1 | 1; 1,2 |
| 2 | 4; 5,4 |
| 3 | 9; 7,7 |
| 4 | 7; 1,1 |
| 5 | 3; 5,5 |
| 6 | 1; 1,0 |
| Approach to Tasks | |
| 7 | 7; 5,5 |
| 8 | 7; 7,6 |
| 9 | 9; 7,7 |
| 10 | 3; 3, 4 |
| 11 | 4; 2, 2 |
| 12 | 7; 7, 6 |
| Emotional Intelligence | |
| 13 | 5; 3,6 |
| 14 | 4; 2,3 |
| 15 | 5; 8,9 |
| 16 | 8; 7,7 |
| 17 | 7; 6, 7 |
| 18 | 4; 0, 3 |

‘Need’ = subjective need,
‘Press’ = super-ego (ideal)
and environmental
pressure (actual)

Profile Details

| | |
|--|---|
| <i>Energy sink (ES)</i> | Gap between Need & Aspirations (ideal press) |
| <i>Frustration (FI)</i> | Gap between ideal & actual Press (org. experience) |
| <i>Attunement to Organization</i> | Gap with Managerial Aspirations |
| <i>Distortion of Corporate Culture</i> | Gap with how managers experience the organization |
| <i>Overall Effectiveness (EI)</i> | Effectiveness Index |

E.S. F.I.

Partial NP Profile: Emotional Intelligence

A. Sarah's Behavioral Strengths as to Interpersonal Perspective:

- Generally cooperative, unlikely to alienate.
- Deals effectively with others.
- Realistic advocate of others.
- Neither hostile nor subservient toward others.
- Can respect authority.
- Willingness to extend self, considerate.
- Even-handed perception of others' problems, optimistic, generous.
- Optimistic regarding other's potential.
- No undue leaning on others.

B. Sarah's Behavioral Challenges as to Interpersonal Perspective:

- *Limited ability to distinguish own motivations from those of others.*
- *Cloudy regarding own motivations and their impact on others.*
- *Limited ability to empathize with others.*
- *Somewhat distant and aloof, undemonstrative.*
- *Likely to question others' motive.*

ED;CD score: 4 {9:7:4} = 4(3) {3:6:11}; C2 [34, 25, 30; 11(%)]

Example: Coaching Sarah

Sarah's Behavioral Challenges

1. *Limited ability to distinguish own motivations from those of others.*
2. *Cloudy regarding own motivations and their impact on others.*
3. *Limited ability to empathize with others.*
4. *Somewhat distant and aloof, undemonstrative.*
5. *Likely to question others' motive.*

Sarah's dev. profile:

4 {9:7:4} = 4(3) {3:6:11};
C2 [34, 25, 30; 11(%)];
ES=32, FI=12, EI=38 [just
under 'low' effectiveness
on the job]

- Let's do some evidence based coaching.
- To 'coach' Sarah in terms of her emotional intelligence (NP Interpersonal Perspective), you would have to ask yourself the following questions:
 - Straddling social-emotional stages S-4(3) & S-4, what does it mean that Sarah is 'cloudy' regarding her impact on others?
 - What does 'aloofness' mean in terms of her developmental level?
 - How is Sarah's limited ability to distinguish between her own motivations and those of others linked to her low *Systems Thinking Index* [STI = 11%]?

Practice Reflections

1. How do you presently assess [psychological] Capacity as different from potential Capability or ‘competence’?
2. How would you evaluate a client’s emotional intelligence social-emotionally [link it to developmental stage]?
3. Which of the NP variables typically engage you most in your coaching, and why?
4. Knowing that NP variables form a system (of interrelated elements), how would you say variables of Self Conduct coordinate with those of Task Focus?
5. Which of the NP variables seems to you to be most related to social-emotional (rather than cognitive) client profile?
6. How, in terms of Capacity Profile, would you decide whether a client primarily needs social-emotional or cognitive coaching?
7. What would you do if a client showed symptoms of psychopathology or needed therapy rather than coaching?

Putting It All Together

Dialectics in Coaching Master Class

Flexibility of Thought

- Dialectics in Coaching is not for the faint-hearted; it requires taking multiple perspectives all the time, something we refer to as dialectical thinking.
- It is not enough to view a coaching client or yourself from “this or that” perspective: you have to synthesize at least three radically different perspectives, outlined in the Gateway course.
- When you have taken Modules A, B, and C, you are ready to flexibly go between, and link, the three perspectives these modules teach, thus to use them **SIMULTANEOUSLY**.
- This is neither “ontological” or “integral” or “behavioral” or what not – it’s simply good thinking!
- So ultimately, you have to unlearn all the labels, all the ideologies ...
- That is what the Dialectics in Coaching Master Class is all about.

Becoming a Developmental Coach

- When you tried to interpret Sarah's behavioral findings developmentally, you connected her developmental findings (ED; CD) and *related* them to behavioral observations.
- To do so, you had to *understand* the developmental findings enough to *infer* from them, by hypothesis, how they might *explain* her behavioral findings.
- In a second step, you had to think about ways in which to better understand Sarah's challenges by *reflecting* with her on how she herself experiences these challenges (maybe she doesn't), and what she is ready to do to take them on.
- All of the activities you undertook are COGNITIVE ones, accompanied, to be sure, by commensurate emotional 'moves.'
- You were practicing dialectical thinking!

Looking at Behavior Developmentally

- Looking at **behavior** from a CD/ED perspective, we find that:
 - One and the same behavior has different meaning at different developmental and cognitive levels, and therefore calls for a different kind of intervention.
 - For instance, a client may need cognitive coaching more than social-emotional coaching, or vice versa.
 - A client may need attention to developmental risk (of losing his/her developmental *center of gravity*) more than developmental potential (to move to a higher level), and vice versa.
 - **A client always benefits from the coach's being *developmentally discriminating* in making interventions.**

Difference between Capacity Profile and Developmental Profile

- While social-emotional and cognitive profile regard a client's *potential*, capacity profile is about actual – *currently applied* – work capability.
- While different clients may share the same social-emotional profile (living at the same developmental stage), a client's capacity profile is **unique**.
- The generality of cognitive profile is intermediate between social-emotional and capacity profile (that is, many clients may be at a comparable level of cognitive development, but not as many as could be living at the same social-emotional level).

Developmental Questions for the Coach

- *How do the client's developmental risks (procrastinations) manifest in his/her present environment?*
- *Where is the point at which the client would feel developmentally over-stretched?*
- *What constructions of the world must the client abandon (transcend) to advance to a subsequent developmental level (and also become more effective)?*
- *What role plays will support the client's mental growth?*
- *How can I guide the client's observations about him- or herself toward his/her existing developmental potential?*
- *What discomforts and anxieties is it safe to provoke, in order to stretch the client developmentally?*
- *Where am I developmentally colluding with the client, rather than acting (at least) from a position of self-authoring?*

See also O. Laske (1999). An Integrated Model of Developmental Coaching,
<http://interdevelopmentals.org/publications-papers.php>

Learn More

- The best way to show that one can ‘think developmentally’ is to write a case study of a volunteer, as happens in the IDM Certification Program.
- This is a task requiring dialectical [meta-systemic] thinking, in that the case study writer is coordinating different ‘systems’ of data.
- The task is to outline the relationships between three sets of ‘scores,’ for the sake of giving feedback to a client and formulating coaching suggestions.
- In a module preparing for the case study, this is done based on *canned data* given to the student, while in Module D it is done based on data the student him- or herself has *elicited from the client* in the context of two interviews (CD, ED) and a questionnaire (NP).

Appendix:

Specific Coaching Issues

Vocabulary

Terms Used:

- Focusing of Attention
- Interpretation
- Enactment (of novel behavior)
- Coaching Presence
- Active Listening (see Developmental Listening)

Generic Coaching Processes

Three Generic Processes

- Coaching is a form of evidence-based *process consultation* in the sense of Edgar Schein (1987, 1998).
- All coaching competencies are based upon three (and only three) *generic coaching processes* practiced by every coach:
 - supporting and guiding attention
 - interpreting (what is said by clients)
 - enacting novel experiences and behaviors.
- In eliciting developmental data, the first process is paramount; the other two are used in coaching proper.
- Different coaching ‘styles’ are based on differing ‘weightings’ and combinations of these generic processes.

The Three Processes in Detail

- **Attentional support:** the coach attends to the client's way of presenting issues, problems, goals, and desired outcomes, focusing on what the client can and cannot take responsibility for.
- **Interpretation:** the coach introduces “alternative ways of representing, organizing, and construing the client's experience, based on his/her own frame of reference.” The coach thereby potentially breaks through habitual forms in which the client organizes life and work.
- **Enactment:** both parties collaborate “in the creation of novel experiences (and behaviors) in the client's life” that are novel, and may be antithetical to the client's prior experiences.

Examples of Coaching Processes

M. Basseches et al. (unpublished), 2000; M. Basseches et al., Harborlight Paper, 2004

- **Attentional Support:**
 - attention directing questions, probing, feedback, reminding
 - acknowledgement (of client experience)
 - establishing/developing coaching alliance
- **Interpretation** (with client using, qualifying, rejecting, or giving feedback)
 - coach offering his/her own thoughts and interpretations (that go beyond client's thinking)
 - envisioning outcomes
 - (re-)interpreting experiences
- **Enactment:**
 - acting as a relational partner prompting novel experiences
 - ongoing production of novelty, both parties commenting upon it
 - role playing
 - “home work”

Coaching Stage 2 Individuals

- ***Coaching Presence:*** the coach must model bringing others' perspective inside the self
- ***Active Listening:*** the coach must discover signs of instrumentalism and the inability of internalizing others' perspectives, as well as elicit statements of self questioning regarding the client's focus of attention
- ***Attentional support:*** the coach must probe and make explicit to the client the extent to which s(he) does not have a good 'theory' of others and the environment around him or her
- ***Interpretation:*** the coach must introduce interpretations of what is not said, feared, and kept hidden, to provoke self inquiry into the present limits of holding more than a single perspective
- ***Enactment:*** the coach must invent role modeling scenarios putting the client in a stage 3 role, and playing a stage 2 role him- or herself, as well as vice versa

Coaching Stage 3 Individuals

- ***Coaching Presence:*** the coach must have enough of an independent set of values and principles (thus a 'theory of self') to model 'going it alone' if inner principles and integrity demand it
- ***Active Listening:*** the coach must discover signs of fuzzy self definition associated with a hankering for unmitigated approval or "success," and inability to work without, or even against, consensus
- ***Attentional support:*** the coach must probe and make explicit to the client the extent to which s(he) does not have a good 'theory of self'
Interpretation: the coach must introduce interpretations of what is not said, feared, and kept hidden, to provoke self inquiry into the client's present propensity to be primarily concerned with their own acceptance by others
- ***Enactment:*** the coach must invent role modeling scenarios putting the client in a stage 4 role, and playing a stage 3 role him- or herself, as well vice versa

Coaching Stage 4 Individuals

- ***Coaching Presence:*** the coach must have left behind his/her own 'self-authoring self' far enough to steer clients to a world view beyond their ken, challenging their previous 'successes' and 'control' posture
- ***Active Listening:*** the coach must discover signs of rigid, self righteous self definition associated with a hankering for control, and the propensity to 'call the shots,' and a fixation on one part of the self (e.g., intellectual, emotional, or social), as against another
- ***Attentional support:*** the coach must probe and make explicit to clients the extent to which the client cannot take a perspective on their own uniqueness, limitations, charisma, education, etc.
- ***Interpretation:*** the coach must introduce interpretations of what is not said, feared, and kept hidden, to provoke self inquiry into the client's present propensity to be primarily concerned with their own self
Enactment: the coach must invent role modeling scenarios putting the client in a stage 5 role, and playing a stage 4 role him- or herself, as well vice versa

Coaching Stage 5 Individuals

These are largely untested hypotheses.

- **Coaching Presence:** *the coach must have made one or more steps beyond self-authoring, in order to be 'believable' to a stage-5 individual*
- **Active Listening:** *the coach must discover signs of 'hanging on to' a self-authoring (or 'control') stance that obstructs the client's ability to lead from the humility of self insight and intense exploration of own limitations (without thereby losing self confidence as a leader)*
- **Attentional support:** *the coach must probe and make explicit to the client the extent to which s(he) fails to be transparent to others, and able to take multiple perspectives on persons, events, situations, and organizational systems*
- **Interpretation:** *the coach must introduce interpretations of what is not said, feared, and kept hidden, that provoke self inquiry into the client's present propensity to be less than humble and transparent in relation to others*
- **Enactment:** *the coach must invent role modeling scenarios putting the client in a stage 5 role, and playing a stage 4 role him- or herself, as well vice versa*

Limitations of a Stage 2 Coach

- ***In general:*** a stage 2 person probably should not be coaching, period! Such a coach views money as his/her real supply, not the inner certitude of self, despite the “espoused theory” of coaching he or she may profess. A stage 2 coach is focused on preserving an unquestionable self image.
- ***Coaching Presence:*** the coach has no presence other than that of a solicitor, thus no ‘persona’ and no ‘coaching presence’
- ***Active Listening:*** the coach is focused on being ‘rewarded’ for his or her ‘expertise,’ and on being boosted in his or her self
- ***Attentional support:*** the coach’s attention is limited to immediate perceptions of clients and self
- ***Interpretation:*** the coach has no ‘model’ or ‘theory’ of the client, and therefore cannot interpret the client’s statements except for mimicking or contradicting them (in favor of own “coaching successes”)
- ***Enactment:*** the coach slavishly (and perhaps cynically) follows ‘best practices’ that happen to coincide with his or her need and advantage at the time.

Limitations of a Stage 3 Coach

- ***In general:*** a stage 3 person makes a good coach to the extent that s(he) can follow the rules defined by the coaching community, and respect the client for what s(he) is. This, however, requires insight into the clients (developmental) Frame of Reference, and where that insight is lacking, the danger of ‘colluding with the client’ under the guise of being ‘helpful’ is great
- ***Coaching Presence:*** the coach has no presence other than that bestowed by community acknowledgement (certificates, license) and identification
- ***Active Listening:*** the coach is focused on being “in sync with” the client, but unable to challenge the client’s values, principles, and self construction based on the coach’s own integrity (due to lack of his/her own theory of self)
- ***Attentional support:*** the coach’s attention is limited to keeping the client in the community s(he) herself is identified with
- ***Interpretation:*** the coach has no ‘model’ or ‘theory’ of the client, and therefore cannot interpret the client’s statements except for ‘supporting’ and colluding; client statements therefore cannot become transparent of self
- ***Enactment:*** the coach unconsciously follows those “best practices” that safeguard his/her own membership in the coaching or other community

Limitations of a Stage 4 Coach

- ***In general:*** while a self authoring coach stands his or her own ground, working from a clearly articulated 'persona' beyond 'best practices,' s(he) cannot easily, or at all, step back from his/her own value system, and thus is not open to potentials or propensities in the client that challenge that system
- ***Coaching Presence:*** the coach's presence is that bestowed on the relationship by his/her own (limited) theory of integrity (with no perspective taken on it)
- ***Active Listening:*** the coach is focused on being successful in modeling integrity grounded in his/her own values, without a comprehensive grasp of the client's potential for questioning his or her own purview and assumptions
- ***Attentional support:*** the coach's attention is limited to his or her own unquestioned "theory of helpfulness" that determines "what is good for the client"
- ***Interpretation:*** similarly, the coach has a theory of the client that remains uncritical toward what the coach thinks of as 'helpful to the client'
- ***Enactment:*** the coach unconsciously follows his/her own values and principles, and cannot stand back from them, to make room for substantial 'otherness' (contrariness) or self-transcending potential of the client.

Limitations of a Stage 5 Coach

- ***In general:*** a stage 5 person makes a good coach to the extent that s(he) is open to the intrinsic need of clients, to experiment with 'letting go' of narrow self definitions or theories of self that suppress a part of the client's potential
- ***Coaching Presence:*** The coach may be tempted to impose on the client a level of meaning making the client is incapable of, which might do harm to the client in ways the client does not understand, and cannot fathom.
- ***Active Listening:*** the coach may be engaged in his/her own journey in a way that precludes total openness to that of the client (limited 'use of self')
- ***Attentional support:*** the coach's attention may be limited in the scope of his/her systemic perception, cognition, and emotion needed for a full interchange of his/her own Frame of Reference with that of he client
- ***Interpretation:*** the coach may lack the degree of mental growth that sets him/her free for an undefended exchange of Frames of Reference with clients challenging the coach's basic assumptions and values
- ***Enactment:*** the coach may unconsciously continue to follow strictures of self authoring that hamper a free unfolding of the flow in which alone coach and client can meet to mutual benefit of their leadership capacity.

Here, we are encountering pre-requisites of professional psychotherapy.

Glossary of Terms

| Term | Interpretation |
|----------------------|---|
| Balance (structural) | The equilibrium between different cognitive operations, ways of meaning making, and aspects of →Capacity. |
| Capability | Ability of mental processing (social-emotional or cognitive) in professional work. |
| Capacity | Psychological profile characteristics of self conduct, task approach, and interpersonal perspective (= emotional intelligence). |
| CD | Cognitive development. |
| CDF | Constructive-developmental framework. |
| Center of Gravity | Developmental comfort zone in which meaning is made. |
| Class of TFs | Strategy of focusing attention. |
| Coaching level | Developmental level of the coach. |
| Coaching presence | Ability to work from a professional ‘persona’ rather one’s own “little personality”. |
| Cognitive coaching | Coaching focused on use of logic and Thought Forms (systemic thinking). |

| Term | Interpretation |
|--------------------------------|---|
| Developmental shift | A development change across time (rather than ‘in’ time). |
| Dialectical thinking | Ability to use abstractions in hypothesis formulation and testing; discovery procedure for abstract truths. |
| ED | Social-emotional development. |
| Ego-centricity | Centeredness of the ego on its own needs and pre-occupations. |
| Enactment (of novel behaviors) | Modeling of untried behaviors. |
| Epistemic position | Way of conceiving of knowledge and truth as to their certainty, and of justifying knowledge and truth claims. |
| Focusing attention | Guiding a client’s attention by staying close to his/her present train of thought. |
| Frame of reference (FOR) | World view |
| (Three) Houses | Three mental domains [spaces] of coaching, each having a different focus. |
| Interpretation | Inference of implications of what is said. |

| Term | Interpretation |
|----------------------------------|---|
| Meaning making | Pervasive, unconscious activity of interpreting the social world. |
| Method of information processing | Way of sequencing abstract thoughts and ideas. |
| Model of the client | Unconscious conception of 'who the client is' deriving from one's own developmental level (that one is subject to). |
| Need/Press | The relationship of internal needs in the sense of Freud's Id to inside and outside pressures (caused by Super-Ego and the social world). |
| Phase of dialectical thinking | Degree of fluidity of dialectical thinking, and of coordination of different Thought Forms (TF). |
| Process consultation | Consultation to a client's mental process, focused on understanding the client's meaning and sense making |
| Quadrants | Interrelated perspectives requiring holistic thinking |
| RCP | <i>Risk-Clarity-Potential Index</i> describing the strength of Center of Gravity in relation to its associated lower and higher stage(s) |
| Sense making | Pervasive, unconscious activity of conceptualizing the social and physical worlds |

| Term | Interpretation |
|-------------------|---|
| Size of Person | What a person IS in terms of his/her developmental profile, in contrast to what a person HAS (e.g., expertise) |
| Size of Role | Level of work complexity and accountability at work |
| Stage | <i>Social-emotional</i> : A mode of functioning defined by one's notion of 'Self' and 'Other'; <i>epistemic</i> : stance as to what is the nature of knowledge and truth. |
| Stratum | Level of accountability defined by complexity of information and method of information processing, and associated with a particular →time horizon |
| Thought Form (TF) | Present focus of attention |
| Time horizon | Size of window into the future, in years |
| Transform | A set of cognitive tools associated with a particular era of cognitive development. I-Transform prepares for use of R-Transform. |

Further Information

- For further information on curriculum, and for discussing special requests about study sequence, timing, and duration, contact the IDM Director of Education, Dr. Otto Laske, at otto@interdevelopmentals.org, or call 781.391.2361 in English, German, Dutch, or French.
- For further logistic information regarding scheduling, payment, registration, and certification, contact the Technical and Administrative Director, Greg Welstead, at admin@interdevelopmentals.org
- For website information: www.interdevelopmentals.org

**See also the IDM Newsletters at
<http://www.interdevelopmentals.org/resources-newsletter.php>**

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