Transformative Effects of Coaching on Executives' Professional Agendas

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Orientation to the Study

Main Purposes

        The uniqueness of this study of coaching is to be positioned at the intersection of theories of executive and adult development. These two types of theory represent different cultures in which the term "development" is used in two different, but complementary, ways. The purpose of this "cross-cultural" study is to contribute to new research in, and novel practices of, executive development that encompass the two different cultures.

        In conceptualizing development, the two kinds of theory in question utilize two different metaphors. Theories of executive development utilize a "homo faber" metaphor, and treat development as something to be brought about by humans. These theories are based on organizational agency, for which reason I call them "agentic" theories. By contrast, theories of adult development, of whatever ilk, are based on the metaphor of a growing organism. These theories treat development as something that (actually) happens to human organisms. Therefore, I call them "ontic" theories, and speak of "ontic-developmental theory," to distinguish it from theories of agentic development (or agentic theories of "development"). Although the dichotomy between agentic and ontic theories is, as all dichotomies, an artificial construct, and thus ultimately fosters a limiting belief, it accurately reflects how the literature on the adult development of executives is presently polarized. Therefore, the labels I have assigned to the two persuasions, although an artifice, are well-founded in the literature. They will be used henceforth to deepen the discussion on executive development.

        The complementarity of the two different views of development sets up a philosophical conundrum that in the philosophical literature is known as the Nature (ontic) vs. Nurture (agentic) debate. Since it is well-known that this debate is unending, it would be unwise to argue that either type of theory is "true." Happily, this is unnecessary, since both are incomplete, and badly need each other. Pragmatically speaking, it would be rewarding if this thesis would assist executive development specialists, including coaches, and their clients in tapping the riches of adult development, of which executive development is a special form. Such an outcome would make my own personal journey, from sociologist of the 1960's, cognitive scientist of the 1970's, knowledge management consultant of the 1980's, to clinician and coach in the 1990's highly worthwhile.

Main Assumptions and Hypotheses

        Given that there presently is a methodological and cultural gulf between theories of executive and adult development, it would be helpful if there existed a methodological bridge linking the two intellectual efforts. I recognize such a bridge in cognitive science, a discipline concerned with how the mind conceptually represents experience (Stillings, 1987). Cognitive scientists have developed notions of "organizational cognition" that shed light on how human organizations function when understood as cognitive process-entities

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(Sims & Gioia, 1986; Argyris, Putnam, & Smith, 1987). Such notions concern the mental constructs --for instance, implicit theories, schemata, theories-in-use, cognitive maps, scripts-- that people in organizations employ to make sense of what is going on both in themselves and around them.

One such notion, formulated for purposes of this study, is that of professional agenda. The idea is that in their organizational life, executives form implicit theories of themselves, the organization they are part of, and their relationship to the organization. In fact, executives' cognitive structures "are an essential ingredient in organizational functions" (Downey & Brief, 1986, p. 165; Mintzberg, 1989, pp. 22 f.). The easiest way to define professional agenda in cognitive terms would be to say that it embodies both the individual's relationship to work (Kegan, 1994) and the basic assumptions of the organization's culture the individual is part of (Schein, 1992). Both of these realities make demands on the mind of individuals as organization members. The way in which these cultural as well as psychological and epistemological (knowledge-specific) demands are responded to by an individual at a particular point during the lifespan constitute his or her professional agenda. Since the cognitive structures executives use to make sense of their experience in and with organizations are highly action-oriented (Mintzberg, 1989), I choose the term "agenda" to refer them. I call the agenda "professional" in the broad sense since it embodies "a vision or way of understanding ... work and ... [one's] relationship to it" (Kegan, 1994, p. 163). Concretely, the agenda regards (1) what executives see as their mandate, including that of self-development, and (2) how as a consequence they construe their organizational functions (roles) and experiences, set their goals, conceptualize and perform their tasks, and integrate their organizational role with their private self. Being a cognitive-science term, professional agenda by definition points beyond the merely agentic (behavioral), to the ontic realm, i.e., executives' life as it evolves through the lifespan. I therefore propose two hypotheses: first, that executive agenda not only changes but develops over the span of their adult life; and second, that the agenda determines, to a high degree, not only executives' cognitive, but equally their

emotional, "workplace personality," and their potential for personal change.

As all cognitive-science notions, a professional agenda has a "deep" and a "surface" aspect. In terms of its deep aspect, the agenda comes close to what C. Argyris has called an organization member's "theory-in-use" (Argyris et al., 1987). The concept of professional agenda is also linked to what E.H. Schein, for the purposes of cultural analysis, calls "basic assumptions" made by an organization (Schein, 1992, p. 17). As is well-known, an individual's theory-in-use, since out of awareness, may distinctly differ from what the individual "espouses" the theory (basic assumptions) to be. The best way to circumscribe this fact is to say that executives' professional agenda has three interrelated constitutive levels: (1) a "deep" or theory-in-use level, (2) a "surface" or behavioral level on which it manifests itself in actions and associated experiences, and (3) a third, espoused level on which both the surface level and the deep level are verbally articulated.

The distinction, above, of three dimensions of an organization member's professional agenda, is methodologically helpful in conceptualizing executive development and coaching. Firstly, the distinction

enables one to distinguish learning, thus behavioral "change" and "growth," from ontic, --i.e., deep structure-- development. Secondly, the distinction lets one investigate the "espoused" level of interviewed executives' utterances, to find out what is the "deep" theory-in-use level that determines their actions and utterances. Given the main hypothesis of this study: that coaching potentially has transformative effects on executives' professional agenda, in light of the above distinction I conceptually distinguish two different but intrinscially linked effects coaching may be said to have:

(1) surface or behavioral effects (leading to adaptation)

(2) deep or constructive-developmental effects (constituting development).

Above, I have sketched the notion of professional agenda as a multidimensional professional self-concept geared to organizational action. As the term "constructive" joined to "developmental" indicates, in this study the cognitive-science notion of professional agenda is used to describes how the elements of an executive's self-concept constructively develop

by way of a meaning-making process that extends across the life span.

The above distinctions and definitions constitute the theoretical framework of the

present inquiry. Given that executive-development activities, coaching in particular, are

 typically time-limited, in what way might adopting the framework of lifespan

development be elucidating? In my view, it might be helpful in two ways. First, where an executive finds him- or herself along the lifespan trajectory, thus his or her ontic-developmental status quo, might influence the

extent to which the executive is able to

benefit from coaching in a significant way. Second, the effect coaching might have on executives' self-concept might lead to differential developmental outcomes when comparing executives to each other. In light of these reflections, let us examine two representative definitions of executive coaching, quoted by Witherspoon & White (1996, p. 127). Interestingly, both definitions mix agentic and ontic aspects of development (Belf, 1995, p. 1):

(1) an organized personal learning provided over a specified period of time to bring about the possibility of effective action, performance improvement and/or personal growth

(2) an ongoing relationship which focuses on the client taking action toward the realization of their vision, goals or desires. Coaching uses a process of inquiry and personal discovery to build the client's level of awareness and provides the client with structure, support, and feedback.

The first, agentic definition indirectly refers to ontic development by the notion of "personal growth." The second one, which speaks of "discovery" and "level of awareness," conveys an inkling that the force of the coaching alliance may lead to a deep-structure transformation of the client's self-concept and level of awareness. However, it does not espouse that inkling very forcefully. None of these definitions of coaching conveys a notion of development in the sense of ontic development. Rightfully both definitions emphasize the working relationship, or alliance, that comes to exist between the two parties to coaching, and the fact that the alliance is meant to increase effectiveness, both of the client and the organization. It remains a task of further

research, to make the implication of ontic development conveyed by these definitions more of a reality. Changes in thinking about, and practicing, coaching as this study aims to bring about, would make the agentic/ontic dichotomy anachronistic. However, for now a concept of developmental coaching, i.e., coaching that works "agentically" to bring about ontic development, remains to be crafted.

Perspective Taken

My approach to coaching in this study is constructive-developmental. By this term, I indicate that I am investigating executives' professional agenda as undergoing continuous development across their life span, not only in its cognitive but equally its emotional aspects. By the term developmental, I refer both to the "ontic" development that human life is based on, and the "agentic" development that coaches and mentors engage in with an educational and/or therapeutic goal in mind. The characterization of this study as "constructive-developmental" stresses that how executives "construct" the relationship to

their work and work context is central to their professional agenda as here conceived.

The above characterization of this study helps in contextualizing it in regard to other current investigations of executive development that have greatly influenced the design of this study. In particular, I am refering to explorations of executives' "personality" and "life" (Kaplan 1991, 1996, 1998), the "lessons of experience" executives need to learn to succeed as organizational leaders (McCall, 1998), the "career contract" in the context of which executives used to function and function in today's "turbulent" society (Hall et al., 1996), the need for an "executive development system" strategically linked to the mission of an organization (McCall, 1998; Seibert et al., 1995), and the ways in which coaching can help executives perfect their performance (Witherspoon & W hite, 1996).

The term constructive-developmental as used in this study has both a content and a method aspect. In terms of method, I need to clarify what it entails to follow a constructive-developmental approach "with a clinical emphasis." The linkage of the terms clinical and developmental invites many different interpretations even when creativity rather than pathology is involved as in the present case (Commons, Demick, and Goldberg, 1996; Demick, 1996, pp. 335-356). Typically, "clinical" refers to a phenomenological approach to understanding individual "cases" though exhaustive efforts at description, in order to "uncover the subjective experience of ... [clients] and to understand the meaning" they make of their experience (Lapierre, 1991, pp. 75-76). The term "clinical" also implies that "researchers themselves act as information-gathering instruments as well as interpreters of raw material that must be organized and in which meaning must be found" (Lapierre, 1991, pp. 75-76). In the present case, the experience in question is executives' experience of their professional identity as processed in, and potentially transformed by, a coaching alliance. A further important implication of the "clinical emphasis" of this study is that the issue of boundaries, both organizational and epistemological (Popp, 1996; Kegan, 1994, 1982) boundaries, has high salience. As Schneider states (Schneider, 1991, pp., 169, 175):

> Boundaries separate a system from its environment and
> delineate parts and processes within that system.
> Boundaries also determine relatedness and relationships
> within and between systems. ... The question of how
> boundaries are managed and how this relates to the levels
> of differentiation and integration necessary for effective
> functioning within organizations, however, have not

> been addressed sufficiently ... The individual and group
> dynamics ... combine with the organizational context to
> determine how boundaries are established. The individual's
> personal boundaries are negotiated with others, within
> groups, and through the organization structure in terms
> of roles and hierarchical position ... The role of leadership
> is to manage the boundary between what is inside and what
> is outside in order to preserve the integrity and the
> internal coherence of the system.

What Schneider points out is especially pertinent in light of the potential of coaching, to assist executives in transforming the boundaries by which they define "what is ME" and "what is NOT-ME," thus helping them integrate their organizational role and private self more effectively (Kaplan, 1991). Elaborating the above quote from a constructive-developmental perspective, Popp (1996, p. 147) states:

> I define psychological boundaries as both a noun and
> a verb ... As a noun it is a state of differentiation
> between self and not-self, between what the individual
> experiences as me and as not-me. As a verb or activity,
> a psychological boundary is a constructive process that
> develops and evolves over the lifespan. ... The
> construction of the psychological boundary is the process
> of deciding both where the limits are drawn and how they
> are drawn and maintained. This decision making process
> will be influenced by many factors such as developmental
> level and relational and defensive styles.

Here, boundaries are seen not as something laid down in childhood, but in terms of a process extending over the lifespan. When regarded in terms of cognitive science, boundaries can be understood as "implicit theories" organization members develop in order to make sense of what is going on in themselves and in the organizational surround. As Downey & Brief point out, implicit organizing theories of executives are potentially highly influential in the design and functioning of organizations (Downey et al., 1986, pp. 173 f.).

Given the multitude of implications of a constructive-developmental approach to executive development "with a clinical emphasis," indicated above, a unifying notion of the term clinical is needed. While I am open to the various meanings of "clinical" just mentioned, on an action-research (rather than a strictly psychological) level, my notion of clinical is closest to E.H. Schein's use of the term (Schein 1992, p. 29.):

> The critical distinguishing feature of the clinical research model is that the data come voluntarily from the members of the organization because they initiated the process and have something to gain by revealing themselves to the clinician/consultant/researcher. The consultant/clinician is primarily in the organization to help with some problem that has been presented ...

Pointing to clinician's experience that "a system can best be understood by trying to change it" (Schein, p. 30), Schein adds two methodological corrolaries to this definition (Schein, 1992, pp. 47, 187):

- there is a high level of involvement of the research subject

- of main concern for the clinical/research are the discovery and accurate depiction of the phenomenological reality as experienced by both insiders and outsiders of an organizational culture.

The notion as used by Schein paves the way for what Kaplan (1991) has rightfully called "biographical action research." According to this method, executives are studied from multiple perspectives and in multiple settings "while helping him [or her] in attempts to learn and grow" (Kaplan, 1991, p. 243). In the context of such research, the notion developmental points to the clinician/consultant's interest in what are an executive's cognitive and emotional milestones in becoming a member of an organization that expects him or her to be one among its leaders. In keeping with Schein's "basic assumption" vision, Kaplan states (1991, p. xiv):

> To comprehend leadership fully, we must not confine ourselves to observable behavior ... We must delve beneath the surface and look at the profound effects of basic character on leadership.

In contrast to Kaplan's "psychological" conclusion (regarding "character"), this study, endorsing Schein's clinical research model, emphasizes neither character nor life history, but rather the way in which executives "make sense" of their organizational surround, and "make meaning" of their experiences (Kegan, 1994). The study is based on the hypothesis that how executives' make sense of their experiences in an organization can be traced to their professional agenda which, in turn, is determined by executives' developmental status quo. Rather than asking "what is the executive's character like?," the question is: "how is the executive making sense of his or her experience at their present organizational position along the lifespan trajectory?" Rather than leading to a theory of executive character, the approch adopted in this study leads to a theory of executives' professional agenda, psychologically and epistemologically speaking a theory of ego development in the workplace (Demick & Miller, 1993; Kegan, 1994). In consequence thereof, coaching is seen as an executive-development activity that potentially enhances ego functioning, rather than balances lopsided character. Also, the coach is not primarily seen as an agent of behavior change, but as a developmental agent

who potentially can effect a transformation (deep-structure change) of an executive's professional agenda. This perspective poses interesting new questions pertaining to coaching strategy, e.g., how can approaches to coaching executives be differentiated in order to do justice to an executive's developmental position along the lifespan? It also poses new questions regarding coaching outcome, for instance, what can be expected from a coaching alliance given the executive's developmental position along the lifespan, and introduces the notion of "developmental coaching."

To summarize, a constructive-developmental approach with a clinical emphasis entails that the clinician/consultant/researcher is making an effort to understand what is revealed to him or her regarding the executive's adult development. Since development-in-the-workplace entails an intersection of both "agentic" and "ontic" development,--nurture and nature--, a clinical-developmental perspective must by necessity by transdisciplinary and holistic, attempting to capture developmental aspects of both the personality and the organization as the environment in which the personality matures (Demick & Miller, 1993; Arthur & Kram, 1989). "Clinical emphasis" indicates, however, that our study is focused primarily on the executive, and on the organization only as a site of his or her development. Since coaching is here seen as a one-on-one interaction, the focus of the inquiry is on the level of professional identity of the individual doing the revealing. Since in the present case, coaching is thought to effect the executive's professional agenda, a constructive-developmental inquiry into coaching focuses on the agenda as the locus where the executive's professional development becomes understandable and its furtherance critical.

Thematic Focus

The thematic focus of this study naturally arises from its constructive-developmental and clinical focus on executives' professional agenda. I attempt to understand
the prescriptive force of the "implicit theories," subsumed under the notion of professional agenda, by which executives make sense of their organizational experience. I also attempt to understand the repercussions of their meaning-making on their organizational performance. To this end, I investigate the boundaries between executive role and private self, hypothesizing that the way executives manage their inner boundaries (e.g., boundaries between self and role) determines to a large extent the process by which they direct and articulate inter-personal and intra-organizational boundaries, as well als how they transmute imperatives of organizational development into personal imperatives. Regarding "experience," I do not restrict myself to executives' performance and their participation in the coaching process, but include their inner life experience more generally. In fact, this study sees the executive's life experience (in the moment) as inseparable from the executive's professional agenda. The impact of organizational culture and development on the executive's role and self is an important ingredient of individual development (Arthur & Kram, 1989; Dalton, 1989; McCall, 1998; Czander, 1993). In this study, this impact is dealt with mainly to the extent that it is construed by the executive's meaning-making process. Since coaching is seen as an ontic-developmental process, in the foreground is the issue of how coaching as an intervention in an executive's epistemological "culture," can

bring about changes in individual meaning-making, hopefully with a beneficial effect on organizational development as a consequence of changes in an executive's professional agenda. In contrast to most models of coaching as "training models for personal change" (Kegan, 1994, p. 164), our model of coaching is a "transformational" model of the personal development of executives.

Introduction to the Conceptual Context

This study comprises five chapters and five appendices. The chapters are indicated by Roman numerals, the appendices by capital letters. Appendices A, B, anc C are linked to chapters I, II, and III, respectively, while Appendix D is linked to chapter V, and Appendix E comprises all of the figures. The four sections of Appendix A (A1 to A4) form the background of chapter I. The first chapter is a summary of the four appendix sections that together detail the conceptual context from which the research questions have arisen. All of the research questions are focused on executive development:

A1. The sociological surround of executive development

A2. Issues and models of executive development

A3. Executive development as adult development

A4. Coaching as a catalyst for executive development.

These sections have three purposes: first, to provide a theoretical framework for the study; second, to ground and legitimate the research questions; and third, to show how the exploration of these questions fits into what is already known, if anything, about transformative effects of coaching. In harmony with these purposes, the goal of chapter I and its appendices is not simply a "literature review," but the construction of the conceptual context of the study. I am using existing literatures to answer the question: W hat do I think is going on in coaching, as compared to previous research, and how could previous research be extended to further insight into coaching theory and practice? Based on Appendices A1 to A4, chapter I presents highlights of my critical reading of the consulted literatures, for the purpose of framing and justifying the research questions addressed by this study (see chapter I, section 3).

Chapter II outlines the methodology of the study, focusing on the joining of two heretofore separate research methodologies. The first one, called the Dialectical Schemata methodology, derives from Basseches' (1984), the second one, called the Subject/Object methodology, from Kegan's (1982, 1994), work. In conjunction, the two methodologies give rise to a new adult-developmental assessment tool referred to as the "Developmental
 Structure/Process Tool," or DSPTT ^{TM} for short. While trained on investigating ontic-developmental effects of coaching on executives' professional agenda, the new methodology is equally suited for use in clinical contexts. The DSPT ^{TM} is an epistemological assessment tool that yields both a process- and a structure-description of individuals' developmental status quo, and can be used to tease out adaptational learning from ontic development. While forshadowed in chapter II, only once put through the rigors of chapters III and IV, does the conjoint methodology reveal it true and differential nature.

Chapter III and IV present the results of the study. While chapter III is limited to a within-case analysis of interview materials in the form of six vignettes, one for each of the subjects, chapter IV states the collective findings regarding the executives considered as a group. It also discusses the meaning of the structure/process diagnosis of executives' developmental status quo. Finally, chapter V, in addition to reviewing the empirical findings reported in chapters III and IV, outlines the unique contribution of the DSPT ᵀᴹ to research and practice in executive and adult development, as well as its specific use in executive coaching. Chapter V also draws conclusions regarding the conceptual issues raised in chapter I and its appendices. The study as a whole regards two inextricably linked aspects of human development, referred to as agentic and ontic, as explained below.

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Common usage of the term development is highly ambiguous, both regarding the empirical and the axiological (value-related) meaning of the term. This ambiguity feeds the questions the following chapters ask of the literature reviewed. As briefly indicated above, the term "development" can be used as an agentic term, referring to what humans make happen; or else, it can signify the ontic development humans undergo naturally over their lifespan (Basseches, 1984, pp. 320-321). To make things worse, the term can be used to cover both of these meanings, with emphasis given to one or the other aspects of development. This results in a panoply of meanings of "development" giving rise to two sets of constructive-developmental questions. The first set comprises two subquestions:

> first, does what humans make happen in order to develop humans
> (e.g., executives) always leads to ontic development in the
> sense of mental growth, in contrast to mere adaptation?
> second: under what organizational, social, and psychological
> conditions does agentic development translate into ontic
> development, and how?

In short, the empirical core-questions are: Is agentic development --development, and what are the ontic preconditions of agentic development?

A second set of questions to the literature addresses axiological issues. These issues regard the question of how ethnocentric and culture-bound is our notion of development. Are we making use of the positive connotations of the term development without grounding their meaning in ontic development--what Basseches calls "public relations uses" of the term development? (Basseches, 1984, p. 313). Given that we often speak of "career development," "management development," and "executive development," which of the three meanings of the term are we addressing or implying? It is of scientific as well as practical relevance to define and sort out the different meanings of the term "development."

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It may be helpful to the reader, to contemplate an overview of the conceptual context on which this study is based. The figure below is meant to facilitate such reflection.

Insert Fig. 1 here

Fig. 1 has two parts. On the right, it shows different aspects of adult development, while on the right, it indicates their relationship to coaching and to questions about coaching. Salient issues of coaching, pertaining to the developmental configuration on the right, are noted on the outer right of the figure.

As suggested on the right side of Fig. 1 , executive development happens at the intersection of adult development in the ontic sense of the term (upper domain) and agentic change efforts occurring in the organizational context as mandated by business strategy (lower domain). The three domains, of adult development, executive development, and organizational context are therefore intricately interlinked. Business strategy influences

the way coaching interventions are targeted and carried out. As shown by arrows on the lower right of Fig. 1 , changes in business strategy tend to change the coaching mandate, and may require an adjustment of coaching strategy to new business imperatives.

As a result of intersecting requirements of adult and executive development, a topic of great saliency in coaching is the relationship of self and role. These two aspects of an

executive's professional agenda are visualized on the outer right of Fig. 1 . Self is a developmental notion tied to ontic development, whilerole is an a-developmental notion tied to agentic efforts. The relationship of self and role embodies the nature/nurture dialectic mentioned above. It is seen in this study as the principal focus of the coaching effort. The relationship of self and role as a coaching issue regards the way in which executives perform their organizational functions in harmony with the developmental position of their self. Only a harmonic alignment of self and role enables them to integrate different roles, and realize themselves fully in their role. This is expressed in Fig. 1 by the fact that the intersection of self and role, on the outer right, feeds the adjustments to coaching strategy as much as do the imperatives of business strategy. In the figure, it is seen as the task of coaching to bring these two imperatives, the developmental one of self, and the organizational one of business strategy shaping executives' roles, into balance with one another.

On the left side of Fig. 1 , coaching is put into perspective against the conceptual context shown on the right. Coaching interventions are thought to boost executive development, and indirectly adult

development as well as organizational functioning (see arrow no. 1, pointing to the right). As signaled by arrow no. 2, the study is based on the hypothesis that the way executives interact with themselves (self) and the organization they are part of (role), fundamentally thus their adult-developmental status quo, is constitutive of their professional agenda. The way executives manage this twofold relationship is therefore at the center of coaching interventions. The hypothesis entails that executives' twofold relationship with themselves and the organization determines the specifics of their agenda. That is to say, it determines their performance and role functioning, the way they approach their task, set and pursue goals, and take responsibility for their own development.

One way to conceptualize how ontic-developmental position may inform executive development is to focus attention on the relationship of an executive's self, on one hand, and the roles the executive plays in an organization, on the other. From a constructive-

developmental perspective, the relationship between self and role is both a constitutive and interactive one (Basseches, 1984, p. 76). This entails that self and role are part of a larger process, namely, the person-in-development of the executive. It is the person as a unified system undergoing development that gives rise to both self and role.

The relationship between self and role is constitutive in that it "makes the parties to the relationship what they are" (Basseches, 1984, p. 76). The relationship is an interactive one in that self and role are for practical purposes inseparable and in constant interaction. Interactivity means that the manner in which a person plays his or her roles is a reflection of the person's self, which simultaneously is influenced by, and transformed by, the roles the person chooses to play. Constitutiveness entails that only in their relationship to each other are self and role what they are. Since the executive's role is a manifestation of how the self is being constructed qua subject and object, the relationship of self and role is a different one at different ontic-developmental positions. Thematic in this study is the person of the executive (whose self and role are in constant constitutive interaction with each other), viewed at different self positions (ego levels).

Questions raised in this study all have to do with the effects of executives' ontic-developmental position, or developmental status quo, on their professional agenda. Executives' status quo is thought to be articulated by their accounts of how coaching has effected their performance and functioning, and how they make sense of their experience in the workplace. In short, role functioning is thought to be based on self position.

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The conceptual context of this qualitative study is constructed on the basis of four literatures that ordinarily do not communicate with each other, namely the literatures on:

1. career theory

2. executive development (in the agentic sense of the term)

3. constructive-developmental theory of Piagetian and Kohlbergian provenance

4. practice theories for coaching executives.

Career theory provides a literature on career development in the agentic sense of the term, although with some "phasic" notions of developmental pervading it to some extent (Levinson et al., 1978). This literature is about the impact of organizational culture, and the psychological "career contract" the culture gives rise to. In the 1990's, this literature has begun to deal with issues of executive development as a strategic necessity for organizations existing in a turbulent economic environment. At the same time, the literature has increasingly focused on issues of self-development. The second literature specifically discusses executive development and associated activities that might promote it. It often unspokenly presupposes the sociological conditions and ethnocentric assumptions more lucidly analyzed in career theory. The third literature, on adult development, focuses on two related issues: (a) executive development as a subprocess of human development over the lifespan, and (b) the relationship between what humans "make happen" (agentically), and what "actually happens" in development (ontically), both in terms of ontic-developmental preconditions of executive development, and of ontic-developmental outcomes of executive development activities. Finally, the fourth literature, on coaching, for the most part focuses on training models of personal change; these models do not address lifespan-developmental issues, but are predominantly cognitive-behavioral in character. Consequently, the literature displays a strong bias toward "behavior change," sometimes with psychodynamic enrichments. It is largely comprised of a discussion of the tactical and strategical issues of human resource management with some reflections on changes needed in current management culture to make coaching successful organizationally.

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In summary, the topic of this study is adult development in the workplace, with an emphasis on executives. The thesis introduces an ontic-developmental perspective on what is otherwise considered a matter of human change efforts. Inevitably therefore, the thesis becomes embroiled in the dialectic between ontic change ("nature") and agentic change efforts ("nurture"). Executive development is seen as a particular case of adult
development in the constructive-developmental sense of the term, and executives' professional agenda is seen as the oracle through which adult development makes itself known. It is thought that executive development can be promoted by coaching, and that coaching interventions have an impact on how executives make meaning of their organizational experiences. Executives' professional agenda is seen as quintessence of their organizational meaning-making.

Not being of a longitudinal nature, the thesis cannot PROVE that coaching has adult-developmental effects. However, it does SUGGEST that such effects exist, both in terms of reported content and underlying structure of executives' utterances. In particular, the thesis suggests that adult-developmental effects of coaching can be traced to transformative changes of executives' developmental status quo and, as a consequence, on their professional agenda. In the context of the thesis, the professional agenda is seen as a system of both positive and negative indices of executives' adult development. The agenda is thought to raise the axiological issue of whether organizational imperatives giving rise to executive-development activities such as coaching, while marketed as positive, could not also be either without effect or counterproductive from an ontic-developmental perspective. This issue introduces a critical perspective on executive development (Basseches, 1984; Drath, 1990; Kaplan, 1991; McCall, 1998). Such a perspective was first introduced by K. Marx (1848; 1967), and subsequently by C. Argyris (1960) and E.H. Schein (1978), theorists who researched the link between individual need and organizational policy. Among these theorists, K. Marx was the only one who pursued the question radically, i.e., to its root, in that his research was undergirded by an anthropological theory of adult development. Although Marx was not a cognitive scientist in the modern sense, but an "ideologue" in the sense of the French Enlightenment, he is nevertheless one of the philosophical fathers of this study.

Chapter 1

Conceptual Context and Research Questions

As outlined in the Orientation, the conceptual context for this thesis is a complex one. The context is woven from the divergent strands of different literatures, each of which claims its own universe of discourse. None of these literatures reflects upon its own limitations in a way suitable for this study. For this reason, it seems justified to present the detail of these literatures' discourse in separate sections of an appendix, and to reserve this chapter for highlighting the essential findings stated in the sections. The reader is invited to peruse sections Appendices A1 to A4, to deepen his or her appreciation of this summary.

Fundamentally, this chapter highlights the findings in Appendix A for the sake of justifying the research questions this study is about. The chapter comprises three sections:

1. The Complexity of an Individual's Relationship to Work

2. Contributions of the Literature to the Study

3. Research Questions.

1 The Complexity of an Individuals Relationship to Work

In Appendices A1 to A4, I have constructed a conceptual context in which to view executive development in a broad "outer" as well as a deep "inner" sense of the term. I have conceived of executive development as based on an individuals'relationship to work in the sense of constructive-developmental thought, asking how this relationship might be constituted by both sociological and psychological processes. I have conceived of these processes as consisting of the epistemological demands made by contemporary culture on the mind of adults, on one hand, and the issues of managing the ensuing psychological demands deriving from cultural demands, on the other.

Insert Fig. 2 here

Although the complexity of the elements and relationships revealed in the preceding chapters obviates any simple formula and visual representation thereof, I consider it helpful to view the zones of influence on development in the workplace as shown in Fig. 2   , above. Here, these zones of influence are shown as a set of concentric circles, or dimensions, that "influence" how an individual in this society might be relating to both self and work. The figure is no more than a visual tool to help take care of reductionistic temptations, to view development in the workplace in a more simplistic fashion.

The basic message of the figure is one of the awkwardness and ultimate futility or reducing one dimension in the digram to another, or of "explaining" one dimension in terms of elements of another. (In philosophical parlance, this reduction is referred to as transgressing the limits [of ontic dimensions], or katabasis eis allo genos). Since I have chosen to focus individuals', especially executives', relationship to work

in the notion of professional agenda, this says that a professional agenda has sociological, psychological, and epistemic aspects none of which can be reduced one to the other. Rather, these aspects of an agenda maintain a dialectic that foolhearted reductionism can only momentarily paralyze or freeze. For instance, we have seen the futility of "explaining" the psychological dimension of (expansive) character (Drath, 1990) by a straightforward "causal" link to an individual's epistemologic (Drath, 1990), or of "explaining" an individual's relationship to work by factors deriving (solely) from the systemic influence of organization structure, or from the stipulations of the career contract in the sociological surround.

The best way to express the methodological implications of Fig. 2 is to say that it is considered most fruitful by this study, to take a holistic and systemic view of both an individual's development in the workplace and his or her relationship to work. For proceeding in this fashion, the concentratic circles of Fig. 2 can serve as reminders not to transgress the limits of each of the explanatory dimensions involved. Positively, the circles embody the hypothesis that there is an "inner-to-ounter" and "outer-to-inner" dialectic between the dimensions, as indicated by the arrows transcending all individual circles. The corrolary implied by the sequence of the circles (dimensions) is also of relevance. The idea expressed by the sequence is that each dimension, except for the outer- and inner-most one, can serve as a mediator between the surrounding dimensions. For instance, the dimension of "psychological boundaries," while it is neither a strictly epistemic nor a clinical concept, constitutes a conceptual bridge linking self and unique psychological organization. Also, the latter serves as a bridge between issues of self and its boundaries and the sociological surround.

Finally, as can be seen from the fact that the sociological surround and the organizational context are not highly differentiated (e.g., in terms of conceptualizations of sociological constituents, and types of organizational designs or stages of organizational development, respectively), and that three of the five circles focus on the individual executive, the emphasis of Fig. 2 is on the impact of the outer dimensions, increasingly

"taken for granted," on the inner dimension of self. These inner dimensions are seen as constitutive of the outer ones, that is, as shaping the particular experience of the outer dimensions that an individual can be said to "have" both psychologically and epistemologically.

Making use of Fig. 2 as a shorthand, below, I give a short summary of the insights that, in my view, have accrued in Appendix A.

2. Contributions of the Literature to the Study

My critical assessment of career theory (Appendix A1), theories of executive development (Appendix A2), adult development (Appendix A3), and coaching (Appendix A4) has shown the multidimensionality of executive development. Moving "from the outside in," I have constructed a force field in which an individual executive's combined career and adult development has become visible in its sociological, psychological, and epistemic aspects. In so doing, I have explored the implications of Cytrynbaum and Crites' imperative to

"integrate" conceptions of career and adult development. Throughout Appendix A, I have clarified missing links, uncalled-for reductionist explanations, and ideological preconceptions that hinder theories of career and adult development to be merged around issues of executive development. Starting with the old career contract, as presupposed by Dalton, I have shown that issues of executive development are of a historical nature, and that they demand reflection upon the ethnocentric values that "explanations" of executive development tend to instantiate. To avoid uncalled-for relativism, either conceptual or axiological, I have argued dialectically, and have favored theories that have the long breath required for dialectical thinking.

Following Cytrynbaum et al., in Appendix A1 I show that theories of executive development predating the 1990s rely on a number of sociological constants most visibly enshrined in Levinson et al.'s phasic theory of adult development (1978). Although Levinson's theory does not specifically focus on development in the workplace, his conceptualizations are grafted onto the notion that there exists, in organizations, a more or less fixed sequence of promotions, thus a developmental matrix, that guides executive development. One of the dilemmas Cytrynbaum and Crites leave us with is that of "the relative contribution of individual and social systems parameters to adult and career development" (Crytrynbaum et al., 1989, p. 80). This statement hints at the dialectic of nature and nurture that continually re-emerges in treatments of executive development. Cytrynbaum et al. also sensitize us to the fact that there has been little progress in linking research in career and adult development. This view is corroborated by writers in the constructive-developmental tradition such as Basseches, who state that "the context of the workplace is one which has been nearly completely ignored by developmental psychologists" (Basseches, 1984, p. 340).

My discussion in Appendix A2 focuses on Dalton's "competency model" of executive development. Starting with organizational imperatives, Dalton shows that under the old career contract stages of executive development are associated with the criticality of function that individuals are able to carry out. As a consequence, executive development is defined "in terms of individuals adapting to, and moving through, those structures or learning to perform these functions" (Dalton, 1989, p. 94). Accordingly, Dalton distinguishes four stages of executive development, from working under the direction of another professional (stage 1), to "representing the organization to others, with the concomitant wielding of formal and informal power" (stage 5; Dalton, 1989, p. 97). Grounded in this model, Dalton addresses "the larger question of how organizations affect individual development" (Dalton, 1989, p. 98). In doing so, he once more adopts a "competency model" perspective of executive development, often found in practice theories for coaching executives. In such models, "the needs and properties of organizations (are taken) as a given," and the question is then asked how individuals adapt "to those needs and properties as the developmental course" (Dalton, 1989, p. 99). However, in contrast to most competency models used in coaching, Dalton is sensitive to the psychological issues an individual serving increasingly critical functions in an organization has to manage to do so successfully. On the whole, Dalton's contribution demonstrates the largely sociological mind set of career theory prior to the 1990s. This impression is reinforced by Super (1992) whose attempt to go

beyond this mind set when addressing issue of learning organizations, leads to no more than visionary speculations about "self-designing organizations."

Kram's and Fletcher's contribution, discussed Appendix A3, brings us to a turning point in career theory where psychological and adult-developmental issues assume

increasing relevance. These authors integrate "relational theory" deriving from Gilligan

(1982) and others into career theory. As shown in commenting the results of an empirical study by Hodgetts (1994), from an adult-developmental vantage point it is crucial to distinguish style and ontic-developmental position (Kegan, 1994). The distinction entails that at each stage of adult development, an individual can adopt either a relational or a separate style. Thus, the style adopted by an individual is not a prediction of the ontic-developmental position held by him or her. Since Kram and Fletcher do not make the distinction between style and developmental position, they fail to see that there are ontic-

developmental limits to how relational an individual can be at a particular point along his or her lifespan trajectory; they also fail to see that what is a relational "resource" depends at least as much on the individual "using" it, thus his or her ontic-developmental status, as on the resource itself. Both of these adult-developmental observations bring a certain realism to notions of relational theory. This general criticism aside, Kram and Fletcher make important contributions to the notion of executive development and of coaching.

Kram (1996) proceeds from the new career contract as a contract with self, rather than any organization (Hall et al., 1996), and draws conclusions from it for issues of development. Stating that the assumptions of life-phase development philosophies no longer hold, she introduces the concept of co-learning. This concept refers to the fact not only have organizational guarantees of development in the workplace vanished; there is also a larger need, given the diversity of working populations, to pay attention to the idiosyncratic pattern according to which individuals develop. Therefore, rather than developing in hierarchical relationships, individuals tend to learn through heterarchical, relational activities, and are thus co-learners. This sociological shift calls for paying more attention to psychological issues of self and psychological boundaries. It also changes the goal of adult development in organizations from autonomy as a separate individual to autonomy in the context of interdependence. Consequently, in Kram's notion of coaching, skills for building relationships are uppermost.

Equally focused on relational style is the contribution by Fletcher (1996). Taking a more systemic view, this author develops an incisive critique of contemporary organizational cultures in which task knowledge tends to override relational competencies which, as a result, are "undertheorized and underexamined in the organizational literature" (Fletcher, 1996, p. 112). By implication, Fletcher emphasizes that the working alliance between people, in daily transactions as well as in coaching and mentoring, is one of the undiscovered potentials for adult development in the workplace. Fletcher turns her criticism against career theory itself, stating that the theory has viewed development "as a vertical, hierarchical process and the career as a linear, age-related progression that is assumed to occur within stable organizational or occupational settings" (Fletcher, 1996, p. 109). Given her focus on development in connection with others, Fletcher

envisions organizations that embed strong relational values in their culture, thereby overcoming "an overemphasis on independence, cognitive processes, and deductive, syllogistic reasoning" (Fletcher, 1996, p. 108) as found in non-feminist developmental psychology. W hile in regard to constructive-developmental models of development, such as Kegan's (1994), Fletcher tends to misread their more holistic implications, she sets standards for corporate cultures in which coaching and mentoring can serve as models for implementing relational values.

In Appendix A4, Hall et al. (1996) detail the implication of the new, protean career contract that is a contract with self, rather than with an organization. The way these authors see the sociological shift implicit in the new contract is that the culture has shifted from a long-term relational to a short-term transactional contract just at the time when relational resources for development in organizations are more than ever in demand. Emphasizing the psychological demands of the new career contract according to which development is a responsibility of individuals, Hall sees the contract centered around the internal career, i.e., "the individual's perceptions and self-constructions of career phenomena" (Hall et al., 1997, p. 321). Thereby, Hall remains critical of "competency models" that stipulate development goals on the basis of organizational imperatives that are taken for granted. Hall explores the many paradoxes and issues deriving from the new contract, both in the organization and the individual. In a critical turn towards attempts to define catalogs of psychological traits needed for the development of executives and other workers, Hall introduces the notion of "meta-competencies" equally focused on task knowledge and relational competencies that require learning from self as well as from others. Overall, Hall's thinking opens the door to more constructive-developmental approaches to executive development. This fact, taken together with the finding that, in the 1990s, career theory has made a relational turn, seems to usher in research about careers in which psychological and ontic-developmental issues assume a more prominent place.

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In Appendix A1, I have clarified the sociological surround of executive development and of coaching. In Appendix A2, I turn to the organizational context in which executive developmental activities take place. I review four contributions from the literature to the question of how executive self and role can be brought into balance, or integrated, with organizational imperatives. (From an organizational perspective, this amounts to transmuting organizational into personal imperatives.) In section A2.1, based on Hall's writings (1996, 1997, 1998), I discuss some of the issues posed by making executive development a "strategic" concern, i.e., an organizational requirement that is embedded in business strategy. Then, in section A2.2, I explore in depth the dilemmas of a model of agentic executive development by McCall (1998), to demonstrate the complexity of the issues posed by strategic executive development. This is followed in section A2.3 by the discussion of a psychoanalytic model of the dialectic of executive self and role, taken from Martin (1996), amplified in section

A2.4 by a discussion of research into types of developmental imbalance and arrest frequently found in contemporary executives.

Starting from the notion that executive development has structural, political, human-resource, and cultural aspects (Bolman & Deal, 1991), in section A2.1, I initially explore how managers making one or two of these aspects the center piece of their executive development strategy might want to proceed. As Appendix A2 shows, one of these aspects, namely the human-resource aspect, is currently attracting by far the most attention. Given its organization-wide implications, executive development is, on the other hand, one of the most potent testing grounds for "multiperspectival" thinking (in the sense of Bolman & Deal, 1991). In my view, Appendix A2 shows that adopting more than a single perspective on an organization is difficult for executives and theorists of organizations alike. I surmise that this is the case because there exist ontic-developmental limits on the capacity of multiperspectival thought (Laske, 1997), a fact that Basseches (1984) would consider the effect of an incomplete achievement of dialectical thinking.

As shown in section A2.1 by Seibert et al. (1995), human-resource departments of the past have tended to "to build a false dichotomy between developing individuals and conducting business" (1995, pp. 550-551). If this has been true under the old career contract, where development was primarily the responsibility of organizations, how would this play out under the new career contract, where development is primarily the responsibility of the individual? As these authors see it, the remedy is to "START with the business strategy (and pressing business needs growing out of that strategy) and then work to INTEGRATE development opportunities into the implementation of that strategy" (Seibert, Hall, & Kram, 1995, p. 559). Thinking in terms of adult development, this advice poses the intriguing question of who might be able to define business strategy from more than a single organizational perspective, sufficient for it to be "translated" into developmental opportunities and associated executive-development activities. Even if human-resource service firms should claim to have the answer to this question, as many do, the ontic-developmental question posed above does not go away; it's scope is simply extended to the service firms. I consider this version of the question "who develops the developers" as the primary dilemma and conundrum of both theory and practice of executive development. This question will slumber in public-relations language as long as ontic-developmental questions are not raised by theorists of executive development.

As Seibert et al. (1995) clearly see, their advice has important structural and political implications, in that it requires to "move beyond HRD (structurally, O.L.) and up to the current strategic objectives of the organization (politically, O.L.)" (1995, p. 560). Their second piece of advice, to make (supported) "experience-based learning" the centerpiece of executive development" (1995, pp. 560-562), in addition poses the question of what are the difficulties for adults, to learn from experience. Since Seibert et al. do not distinguish between change (adaptation) and development, they also do not pose the question of how to support experience-based learning such that it can yield ontic development. The difficult questions, above, are focused most persuasively by Schein (1992) who, reflecting on learning organizations, asks: "is it possible to imagine a culture that by its very nature is learning oriented, adaptive, and innovative? In other words, can

experience-based learning be institutionalized as a culture? (Schein, 1992, p. 363). The progression from experience to learning to (ontic) development, and the possibility of instituting that sequence agentically, through human effort, is the theoretical axis around which all current executive-development philosophies turn. Section A2.1 shows that Seibert et al.'s (1995) call for "adaptability plus self-knowledge" as the telos of learning from experience has ontic-developmental preconditions that either individually or culturally may not be in place when needed.

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McCall's (1998) model of (agentic) executive development in organizations elaborates a way of thinking and a set of concepts that are highly representative of the current literature on the topic. Focal in section A2.2 are the "dilemmas" posed by McCall's model, both his own, more organizational, and the critically added constructive-developmental ones. Based on notions of "(personality) trait psychology" and on a detailed critique of "Darwinian" approaches to executive development that deny or neglect the need for such development, McCall puts in place the advice given by Seibert et al. (1995), to start with business strategy and, having "translated" it into organizational needs, "translate" it further into the executive capacities required to satisfy them, by designing appropriate organizational "mechanism" supported by "catalysts" for helping individuals learn from experience. Accordingly, the equation for business success is a simple means-ends analysis (Personnel Decisions International, undated, p. 6):

business strategy => people strategy => define organizationally
needed capabilities => measure the gap between needed and required
capabilities => introduce executive-development mechanisms
and activities to reduce the gap.

While McCall's treatment of the issues and dilemmas provoked by this equation is highly sophisticated in terms of organizational, structural as well as political, thinking, what strikes the ontic-developmentally schooled critic of his model is the circularity of the reasoning the model is based on. Briefly, the model already assumes the capabilities it is meant to deliver, either in those developing business strategy, or in those to whom executive-development activities are delegated, such as individuals in human-resource service firms. McCall's model also assumes individual's sensitivity to issues of development that comes only from one's own experience of self-transformation which is more likely to occur at higher levels of adult epistemology. In this sense, McCall's model poses once again the ontic-developmental questions provoked by Seibert et al.'s advice, above. This general criticism aside, McCall's multiperspectival treatment of executive development is a challenging assessment of the current organizational conditions of adult development in the workplace.

In regard to executive-development activities such as coaching, they are framed by McCall as centered around helping executives "learn from experience," where experience

can be translated as incidental as well as purposive daily learning from on-the-job performance challenges. These challenges include the task of identifying those "overused strengths" that a change of organizational context can swiftly turn into liabilities. This is the case especially since there exists, in McCall's view, a conspiracy on the side of the organization that relies on strengths with a potential for leading to derailment. As McCall implies, endorsing Fletcher (1996), the task of "implementing" strategic executive development models is fraught with the difficulty that it requires a culture transformation that may not be forthcoming, which embodies a shift from relying on task-knowledge strengths to those based on relational competencies.

Although he does not explicitly deal with coaching or mentoring, McCall conceives of them as "catalysts" (McCall, 1998, pp. 177, 189) for promoting learning from experience. To serve this function, these activities must be supported by line-management, and must be monitored "at the top," as a "visible indicator that such a system (i.e., executive-development system, O.L.) exists" which cannot be a pure human-resource intervention (McCall, 1998, p. 200). McCall's critique of "Darwinian" approaches to agentic development that rely on survival of the fittest rather than development of the fittest, as he sees it, not only puts in perspective the difficulties of introducing constructive-developmental ideas into organizations. Implicitly, the critique also demonstrates that a balanced profile of the executive as a cognitive-emotional process/entity has not emerged, neither in contemporary culture nor, therefore, in

scientific research.

In section A2.3, I introduce Martin's systemic as well as psychoanalytic model of executive development (further elaborated in section A4.4). In contrast to McCall's model, Martin's model of executive development focuses on the executive him- or herself as the target of strategic development efforts. Martin's model is systemic in the sense of family therapy where the emphasis falls on providing solutions to a family "presenting problem" by focusing on change-resistant theories-in-use programmed into the family (Nichols & Schwartz, 1995). Balancing a systemic with a psychoanalytic focus, Martin's model targets the executive as a member of two major "families," first, the executive team (as the "ego" of the organization), and second, his or her own family. In this way, the model is relational in the sense of Kram (1996) and Fletcher (1996). Being a psychoanalytic thinker, Martin sees executive development as centered around the dialectic of executive self and role. This dialectic is exacerbated by the dynamics of the executive team itself. Searching for an interface between organizational and personal imperatives of development, Martin finds it in the executive's ego functions that are enmeshed with the ego functions of the executive team directing the organization. In her conception, these ego functions, or inner self-structures, are heavily guarded by protective layers constituting a "false self" and "defenses" (i.e., character; see Fig. A1   ) that form a barrier to self-transformation and, as a consequence, to culture transformations in organizations. From this perspective derives her mandate of corporate therapy, or coaching, to make self- and culture transformation possible in organizations. Martin thus indirectly addresses the "translation" issues that characterize competency models born of business strategy, whose purpose it is to identify, clarify, and develop those capacities of executives that are needed to assure

organizational equilibrium. As she sees it, the task of coaching is to transmute organizational into personal imperatives of self-transformation, by coordinating phases of the coaching alliance with phases of organization-wide culture transformation.

Martin's model conceptualizes executives' self as "occurring simultaneously on ten connected levels of consciousness, in which perception moves successively from an external to an internal focus" (Martin, 1996, pp. 140-141). Of these ten levels, five are "defensive" in the broader sense of false self and character, while five instiatiate ego functions such as self-love, gender identity, relational competence and, most importantly "observing" and "executive" ego. It is the goal of mentoring and coaching referred to as corporate therapy, to transform the outer, defensive layers so that self-transformation through the services of the observing and executive ego can occur. The personal change
effort Martin strives for is coordinated with an organizational change effort based on visions of performance breakthroughs that are instilled organization-wide by the executive team.

In contrast to McCall's multiple mechanisms and catalysts, Martin relies on corporate therapy as the major executive-development mechanism. This mechanism has its own in-built catalysts (supports). (For details, see section A4.4). In Martin's view, executive-development activities that do not deal with the false self (layers #1-2) and the defenses of an executive (layers #3-5) are short-lived in their result and strategically superficial, since they are unable to lead to a transformation of organizational culture.

A similar critique of exclusively organizationally-based models of executive development is delivered by Kaplan (1991). Adopting the method of biographical action
research that enables him to "get personal" regarding executive development, Kaplan's points to the pervasive pathology among executives, to be of "expansive" character that is an outflow of developmental imbalance if not arrest. Individuals of expansive character (of which he names 3 types) manage their impermeable psychological boundaries with either high or low flexibility, with the result that they "don't get the message" regarding their own weaknesses. As did McCall, Kaplan points out that such executives can often count on the complicity of the organization that is unaware of the dialectic of managerial strengths and weaknesses. As a consequence, executive- devlopment activities, in Kaplan's view, must be targeted to resetting the developmental balance of executives, an achievement he calls "character shift."

In contrast to McCall, thus joining Martin, Kaplan is convinced that a cognitive-behavioral approach to personal change, --as instantiated by most coaching programs, --is not the answer. Rather, what is needed is what Martin calls self-transformation of the executive ego. Just as Martin's model points to the defensive layers of the executive ego whose function it is to protect the ego from the experience of worthlessness, so Kaplan sees expansive character as "a set of deep-seated strategies used to enhance or protect one's sense of self-worth" (Kaplan, 1991, pp. 4-5). Endorsing Fletcher (1996), Kaplan also points out that many executives, especially of male gender, have adopted a "separate" rather than "relational" style, thereby opposing any organizational attempt to create a relational culture. Kaplan's analysis of expansive character is thus equally a cultural analysis, as is Fletcher's (1996) and Martin's (1996).

In an attempt to "explain" executive expansiveness ontic-developmentally, Drath (1990) employs Kegan's early (1982) theory, to show that and how the developmental

imbalance spotted by Kaplan could be rooted in the developmental stage itself that an executive impersonates by dint of being a manager. In this undertaking, he is unable to benefit from the clarifications that have emerged in Kegan's later theory (1994), and thus he does not distinguish between style and order of consciousness (or epistemologic). Drath thus gives an example of a mistaken application of ontic-developmental principles, by trying to explain executives' "unique psychological organization" on developmental grounds in a strictly causal fashion. However, this methodological flaw not withstanding, Drath's

attempt to apply ontic-developmental principles in the analysis of executive development must be acknowledged as a pioneering step.

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In the previous, I have taken on the two outer circles of Fig. 2 , pertaining to the sociological surround and the organizational context of executive development. This discussion has contributed to an understanding of the sociological shift that has occurred in the career contract defining the mutual expectations of executives and organizations, as well as what Cytrynbaum et al. referred to as the proportional relevance of individual and social systems parameters in adult development in the workplace. In Appendix A3, I take on the three inner circles of Fig. 2 , pertaining to executives' "unique psychological organization" (Basseches, 1989), the management of their psychological boundaries (Popp, 1996), and the notion of executive self (Kegan, 1994) that I have distinguished from that of executive role. The insights gathered in Appendices A1 to A3 are then employed in Appendix A4, on coaching. While Appendices A1 and A2 form a necessary background to my study, the issues they regard do not directly seed my research questions. By contrast, Appendices A3 and A4 together form the immediate conceptual context of my research.

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The issues discussed in Appendix A3 are centered around two major issues, first, that of the relationship of an individual's self to his or her unique psychological organization; and second, the distinctions required between learning and development, on one hand, and change and development, on the other. Although career and executive-development theories have become increasingly open to the issues of adult development in

the workplace, these theories do not provide a conceptual framework that could easily be

fitted to issues of adult development. As if that were not enough of a hindrance for the "integration" of adult-developmental ideas into executive-development theories, there are, in addition, many unresolved issues

within ontic-developmental theory itself that obviate against an easy absorption of constructivist theories into organzational psychology and the theory of organizations. For this reason, an effort is made in Appendix A3, to provide a thorough understanding of these unresolved issues in constructive-developmental theory itself.

Aside from the fact that clinical-developmental psychology has historically been centered around issues of pathology rather than creativity (Commons et al., 1996, p. ix), the major hindrance for "applying" ontic-developmental insights to adult development in the workplace has been the lack of clarification in the developmental literature, of what is the explanatory saliency and scope of the concept of "developmental stage" for understanding the observable day-to-day psychological functioning of individuals. For this reason, cognitive-developmental theory has not been successful even in pervading its own homeground, that of clinical psychology, and has made only some timid steps toward stepping into the domain of adult development in the workplace (Cytrynbaum et al., 1989; Basseches, 1984). However, an "integration" of its insights into organizational theories is increasingly called for.

For this reason, I show in Appendix A3, largely relying on Basseches' writings (Basseches, 1984, 1989), that it is not cogent to interpret stages of adult development that define "(epistemo-) logics" or "developmental positions" in contrast to interactional "styles" as causally explanatory principles of psychological functioning as was attempted, for example, by Drath (1990). Without restating the arguments against this "reductionist" use of the stage concept, this is so since stages are "ideal-typical," teleological, thus philosophical, concepts in contrast to causal factors of psychological functioning. Therefore, any attempt to engineer a transgression from the epistemic to the psychological domain is a classical "katabasis eis allo genos" (Grenzüberschreitung) in the philosophical sense.

Concretely, stating that an executive functions at developmental stage X does not entail that his or her psychological functioning can be causally explained by X. To attempt such an "explanation" would entail a massive reduction of the idiosyncracies and biographic complexities of psychological functioning. For instance, to explain the functioning of Kaplan's "striver-builder" by way of reducing it to a universal stage concept (e.g., that of Kegan's "institutional stage"), as attempted by Drath (1990) would amount to overstating a "consistency hypothesis" (Kegan, 1994, p. 373) that assumes a flawless realization of universal stage equilibria in individuals' actual and idiosyncractic psychological functioning.

This said, there remains a credible and legitimate reason to strive for ontic-developmental insight into the present adult-developmental stage at which executives can be shown to function. In terms of Fig. 2 , although a direct linkage of circle #1 (self) to circle #3 (unique psychological organization) is a methodological faux pas, insight into ontic-developmental stage can undergird a more thorough assessment of how to promote development in a particular executive. While a non-behavioral assessment has been introduced by Kaplan (1991, 1998) and Martin (1996), both of these approaches to assessing executives lack the force of ontic-developmental insight. In fact, these approaches to assessment do not transcend what is known in traditional clinical psychology about diagnosing psychological functioning. Since, especially for purposes of coaching, assessment is crucial, one ought to consider the benefits resulting from an "ontic-

developmental assessment" based on some kind of universal stage concept. These, then, form one group of crucial issues discussed in Appendix A3.

The second group of crucial issues discussed in Appendix A3 has to do with the distinction required between learning and development, on one hand, and of change and development, on the other. As shown, these notions are used almost indiscriminately in the organizational literature. This lack of conceptual differentiation extends to a concept such as "experience," which is variously tied to learning and development. One of the benefits of ontic-developmental analysis of executive behavior is a clarification of these confounds, achieved, of course, at the price of greater conceptual complexity and a reduction of "public relations uses" of the term development.

In contrast to the question addressing an entire age-cohort: "What are these workers' lives like?" that gave rise to the "phasic" conception of adult development (Levinson et al., 1978), "structural," (constructive-developmental) theory prefers to ask: "W hat kind of a person is this worker?" and "where along his or her life-span developmental trajectory is this worker in terms of making meaning of experiences?" As Demick (1996) points out, one of the differences between these two questions is a matter of the chosen unit of analysis. In the first case, the unit of analysis is a person-in-environment, while the unit of analysis associated with the second question is a single person whose environment is conceived as constituted by the process of his or her meaning-making, and is thus "constructed," not simply "there." This constructive process, which gives the theory its name, is seen as not only a cognitive, but equally an

emotional one, since consistency is assumed to reign across the different domains of epistemologic functioning. As I show in Appendix A3, by referring to Noam and Basseches, the extent to which meaning-making consistently organizes individuals' psychological functioning is one of the dividing issues in constructive-developmental theory.

However, what unites all representatives of this theory is the notion that development and change need to be distinguished. A classic definition of development,

formulated by Loevinger (1976, p. 38) states:

> if development consists in structural changes, any new
> structure constitutes a break from the old one. It
> cannot be obtained by adding or subtracting (i.e., in
> a mechanistic way, O.L.) but only by establishing
> a new principle governing the relations among the
> parts (of the person's ego, O.L.])

In short, development has to do with establishing a new "principle" of meaning-making, or logic of functioning, while change does not involve such a structural break. A less abstract formulation, by Basseches, makes this distinction between development and change more palpable (Basseches, 1984, p. 324):

> Under what circumstances does confronting a life-crisis
> (which is due to one's life-structure becoming unworkable)
> lead simply to the formation of a new set of beliefs and
> a new way of living more appropriate to the future (the

next life structure); and under what circumstances does the confrontation lead to reconceptualizing one's life historically, in a more sophisticated and dialectical way?

Here, what is in focus is the continuity of experience, not the break with an anachronistic structure as in Loevinger. While the foci of Loevinger and Basseches seem to be opposites, they actually derive from the same dialectic principle: a break is unthinkable without a continuity in which it occurs, and complex continuity is not some even sameness, but is something that is sustained through breaks. By contrast, change is adaptation to new circumstances that does not establish a new principle of meaning-making.

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As shown in <u>Fig. A3</u>, above, the distinctions that can be made between stage and non-stage theories, on one hand, and between development and change, on the other, leads to a fourfold classification of theories of development:

- stage theories of change (Levinson et al.)
- non-stage theories of change (Kaplan; Martin)
- stage theories of development (Kegan; Popp)
- non-stage theories of change (Basseches; Demick).

From the point of view of the theory of executive development and of coaching, which of these types of theory is the most suitable? W hich one is most likely to yield "actionable" insights, to speak with Argyris. especially for strategies of assessment for coaching and for coaching itself?

As demonstrated in detail in chapter II, on methodology, in this study I am choosing a two-pronged approach, using both a stage (Kegan, 1994) and a non-stage theory of development (Basseches, 1984). I do so in order to arrive at a methodology suited to investigate conceptualizations of change, internal and external, as a developmental marker relevant for understanding development in the workplace. Another important reason, spelled out more clearly in chapter V, is that stage and nonstage descriptions of ontic-developmental status, taken separately, are insufficient to capture the mental processes required to reach, maintain, transcend, or regress from, a stage. In other words, both structure and process descriptions are required to fully account for ontic-developmental level, regardless of whether these descriptions, taken in isolation, are considered "stage" or "non-stage" descriptions.

Research following Kegan's theory has already shed light on individuals' relationship to their work, which is addressed by him under the aspect of demands contemporary culture makes on the mind of professionals. In a conplementary way, Basseches' (1984) non-stage theory of development is apt to elucidate the way in which executives reason about, and experience, changes in their their professional agenda. (What is referred to by Basseches as "dialectical thinking" is really a capacity to conceptualize change as developmental continuity across time.) The question asked by Kegan, namely: what does professionalism, as

one of society's "curricular" demands on capacities of the adult mind (Kegan, 1994, p. 5), require of, and contribute to, human development? is of direct relevance to my research question regarding executives' professional agenda. As detailed in the Orientation to the study, and mentioned repeatedly since, I use the term professional agenda as a deep-structure, basic-assumption notion close to that of professional self-concept that admits of a number of behavioral manifestations and stylistic variations. As Kegan elaborates in detail, individuals' relationship to their work changes across the lifespan. What one person perceives as a "job," another sees as a "career." Depending on how work is viewed, both in terms of an individual's relationship

to him- or herself, and in terms of an individual's relationship to an organization and its work, the individual can be said to "have," if not at times to "be," a different professional agenda. The discussion in Appendix A3 shows that an executive's professional agenda, as far as it embodies his or her epistemologic, reflects the self's "central principle of cohesion, its fundamental loyalty, and its principal threat" with regard to work at a particular ontic-developmental stage (Kegan, 1994, p. 167). This conceptualization is a non-behavioral as well as non-psychoanalytic description of the epistemologic that informs an individual's professional agenda at a particular lifespan position.

When asking questions about transformative effects of coaching, as I do in this study, I am referring, in part, to the epistemologic questions raised and detailed by Kegan's theory. In terms of this theory, differences between various executives' professional agenda, as well as changes within a single executive's professional agenda provoked by coaching, are becoming manifest in terms of what the individual can be said to be embedded in (subject to) and able to take responsibility for (have as object). This formulation is specific to a stage theory of development, and differs from questions asked by a non-stage theory of development, such as that by Basseches (1984, 1989).

Basseches non-stage theory of development regards those aspects of the unique psychological organization of executives that do not yield to the consistency predictions of stage theory. Given his interest in the inconsistencies and conflicts characterizing an executive's learning from experience, Basseches' theory of development is formulated as a theory of dialectical thinking. The theory proposes that there exist (Basseches, 1989, p. 200):

> intrapsychic conflict between a person's most
> advanced ways of making meaning (.e., the stage,
> O.L.), and other aspects of their inner experience
> and motivated, organized activity ...

This entails, more explicitly, that (Basseches, 1989, p. 200):

> There is an ongoing, never-ending dialectic between,
> on the one hand, making one's best efforts to function
> rationally, based on one's most sophisticatedly
> constructed knowledge, and, on the other hand,
> confronting in one's experience thoughts, feelings,
> and actions that conflict with what one has decided

is the most rational way to be.

One way in which these conflicts manifest themselves in individuals in general, and

executives in particular, is in terms of the schemata they use (or do not use) to conceptualize, and make

sense of, their experience, especially of changes in their life. Such schemata, whether motion-, form-, or

relationship-oriented (Basseches, 1984, pp. 72 f.), articulate developmental equilibria (a non-stage equivalent

of "stage") that indicate the level of an executive's ontic development. With regard to changes brought about in

executive development, especially coaching, such equilibria describe cognitive-emotional functioning in light of

(Basseches, 1984, p. 64):

> (a) a set of assumptions about the pervasiveness of
> change, and (b) ways of conceptualizing moments of
> structural stability, moments of radical transformation,
> and constitutive and interactive relationships which
> both define and transform (cognitive, O.L.) structures.

Concretely, schemata are at work in descriptions executives give regarding the transformative effects of

coaching on their professional agenda.

Appendix A3 outlines another pertinent way of conceptualizing the impact of ontic-developmental

stage, or epistemologic, on executives psychological functioning and coaching outcome. As shown in Fig. 2 ,

the way executives handle their psychological boundaries, both inner and outer (Popp, 1996), can serve as a

mediator between the inner circle of self (#1) and the circle (#3) depicting an executive's psychological

organization or "clinical profile," as described by Kaplan (1991) and Martin (1996). How psychological

boundaries are managed by executives also has to do with differences in their interactional style, described by

Hodgetts (1994) as being either separate or relational (Appendix A1).

Because I see this study as a continuation of attempts to introduce constructive-developmental

thinking into theories of executive development, I have devoted section A3.4 to a critical reading of

developmental explorations of managerial effectiveness. My major

critique of these explorations is that most of them commit a "transgression of limits," by trying to make a direct

causal link between the inner circle of self (and its stages of development) in Fig. 2 , and the outer circle of

organizational context, or, more succinctly, the conjunction of organizational context and unique psychological

organization (Fig. 2 , circles #4 & #5). My critique is centered around the assertion by Fisher et al. that

"managerial effectiveness can be explained from a human development point of view" (Fisher et al., 1987, pp.

257), not because I doubt the authors' empirical evidence

(expressed in memos and a reason-for-action form simulating concrete organizational situations) (Merron,

Fisher, & Torbert, 1987 pp. 277 f.), but because their notion of "explaining" managerial effectiveness, thus the

interpretation of their quantitative data, is reductionistic. The authors ask two questions (Merron et al., 1987, p.

278):

first, can differences in the ways managers solve problems be explained by differences in developmental position (measured in terms of Loevinger's Sentence Completion Test, O.L.])? Second, can differences in managers' leadership style be predicted by differences in developmental position?

While answering such questions quantitatively is useful, causal formulations of the results of such studies evoke the impression that one can simply reduce constructs such as "managerial effectiveness," measured along some ordinal scale, to one of the ontic-developmental stages. Also, such studies say little or nothing about the actual processes which constitute managerial effectiveness. Were one to ask, in analogy to Merron et al.'s approach:

first, can differences in the ways managers experience a transformation of their professional agenda (concretized in some empirical fashion) be explained by differences in developmental position, and secondly, can differences in managers' leadership style be predicted by differences in how they experience transformations of their professional agenda due to coaching?

the answer would probably be a resounding "yes." However, this "yes" would completely exclude any significant constructive-developmental insight into what an individual executive has to "manage" psychologically, in both Kegan's and Basseches's sense, in the

process of transforming his or her professional agenda, and of making changing in leadership style. The yes would reduce the complexity of the relationships holding between self, management of psychological boundaries, unique psychological organization, and organizational context to mere ciphers. However, as an ideological exercise for the purpose of persuading organization theorists to take note of cognitive-developmental theory, investigations like that by Merron et al. probably serve a purpose,--that of another "public relations use of the term development," this time in favor of constructive-developmental (rather than phasic) theory. By contrast, in this study I would like to honor the intrinsic differences between explanatory domains of executives' functioning and development, as depicted in Fig. 2   .

In summary, Appendix A3 provides this study with a range of tools for describing, conceptualizing, and explaining transformative effects on executives' professional agenda brought about by coaching. All of these tools transcend cognitive-behavioral as well as psychoanalytic ways of conceptualizing personal change. By addressing the link between personal change and transformation of self, or ego, these tools help address constructive-developmental research questions regarding coaching. As shown in section A3.4, it is important in using these tools, to avoid reducing complexity for the purpose of ideological gain.

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In Appendix A4, on coaching, I explore two groups of approaches to coaching, a cognitive-behavioral and a psychoanalytic one. My goal in doing so is to highlight that such approaches have a limited grasp of the ontic-developmental potential, as well as preconditions, of coaching, since they neither distinguish between learning and development, nor between change and development. While I show that there a large number of organizational alternatives to one-on-coaching, I concentrate on individual, one-to-one coaching, particularly as carried by external, rather than internal, coaches. I also report the history of the term 'coaching,' and the historical shifts the term has undergone over the last 500 years.

Doubtlessly, the cognitive-behavioral approach to coaching is a useful one. It is also the most widely employed in organizations. I see its usefulness in that this approach, whether implemented on- or off-line, can help executives acquire a vocabulary in terms of which to engage with their own "skills portfolio," "knowledge base," and "development plan" on a daily basis (e.g., Gebelein, Lee, & Sloan, 1997). Through the use of "how to do development" materials, executives learn to articulate their own competencies, strengths, and weaknesses, and development goals, and thus are empowered to promote agentic development both for themselves and their co-workers. In this fashion, they assist the organization in transmuting organizational into personal imperatives, as is needed for establishing organizational equilibrium.

As I point out in section A4.3, from a scientific, especially a developmental point of view, cognitive-behavioral approaches are not on a level of complexity and sensitivity demonstrated, e.g., by Kaplan's biographical action research on expansive executives. They cannot and do not "get personal," as Kaplan suggested executive development must. This is so because the majority of these approaches are based on a more or less open-minded "competency model"--also called profile of success or psychological study--that essentially is an extended performance review based on organizational requirements that are taken for granted. In most cases (e.g., PDI's PROFILOR, 1991), the performance review has been broadened into a 360-degree feedback instrument capturing co-workers' and superiors' perception of the executive's role behavior and performance. Gaps that appear between self- and other-assessment are typically not reflected upon in terms of what ontic-developmentally makes them characteristic of an executive's professional agenda. As a consequence, the feedback that is provided on account of such an instrument tends to "leave out the person," i.e., the self, of the executive. A typical competency model is based on a method of assessment that puts in brackets the executive's history, learning style, developmental profile, in short, his or her unique psychological organization. Competency models capture aspects of the executive's role, not aspects of his or her self. They also make assumptions about how learning and change relate to development. From the point of view of this study, such models pose the intriguing question of what adult-developmental insights can be made actionable in improving the assessment of executives. Can one develop methods of assessing executives constructive-developmentally, so that their cognitive-behaviorally guided development efforts can be grafted onto a more substantial assessment of executive self than is presently possible, one that takes the dialectic of epistemologic and unique psychological organization into account?

As outlined in section A4.3, the notion of coaching targeted in this study comes closest to what R. Witherspoon has called "coaching for agenda." Although W itherspoon takes a cognitive-behavioral approach to coaching, he is open to the broader issues that ensue when coaching goals do not narrowly focus on skills and present or future performance. W itherspoon's notion of coaching for agenda has some family similarity with McCall's notion of "catalytic" executive development activities that help bring about learning from experience. W itherspoon's notion of agenda is taken from Kotter (1982), where it refers to "loosely connected goals and plans" of the executive in contrast to organizational strategy planning. Similar to the focus on coaching as investigated in this study, Witherspoon's coaching for agenda (Witherspoon, 1996, p. 131):

> ... deals with broader purposes--the continual life
> results and well-being an executive wants. The scope
> ranges considerably and usually goes beyond a single
> person or situation.

Accordingly, the coach is seen as a "talking partner" forming an alliance with the executive, who controls the agenda of the coaching. This conception of coach is close to relational-theory conceptions of co-learning (Kram, 1996; Fletcher, 1996), and to the conception of the corporate therapist in Martin's work.

As intimated in section A4.3, the more one moves toward "developmental coaching" in the constructive-developmental sense, the more the coach is in need of making open (and on-going) assessments of the executive, as they are known from the diagnostic psychoanalytic tradition (Levinson, 1996, p. 117) and from cognitive-projective testing (Santostefano, 1978; Exner, 1993). There exists a close connection between the assessment model used in coaching and the scope of the coaching that can be realized. In terms of a "continuum of roles" (W itherspoon, 1996, p. 124), coaching ranges from the "implementation" of extremely limited and fixed assessment goals to the free exploration of ontic-developmental dynamics.

Section A4.3 introduces Kilburg's model of coaching (Kilburg, 1996, pp. 134 f.) and my own related Integrated Model of Developmental Coaching (IMDC, Laske, 1999). In close proximity to Kilburg's conceptualization, the IMDC conceptualizes the coaching alliance as shifting between three foci, or "houses": the Professional House (Kilburg's "executive focus"), and two Company Houses (Kilburg's "systemic" and "mediated" focus). Putting the emphasis on the dynamics of the alliance itself as the basis for achieving transformative effects in coaching, the model implies that "a consultant working with a client executive can provide assistance to an individual inside of, or crossing through, any of the foci (houses)" (Kilburg, 1996, p. 138).

In the Integrated Model of Developmental Coaching, I conceive of the coach and the executive as inhabiting their own professional house, one aspect of which is the Professional Agenda of both players. I see each of the houses (foci) as undergirded by specific developmental targets, such as self-awareness, self/role integration, and multiperspectival leadership. The IMDC is a first step toward conceiving of coaching from a constructive-developmental perspective. It gives rise to the research questions elaborated at the end of this chapter.

Insert <u>Fig. 3</u> here

   In the figure, coach and executive are seen as "dwelling" in three houses. The houses represent mental spaces in which coach and executive interact. They also represent the space in which transformative effects of coaching are engendered. In what follows, I put special emphasis on the executive's, rather than the coach's, houses.

   The first, or Professional House, is the house of the self of the executive as a

professional. All matters directly effecting the executive's self- and other-awareness are subsumed by this house. The executive is related to the organization in two different ways: first, by carrying out a certain set of roles deriving from his or her formal authority and status; and second, by the fact that he or she takes varying perspectives on the organization, depending on his or her ontic-developmental position. The first-mentioned relationship between executive and organization is represented in Fig<u>. 3</u> by the middle house, called the First Company House, while the second-mentioned relationship is represented by the third house, referred to as the Second Company House. Both company houses together subsume the executive's organizational functioning and perspective-taking.

   Along ontic-developmental lines, the Professional House regards changes to executives' self and related changes to their awareness and apperception of what is "other," or not-self, such as the organization they are part of. This domain of change is referred to in Fig<u>. 3</u> as self-and other-awareness. The First Company House regards the integration of

roles with each other and with self that coaching brings about in an executive. Consequently, its ontic-developmental telos is role integration. The Second Company House regards integrated leadership in the sense of Bolman & Deal (1991), which is based on the ability to transcend a single perspective on the organization in favor of multiple perspectives.

   Since I have introduced the metaphor of three houses in Appendix A4 in some detail, here I will be brief regarding the levels comprised by the houses. The most salient level in the coaching Houses, from the point of view of this study, is the "bottom floor" of the Professional House. In fact, this study can be seen as an in-depth investigation into that level. Ontic-developmental changes ot this level are thought to be systemic, in that they

effect every other House and level in the Integrated Model of Developmental Coaching. In fact, the use that is made of coaching by executives, regarded in terms of the Houses they choose to emphasize in their coaching, embodies salient pointers to their ontic-developmental position. Executives who focus on improving technical role performance in the First Company House are likely to be at a different ontic-developmental position than those who primarily work with the coach in the Professional House or the Second Company House. Also, once coaching engenders ontic-developmental changes on the bottom floor of the Professional House (i.e.,

changes in self- and other-awareness), the executive's use of coaching may change in harmony with his or her experience of transformative effects of coaching on their professional agenda.

On the side of the two Company Houses, one is dealing with changes effected by coaching in executives' role performance. Executives' role performance derives from their formal authority and status (First Company House). Consequently, changes in how executives construe their relationship to authority (e.g., to the upper echelons of their organization) will affect the way they carry out their interpersonal, informational, and decisional roles. In terms of developmental telos, then, changes effected by coaching in the First Company House have to do with self/role integration, meaning both the integration of roles with each other, and the integration of roles played and the self.

There is more to executives' career than being performers of certain roles. Executives are thinkers-in-action. For executives who strive to be leaders, the capability to shift perspective regarding their organization from one vantage point to another is a crucial precondition of integrated leadership. As Bolman et al. (1991) point out, executives who cannot "reframe" organizational matters fail in their task of developing a vision. Changes taking effect in the Second Company House are changes in the capacity for taking multiple perspectives. This capability can be conceptualized along the lines of Bolman et al. (1991) as an ability to deal with organizational structure (structural frame), human need (human-resource frame), coalitional conflict (political frame) and organizational mission (symbolic frame) simultaneously. Changes in executives' ability to "reframe" organizational events can be called "re-educative" in the sense of K. Lewin (Benne, 1976). They are changes on the cognitive as well as emotional, axiological, and behavioral levels of executives' organizational functioning. Thus, while a coaching alliance centered on the Professional House emphasizes changes in self- and other-awareness, changes in self/role integration primarily effect executives organizational performance (First Company House). Given the pervasive influence of ontic-developmental position on all levels of the three Houses, coaching for adult development would have to emphasize all of the Houses (Laske, 1999). In contrast to this, most present-day coaching efforts are focused on the First Company House, where professional performance and functioning are topical. This will not change as long as it is not understood that what is engendered in all of the Houses is ultimately a reflection of the executive's ontic-developmental status quo (ego level) that is central on the bottom floor of the Professional House.

<center>***</center>

While the models of coaching discussed in section A4.3 are specific to individual executives, Martin's model, commented upon in section A4.4, is a systemic model that targets the entire organization led by the executive team as its "ego.". The model derives

from family therapy and psychoanalytic practice. The model encompasses both a theory of the coaching alliance and its phases, and a theory of how to coordinate the phases of that alliance with those of an

organization-wide culture transformation process. The latter provides executives with large-scale executive development in the sense of McCall (1998), except that individual executives are seen as a group, namely as being part of two systems, the executive team and their own families. The model "gets personal" by defining coaching as a process for promoting executive self-transformation based on bringing to awareness the executive's false self and character (defenses), for the purpose of strengthening his or her observing and executive ego. The model aims for "launching" executives as coaches of their peers and subordinates. It conceptualizes coaching not only as the principal executive-development effort (called "corporate therapy"), but as the principal strategy for transforming the organization's culture. Coaching, called "mentoring," and executive development are seen as identical. Business strategy is conceived as deriving from the coaching-based culture transformation strategy.

Focused on executives' self and the ego-protective, i.e., defensive, aspects of their role, Martin's understanding of self is, in my view, more systemic, that is, integrated with organizational and family dynamics, than any of the coaching models reported in preparation of this study. In terms of Fig. 2 , the "executive self" in her model is located in the domain (circle) of "unique psychological organization" abutting that of organizational context and psychological boundary management. In contrast to cognitive-behavioral models of coaching which never extend beyond the domain of organizational requirements and contexts (Fig. 2, circle #4), Martin's model transcends such contexts and opens up to executives' unique psychological organization (if not also boundary management). However, she encounters the same limits that characterize cognitive-behavioral models, since she shares their neglect of the constructive-developmental aspects of executive development. In light of this study, Martin contributes valuable insights into the systemic influence of family and executive team on the formation of the executive's professional agenda, as well as the influence of the dynamics of the executive's unique psychological organization on his or her professional agenda. In Martin's view, what needs to be changed in order to transform organizational cultures is executives' professional agenda that is rooted in their executive ego. The royal road to doing so is self-transformation supported by coaching as organization-wide "corporate therapy."

In summary, in Appendix A4, I explore extant practice theories for coaching executives. These theories differ in terms of the notion of executive self and role they are adopting, and the extent to which they are based on open or closed assessments as the basis
of the coaching effort. In conjunction with the discussion of self-role and self-boundary issues in Appendix A3, Appendix A4 lays the groundwork for formulating the research questions posed in this study.

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In concluding this summary of the four appendices of this chapter, it might be useful to spell out the gist of the three approaches to executive development and coaching dealt with so far, namely, the cognitive-behavioral, psychodynamic, and constructive-developmental approach. W hile this classification is somewhat

crude, it does capture essential differences between these approaches. One way to clarify their differences is to ask (1) how each of these approaches conceives of the executive as a person, (2) how each approach conceptualizes the organizational context the executive is part of, and (3) what assumptions each approach makes regarding the link between the person and the organization.

In the cognitive-behavioral approach, mainly reviewed in section A4.3, the executive as a person is seen as manifesting behaviors learned in the past that can, when

needed, be unlearned, and can be modified by new behaviors, skills, and psychological traits that are more optimally adapted to organizational requirements. In this approach, the organization as a whole is represented by its business strategy, and the mechanisms and catalysts for learning from experience that can "agentically" be put in place in harmony with the business strategy, once that strategy has been "translated" into organizational needs and wants through the medium of psychological traits. The medium of translation is an assessment procedure called a competency model that enables human-resource personnel either internal or external to the organization, to use means-ends analysis in order to measure the gap that exists between the executive's self- and other-assessments, and to define the optimum target executive behavior-change should aim for (called a development plan). In assessing this gap, the executive's self is left out of the picture entirely, the focus being on the roles performed by him or her, and so is his or her ontic-developmental status quo that is prognostic of the executive's developmental potential.

Given that the cognitive-behavioral conception of the organization excludes a notion of the dynamics of the executive team as an entity, and is furthermore void of any explicit reference to the organization's cohesive force, of culture, I would characterize the underlying theory of this approach as mechanistic as well as atomistic. The underlying

theory is mechanistic since the organization is seen as a set of procedures for transmuting organizational into personal imperatives by way of assessment mechanisms which take organizational requirements as input, and produce as outputs the gaps obtaining between these requirements and available executive resources. The approach is atomistic in that it targets individual executives assessed from a self- and other-perspective (360-degree feedback) without further reflection upon the contribution of the organization itself to the gap "found" in individual executives, nor upon the executive's self-structure as a person. That is, the person is treated in isolation from his own inner self that makes meaning of his or her experiences in the organization.

What are the assumptions made by the cognitive-behavioral approach regarding the link binding the individual executive to the organization? The notion is that of a matrix of psychological traits of individuals. These traits (e.g., "more risk-taking") describe needed or desirable behaviors that fit the organization's strategic agenda. There is a behavioral continuum between what the organization is perceiving itself as "doing," and what it expects individual executives to be able to "do" for it in the future. In short, the link between individual and organization is a behavioral one, and the goal of the coaching process is to make a behavioral continuum possible, by transmuting organizational into personal imperatives of rational action.

In the psychodynamic approach, the executive as a person is seen as a system of defenses, or character, meant to protect his or her executive ego functions. These personal ego functions operate in some kind of predestined harmony with the organizational "ego functions" represented in the executive team (Martin, 1996); or, if conceived more individualistically, at least can personal ego functions be rescued from the developmental imbalance and arrest into which they have lapsed, often through the complicity of the organization (Kaplan, 1991). In this approach, the organization as a whole is represented either systemically or atomistically. If represented systemically, there exists a cultural vision of performance breakthrough generated internally, or externally by consultants (Martin, 1996). If represented more atomistically, the organization is represented in terms of the executives' versatility that enables them to represent the organization to the inside as well as the outside world (Dalton, 1989). In either case, the organization as a whole is a mental construct of binding cultural force that determines all of its individual members.

What binds the individual executive to the organization' from a psychodynamic point of view is that the executive's defense system (or character) is linked to the defense system of the executive team functioning as the organization's ego (Martin, 1996), and

thereby to the control structure of the organization as a whole. As a consequence, organizations, when viewed in a structural perspective, are seen as control systems that serve functions also served by the defenses of individual executives, namely, to control and repress for the sake of establishing a standard of rationality (Czander, 1993, p. 107). In short, organizational structure is globalized individual defense, and "all institutions are unconsciously used by their members as mechanisms of defense against psychotic anxieties" (Jaques, 1971, p. 477). There is thus a characterological or defense continuum binding individual executives to the organization. Consequently, the goal of coaching is the undoing of defenses that obstruct cultural visions of performance breakthrough or survival of external turbulence, by modulating the inner turbulence (irrationality) that exists in the executive team and in individual executives.

In the constructive-developmental approach, the executive as a person is either seen as embodying a standard of rationality and balance called a stage (epistemologic) that guarantees overall consistency of thought and action; or as struggling to realize a (non-

stage) equilibrium between such a standard and the idiosyncracy of his or her unique psychological organization deriving from biography and family history. The individual executive is thus either a manager in the true sense of being able to manage personal and organizational boundaries (rather than being embedded in them; Kegan, 1994); or he or she is struggling to become or remain a manager (Basseches, 1989).

In this approach, the organizational context the executive is part of is conceived as socially constructed. This context is ultimately constituted by the individual executive's meaning-making process, an ontic-developmental process responding to the cultural demands made on the mind of individual executives as adults. Thus, the organization is a mental construct instantiated by the individual executive through organizationally contexted thought and action. The organization is also seen as representative of the surrounding sociological culture that creates demands on adults' mind. The organization can be said to be

represented internally by how individual executives manage their personal and professional boundaries separating self from not-self.

What binds the individual executive to the organization in constructive-developmental terms is that there is an adult-developmental continuum that links the individual executive's epistemologic to the epistemological culture of the organization as a "thinking organization" (Sims & Gioia, 1986). Thus, there is a dialectic between individual and organizational standards of rationality that culturally manifests itself in the concept of what is considered as professional in a particular organization. Standards of

rationality pertain to what individual executives' relationship to work is thought to be, and what, as a result, are the basic assumptions articulated by their professional agenda. Consequently, the goal of coaching is a developmental one focused on transforming individual executives' professional agenda in the direction of greater self-authorship and self-awareness. The agenda is a set of basic assumptions that determines all behavioral and psychodynamic manifestations of executives' functioning. Insofar as the individual executive is unable to instantiate the standard of rationality embodied by the agenda (i.e., his or her epistemologic) in its ideal or pure form, he or she is in a state of conflict that is fed by the discontinuity between their unique psychological organization and their personal epistemologic (Basseches, 1989). It is the goal of coaching, to provide a safe haven in which this conflict can emerge into the open, i.e., the awareness of the executive, such that she can begin to transform cognitive, axiological, and emotional manifestations of her theory-in-use, that is, the basic-assumption "program" that determines behavioral manifestations and espousals (Laske, 1993).

From the vantage point of theories of organization, all of the three approaches to executive development and coaching primarily take a human-resource perspective, but with important differences. The cognitive-behavioral approach tends to be based on a political frame (Bolman & Deal, 1991), in that it argues in terms of scarce resources (of developmental opportunities) or conflicts of business strategy as to what is the organization's primary mission. By contrast, the psychodynamic approach to executive development and coaching tends to be based on a structural frame. In that frame, the notion is that the executive's defenses are sedimented, as it were, in the organizational structure, hierarchical or heterarchical. As a consequence, executive development is seen as a matter of modifying a defensive organization, or "character" (Kaplan, 1991). Finally, the constructive-developmental approach to executive development and coaching tends to adopt a symbolic perspective, in that it sees standards of personal and organizational rationality as defined by the surrounding sociological culture.

At the present time, the three approaches to coaching characterized above are not in communication with one another. In harmony with the pragmatic tradition of organizational psychology, the cognitive-behavioral approach is reigning supreme. In my view, this is itself an adult-developmental issue that ought to be discussed in the organizational theory community. Bringing together different perspectives on an issue, i.e.,

multiperspectival thinking, requires an ontic-developmental maturity that may be beyond the ken of most theorists of organizations. (On the consequences of this situation for the science of organizations, see Bolman et al., 1991, pp. 309 f.). As a consequence, the

three approaches are presently pursued as if they were exclusive of, and at odds with, one another. In the prevailing relativistic intellectual climate, they are treated as pragmatic alternatives.

As indicated, not only do the three approaches to coaching differ in their notion of what is a person and what is an organization, they also differ in their assumptions as to what links the person to the organization, and therefore, what is the function of coaching. Coaching in the context of a behavioral continuum (of "traits") differs from that in the context of a predestined harmony between individual and organization which, in turn, is different from coaching taking place within an adult-developmental continuum. These differences also become manifest and transparent in the type of assessment that is employed as a basis of formulating developmental plans for individual executives or the executive team. Each of these approaches may be useful, depending on the specific organizational situation dealt with by the coach, as long as the coach and his or her sponsors are aware of what they are assuming the executive to be coached to "be" as a person, and as long as they have an understanding of what is the concept of "organization" they are presupposing. Concretely, this entails that the organization must possess a culture in which coaches as action scientists can "enact a community of inquiry in communities of social practice" (Argyris, 1987, p. 12), and thereby assist organizations in questioning their own basic assumptions, that is, their culture.

In a more clinical perspective, there exists, as Noam et al. point out, a link between a persons's ego-maturity and the characterstic request he or she makes in favor of one or the other "treatment modality" (Noam et al., 1996, pp. 287-289). This insight from developmental psychopathology has a straightforward application in selecting coaching approaches for executives at different ontic-developmental stages. Using Loevinger's stage theory (1976), Noam et al. state (1996, pp. 287-288):

> The ego development model (by Loevinger, O.L.) might
> be helpful in clarifying different needs, motivations,
> and capabilities that underlie individual differences
> in treatment requests. Specifically, we found that
> individuals who functioned at more mature ego levels
> were more likely to request psychodynamic insight than
> were other patients.

In other words, for executives at a higher ontic-developmenal level, a coaching approach based on a non-stage theory of change that is psychodynamic (Kaplan, 1991; Martin, 1996; Czander, 1993; see Fig. 4) might be appropriate. As Noam et al. see it (Noam et al., 1996, p. 288):

> This (above quoted fact, O.L.) is consistent with ego
> development theory (i.e., Loevinger, 1976, O.L.) which
> describes the postconformist ego (roughly corresponding
> to Kegan's 5th order of consciousness, O.L.) as being
> concerned with self-development, having a capacity for
> self-awareness and self-reflection, and conceiving of

> interpersonal relations in terms of mutuality and respect
> for differences.

They continue (1996, p. 288):

> Individuals who functioned at the self-aware stage
> (roughly identical with Kegan's 4th order of
> consciousness, O.L.) ... would be predicted to request
> a combination of modalities. ... Therefore, an insight-
> oriented (i.e., psychodynamic, O.L.)treatment with
> individuals at the self-aware stage might require
> developing the ability to use a collaborative relationship
> while supporting differentiation from others. This can
> lead to a more complex interdependence (my emphasis, O.L.)

Importantly, Noam et al. here point out that an executive's ability, "to use a collaborative relationship," such as coaching, effectively is itself a corrolary of instantiating in their personality a particular order of consciousness. A "self-aware" executive might request, or require, a "combination of modalities," such as psychodynamically oriented coaching combined with more group-focused approaches (e.g., "safe havens," Hodgetts et al., 1996, pp. 297 f.). This is the case since "individuals at the self-aware stage have gained the capacity to observe themselves, but still have strong needs for a concrete support-giving relationship." (Noam et al., 1996, p. 288).

Finally, those executives who have not realized a self-aware stage, or equivalent order of consciousness (Kegan, 1994), who thus "function at less mature ego levels" (Noam et al., 1996, p. 288):

> (are) ... more likely ... to request treatment involving
> triage, reality contact, and social intervention.
> These findings are also consistent with ego development
> theory, which describes the preconformist and conformist
> stage ego (roughly equivalent to an order of consciousness
> below Kegan's 3rd stage, O.L.) as lacking the inter-
> personal skills neceaary to negotiate social needs.
> ... Such an alliance would provide a supportive
> environment in which developmental delays in social
> skills could be recovered,

as is typically the case in cognitive-behavioral work (see also Kram, 1996, p. 151).

In terms of the three approaches to coaching outlined above, Noam et al.'s prediction might seem to entail that constructive-developmental approaches to coaching are beyond the ken of most executives, since what seems to be presupposed for other than cognitive-behaviorally based coaching is for the executive to have realized either a "postconformist" or "self-aware" stage (or equivalent order of consciousness). However, this is too simplistic an inference. It is up to the coach to gauge the maturity level of the executive from a constructive-developmental perspective and, according to his or her insight, decide what coaching strategy to follow and/or negotiate. In this sense, the three approaches to coaching outlined above are mutually supportive rather than exclusive. In terms of developmental theory, this reflection does not in any way invalidate the limitations and specific emphasis each of the three coaching approaches entails. Neither does it

revoke the critique of the cognitive-behavioral and psychoanalytic approaches to coaching, used in isolation, in terms of their limited grasp of the dynamics of personal change (Kramer & Bopp, 1989). To the contrary, Noam's prediction speaks to the need of elaborating a typology of coaching strategies that are based on adult-developmental criteria, an enterprise to which this study aims to contribute.

1.3 Research Questions

The preceding investigation into executive development, its sociological and psychological preconditions, and the contribution coaching can make to executive development have created a space for some important new questions that have not been asked, let alone answered, in the four literatures reviewed. Some of these questions are posed in this study. The questions derive, both from the conceptual context outlined in the
Orientation, and the present chapter with its satellite sections, found in Appendix A. Central among the questions are the following:

(1) what are the ontic-developmental preconditions of successful coaching outcomes, both for the coach and the executive?

(2) what is the nature of such outcomes?

(3) how do executives experience the impact of coaching on their professional agenda and/or self-concept?

(4) can a deeper ontic-developmental understanding of the coaching alliance contribute to differential approaches to coaching executives that take into account their ontic-developmental status?

In order to put these questions on an empirical basis, and to ask them in the simplified form suitable for a first attempt at answering such questions, I formulate my Research Questions as follows:

1. What changes to their organizational performance and functioning do executives report as a result of participating in coaching?

2 Are some or all of the reported changes ontic-developmental, or are they merely adaptive, i.e., based on learning?

Chapter III is devoted to answering the first, chapter IV to answering the second, research question. The first question is a phenomenological one. It asks what experiences executives actually report while in a coaching alliance, and how such experiences contribute to changes in how they see their mission, approach their task, set goals, and perform their roles. Since the study is not a longitudinal one but is based on retrospective reports, it has to rely on the veracity of the change story that executives tell. (The study cannot distinguish between experiences that are reported and those that are actually made by executives.) In terms of Fig. 2   , executives' experiences may be those of self, psychological boundaries, or their unique psychological

organization. They may even carry over into how executives conceptualize the organizational context of their work, and the sociological surround of their organization.

The second question is the central question of the study. It has many entailments. The question asks what is the impact of executives' ontic-developmental status quo on the coaching effects they are able to elicit, experience, and report. More concretely, this regards the issue of whether executives at different stages of development (structure) and different associated levels of cognitive-developmental flexibility (process) use coaching in different ways, and whether or not they experience ontic-developmental or only adaptive changes in their coaching. In its further entailments, the question opens up a discussion of how to separate merely adaptive from ontic-developmental, i.e., transformational, changes by way of assessment, and the consequences of such differential assessment for crafting coaching strategies customized to meet executives where they presently are ontic-developmentally. In pragmatic terms, this question, pursued in chapter V, gives rise to reflections on the nature of the assesment tool, called the DSPT ^{TM}, that is required to differentiate learning from development, and adaptational from transformative change, and on the possibility of assessing and monitoring entire coaching and development programs with teleological (ontic-developmental) criteria in mind.

Although none of the stated research questions directly regards executive development as a strategic pursuit of management, nor alternative executive-development activities such as team- or peer coaching and mentoring--: as Kaplan (1991) and Martin (1996) have shown, questions about strategic executive development may well be asked "into the wind" as long as they only regard the organizational context, i.e., the "mechanisms" and "catalysts" of learning from experience (McCall, 1998), rather than also the ontic aspect of development (what actually happens in adult development versus what one can make happen). Since ontic-developmental questions extend to those executives whose task it is to "develop" business strategy and to put strategic executive development in place for others to grow, the research questions outlined above address the "circular reasoning" issue raised by McCall's model, viz., of who develops the strategic developers, or their human-resource assistants.

In terms of the purposes of this study, the above research questions are meant to introduce a refined notion of development that distinguishes between, and at the same time conjoins, the "homo faber," or agentic, and the "organismic," or ontic, meanings of the term development. The study aims to undercut the widespread public-relations use of the term "development" that clouds the clarity with which issues of executive development are presently posed and addressed, both in the literature and in organizational practice. As shown in this chapter and its appendices, both are presently split into two non-communicating branches, as shown below:

Executive development

Ontic notions

Agentic notions

Structure
(stage;
Kegan)

Process
(non-stage;
Basseches)

Self
(Kaplan,
Martin)

Role
(McCall)

SELF
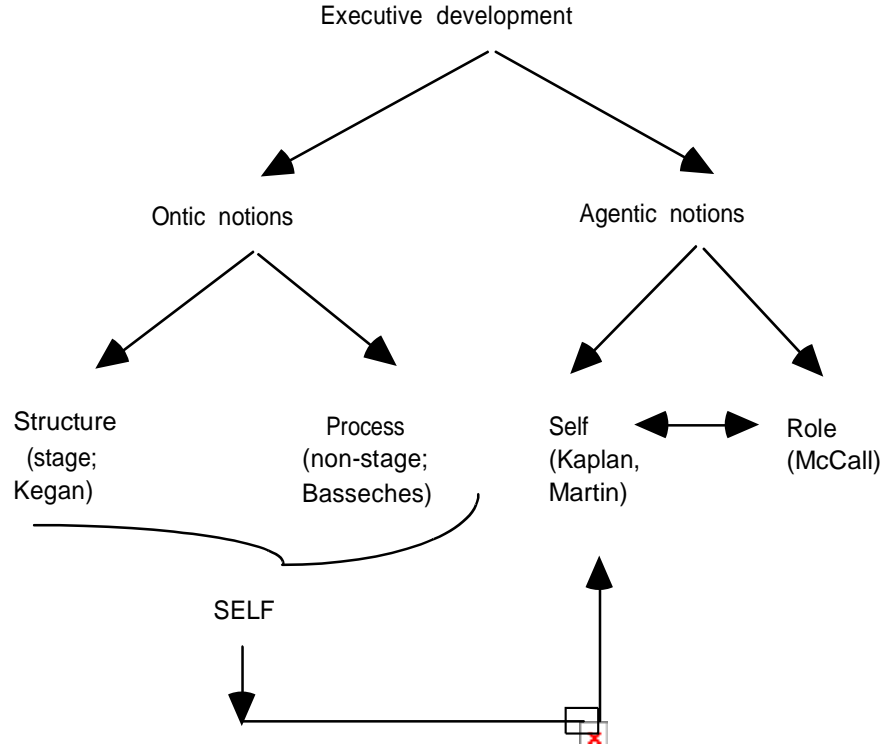
The figure above depicts the conceptual context in which this study is being undertaken. Ontic and agentic notions of executive development are dichotomized, with the result that the topic of executive development is distorted both theoretically and practically. The ontic branch of thinking about executive development is split into stage (Kegan, 1994) and non-stage approaches (Basseches, 1984), the first of which emphasizes structure (the developmental telos attained by an individual), while the second emphasizes process (the mental processes required to attain a developmental telos). On the agentic side of the divide, thinking is dichotomized into the consideration of either executive self (Kaplan, 1991, 1998; Martin, 1996) or executive role (Hall et al., 1996; McCall, 1998), with little or no relevant communication between the two perspectives. Sociologically, the dichotomy is a reflection of human estrangement and compartmentalization that would have given K. Marx additional food for thought. It is a dichotomy that no talk about "relational resources" can extinguish, since the relations called for are not only those between human beings, but equally between institutionalized disciplines of scientific and philosophical thinking.

I am proposing in this thesis to resolve the above dichotomies. These dichotomies not only hinder insight into executive development. They are also obstacles in

organizational practice. More specifically, I propose to resolve the mentioned dichotomies by conjoining a stage (structure) and non-stage (process) assessment of ontic development of individuals in the workplace, as exemplified by the DSPT [TM] put in place in this study. When practicing a kind of thinking, and utilizing an

associated assessment tool, that do not keep structure and process of development, nor executive self and role, separate any longer, the consultant- researcher is enabled to produce a higher "value added" in his coaching and mentoring than he could otherwise.

   In short, in this study, I introduce a way of thinking, and an associated assessment instrument, that realizes a unified ontic-agentic philosophy of executive development, and a unified philosophy of human development in the workplace. To further this philosophy, I am proposing to investigate how open the organizational roles executives "play," as determined by executives' set of basic assumptions regarding work (professional agenda), are to transformation on account of the evolving self that (according to my hypothesis) undergirds organizational behavior in individuals (see Fig. 3   ).

   These reflections conclude chapter I.

Chapter II

Methodology

1. Highlights of the Chapter

Before entering into the details of the conjoint methodology, the following highlights of the procedure followed in this study should be noted:

1. The study is based on interviewing six executives who have been coached for at least 6 months, and have a significant change story to tell. The study follows a "best case scenario" in which some, but not all, individuals experience developmental change on account of the coaching.

2. Each executive is engaged in two interviews: first, a professional-agenda interview, and second, a subject-object interview. In more general terms, the first interview is also referred to as a dialectical-schemata interview, since its materials are scrutinized in terms of dialectical schemata (see below).

3. The professional-agenda interview is administered first, followed by the subject-object interview, within a temporal distance of about 2 weeks. The interviews differ in their focus as well as the method of analysis that is applied to the utterances each of them yields.

4. The study engages the executives' coaches as informants, rather than subjects. Coaches mediate the researcher's contact with executives. They also supply valuable information about the organizational context of the coaching, and a subjective view of the status quo of coaching process. All information forthcoming from either the coaches or the executives is confidential.

5. Executives have a right to a physical copy of their taped or transcribed interview. If so desired, they also have the last word as to the presentation of their information in the results section (chapter III).

6. The professional-agenda interview focuses on executives' present position in the organization and their organizational functioning. Structurally relevant selections from the interview are submitted to a dialectial schemata analysis. The analysis regards the kind of conceptualization of developmental change the selected interview segments exhibit. The result of the schemata analysis is an expression of the form [m,f,r,t], where the letters in square brackets represent four aspects of transformational change executives can be shown to endorse in the professional-agenda interview. The expression is a description of processes executives employ to understand change. It can be understood as a process description of their developmental status quo.

7. The subject-object interview focuses on executives' way of construeing their mental world. Structurally relevant selections from the interview are submitted to a subject-object analysis. The analysis regards where and how executives draw a line between what for them is ME (=subject) and what for them is NOT-ME (=object). The result of the subject-object analysis is a single overall (stage) score characterizing the developmental stage position an entire interview manifests. The stage score represents a structure description of executives' developmental status quo.

8. The combined dialectical-schemata and subject-object analysis of interview segments distinguishes between two aspects of the interviews: first, content, and second, (underlying) structure. These terms have a different meaning for each of the interview materials.

9. In the professional-agenda interview (more generally referred to as a dialectical-schemata interview), content is the meaning of what executives describe as their present professional performance and functioning (PPPF, for short), on one hand, and as changes coaching has wrought for them, or change story (CS, for short), on the other. By contrast, structure is the categorical structure underlying the content, as assessed by the dialectical-schemata analysis of developmental status.

10. In the subject/object interview, content is the set of utterances documenting how an executives 'sees' his or her world, and structure is the overall stage score assessing the cognitive structure that gives rise to the content. While content may be relevant input to the PPPF and CS, it is disregarded by the subject/object analysis, since it is seen as a mere manifestation of underlying structure (stage). This is so since the subject/object analysis aims for a structure analysis of developmental status.

11. The structural scorings deriving from the subject-object interview have been critiqued, and adjusted according to, a second rater, in order to guarentee reliability. For logistic reasons, the confirmation of dialectical-schemata findings by a second rater has been impossible. However, the overall justness of fit of the dialectical-schemata analysis with the data collected in the professional-agenda interview has been assessed positively by a second, neutral rater.

12. Executives' change stories used in this study are retrospective, not longitudinal, with all the threats to validity that entails. Consequently, the study relies on the veracity of the change story executives tell, without being able to interview them at two separate and consecutive points in time.

To summarize, the present methodology combines a stage and a non-stage analysis. The first analysis is one of ontic-developmental telos, the second is one of the processes

required to reach, maintain, transcend, or regress from, the telos. The analysis is carried out for the purpose of answering two research questions:

1. What changes to their organizational performance and functioning do executives report as a result of participating in coaching?

2. Are some or all of the reported changes ontic-developmental, or are they merely adaptive, i.e., based on learning?

The second research question has undergone several changes over the course of time. While it initially focused on the "relationship" of executives' present professional performance and functioning and change story to their ontic-developmental status, this formulation increasingly appeared as too abstract given

the data collected. The questions has ultimately been reformulated to focus on the distinction between adaptive and transformational changes. This is in harmony with the purposes and the title of the study.

2.   Nature of the Study

The purpose of this study is to explore the subjective experience of executives who are presently benefitting from coaching. The study explores effects of coaching in the context of an existing coaching alliance. This design decision entails a distinction between the coaches as informants to the study, and the executives suggested or chosen by them as subjects of the study. The relational approach to the study has the advantage that it locates the topic of the inquiry on homeground, namely the alliance that developmentally and clinically constitutes the medium in which personal change is known to take place. Since the nature of the research questions asked in this study is exploratory in an emphatic sense, regarding as it does the unexplored dimension of ontic-developmental change resulting from executive coaching, it is appropriate to cast this study as a qualitative rather than quantitative one. Although quantitative data plays a role, especially in chapter IV where collective findings are discussed, it basically represents the numerical encoding of qualitative findings, and thus is limited in its capacity to undergird statistical computation.

Qualitative or phenomenological research is useful for elucidating personal experiences shared by members of a particular group that inhabit a particular organizational context, in this case, corporate executives who are members of a coaching alliance. Such research is based on an "open assessment," in contrast to a narrowly structured interview or test format adopted by the quantitative researcher. Qualitative research design empowers the researcher to be explicit about the contribution his or her own process makes to the outcome of the study. This entails concretely that previous experiences of the researcher, as well as personal notes and memos written about observations and interviews conducted by the researcher, can become part of the "data" of the study. Since for me as a clinician and management consultant, it would be foolish to leave myself out of the study I am designing, adopting a qualitative research design helps validate both my own and my subjects' life experience as elements contributing to the study.

Beyond this kind of validation of human experience, qualitative research design accomplishes "saving the phenomena" in the strict phenomenological sense of Verstehen, i.e., of capturing the full complexity of an individual's utterances and behaviors as they emerge in the interview setting. What is to be verstanden is not only the experience itself, but the meaning it has for the participant. This is possible to the extent that the researcher is the instrument of such Verstehen and can "bracket" (suspend) preconceptions about the topic under investigation (Miles & Huberman, 1994, p. 6). The discipline of Verstehen entails that many interpretations of interview material are possible, "but some are more compelling (than others) for theoretical reasons or on grounds of internal consistency (Miles et al., 1994, p. 7). As shown by Kaplan (1991, 1998), in whose work phenomenological Verstehen joins action science, the researcher/consultant is enabled not only to "understand" (verstehen), but also to bring about personal change in working with executives. In short, interviewing is itself an intervention that may promote ontic development for both parties involved.

3. Research Relationship

The relationship of the researcher to the individuals serving as informants or subjects is the means by which the research actually gets done. In this study, the relationship involves coaches as informants to, and executives as subjects of, the study.

In order to negotiate a research relationship with executives presently engaged in a coaching relationship, I contacted several coaches working in the Boston area. I introduced myself as engaged in a project whose purpose it is to understand better how executives experience coaching, with a special emphasis on what impact coaching might have on the way they see their mission, approach their tasks, and communicate with their peers and superiors. I was fortunate enough to encounter coaches who were somewhat familiar with adult-developmental ideas, and are not committed to an exclusively cognitive-behavioral perspective on coaching. Most of the coaches have been trained in the domain of psychology and/or education, as I myself, and have been active in their field for a considerable number of years. Given their background, the coaches viewed me as a colleague. Most importantly, the coaches I contacted have vivid research interests, especially in the area of executive development. They see coaching as a relatively new endeavor, and realize that empirical knowledge about the effects of coaching is presently very limited.

I impressed upon the coaches that my goal was to interview executives presently in a coaching relationship, to find out what changes the coaching alliance had brought about in the executives' professional agenda and, consequently, their organizational functioning. Since my informants have worked with the executives they nominated for interviews for 6 months to three years, they knew a considerable amount about the life history and life themes of their clients. The coaches were also highly informative regarding the corporate culture their clients were part of, and how that culture shaped their own coaching agenda. They also could speak knowledgeably about the impact coaching seemed to be having on their clients' personal and professional development. Equally, my informants had a very good grasp of the criteria I adopted for subject selection. Primary among these was the requirement of significant change stories which only the coaches as clinicians could evaluate. In regard to subject selection, then, I relied on three factors: first, my specification of criteria; second, my informants' acceptance and understanding of these criteria; and third, my informants' application of these criteria in nominating potential subjects to be interviewed.

After several discussions in person and/or by telephone, about the topic of my study and the criteria of subject selection, one coach offered to contact three executives, while five other coaches offered to contact a single executive or two executives on my behalf. Four of these five coaches were suggested to me by the coordinator of coaching in a large corporation who indicated that they were all established professionals, known in the local coaching community, and had significant research interests. Of these four coaches, three were successful in interesting one or two executives each to participate in the study. Since there were more offers to participate than the number of subjects a priori decided upon, ultimately opportunistic elements, above all executives' time table and my own interviewing schedule, decided the definitive subject selection.

Only two of the executives chosen by the coaches were part of the same organization. All coaches first asked the executives for their permission to be contacted by me, and then gave me the go-ahead for making the actual contact with the executives.

Upon the approval of my informants, I went ahead and contacted the prospective subjects by telephone, having previously sent them information about my background and a short synopsis of my study. Prior to the first interview, I asked the coaches to provide me with a short profile of the executive I was about to meet. In the profile they provided me with, the coaches conveyed what they saw as the principal challenges the executive in question was struggling with, for how long they had worked with the executive, and what they saw as being the most salient changes that were occurring in the coaching alliance. The coaches also introduced me to the culture of the organization the executive was part of, and noted the specific situation the executive found him- or herself in at the time of the interview. This information was highly valuable for me, in that it gave me prior knowledge about what to expect during the first interview, and in providing me with a triangulating point of view that could serve as a measure to which to compare my own assessment. The coaches' point of view helped me to generate expectations regarding the subjects of my study, as well as regarding the task environment in which the subjects were carrying out their professional functions.

My relationship with my six subjects developed from the time of our first interview on. I made it clear to them that I saw our relationship as an ongoing one, since I not only would return for a second interview, but would be accessible to them for any questions that might come up following the interviews. In one instance, the executive asked me to clear with him the details of the information I would convey regarding his present professional position. At the end of the first interview, a date for the second interview was set. After each of the two interviews, I thanked my subjects for their generosity and sacrifice of time.

To summarize, negotiating a research relationship, both with informants and subjects, has been a highly formative and informative experience. This experience has shaped my views not only of my subjects, but also of the coaching relationship they are currently engaged in. This, in turn, led me to generating certain expectations that influenced the way in which the interviews were conducted. For this reason, the interviews should be looked at, not as a mere "data collection" procedure, but as one of co-authoring the data made available for interpretation by both the informants and the subjects of the study.

My negotiation of the research relationships undergirding this study has been constrained by factors not under my control. One of my coaches, against his own best intention, could not provide me with the executives he had envisioned. As a consequence, I decided to broaden my search for subjects beyond the domain initially envisioned, thus introducing the variable of cultural differences between organizations. I have done so in the conviction that the quality of the change story to be obtained from subjects is methodologically more relevant to this study than the homogeneity of the organizational culture the subjects were part of. This decision was further grounded in constraints of time. Making the homogeneity of organizational culture my subjects were part of a methodological priority would have considerably extended

my interviewing schedule. Thus, while the selection of subjects has been based on criteria defined a priori, my negotiation of the research relationship has been an exercise in pragmatism.

4. Subject Selection

While the term "sampling" is often used in qualitative studies, I consider it misleading, and therefore prefer the term subject selection. A sample is built on the mental construct of a "population," and is a sub-population of a particular minimal size to which criteria of strength can be applied (Light, Singer, & W illett, 1990). Sample size is seen as a guarantor of the researcher's ability to make generalizing statements about the population from which the sample is "taken." These conditions do not hold in a qualitative study even when the sample is larger than in the present case. The purpose of selecting subjects in a qualitative study is not generalizability of results, but specificity and idiosyncracy of findings. W hat counts within a qualitative framework is the researcher's ability to explore in depth certain idiosyncratic features that are specific to a particular group of people (which do not form a "population"). In short, what matters in subject selection is not size ("breadth"), but depth.

Subject selection for purposes of a qualitative study regards decisions as to the "where, when, whom, and what" to involve in an inquiry. It is a way of bounding the collection of data (Miles & Huberman, 1994, p. v). As Maxwell (1993, ch. 6, p. 3) states, subject selection determines "what settings or informants (i.e., subjects) you select to observe or interview, and what other sources of data you choose to investigate." This implies that a study such as this explores not only individuals, but also settings, events, and processes, a fact I make use of in chapter IV when I investigate the collective empirical findings regarding the group of interviewees. As Miles et al. point out, subject selection simultaneously sets boundaries and creates a frame within which to "uncover, confirm, or qualify the basic processes or constructs that undergird" a study (Miles et al., 1994, p. 27).

Compared to sampling, subject selection results in a broader notion of method, in that it includes thoughts on the research relationship established with subjects, and the researcher's use of him- or herself as an instrument of the study. The shift in meaning from sampling to subject selection also entails that research questions are not

preordained, but may change during the process of the investigation, for the sake of achieving greater specificity of results. As a result, methods, being equally flexible, may have to be adjusted to changes in research questions, conceptual context, and purposes. As a result, there is an "interactive," i.e., dynamic, relationship between all elements of the research design, i.e., purposes, conceptual context, research questions, methods, and validity (Maxwell, 1993, ch. 2, p. 4).

While Miles & Huberman use the notion of sampling, their "typology of sampling strategies in qualitative inquiry" is clearly about subject selection, not the selection of a subpopulation in adherence to probabilistic standards. Altogether, the authors distinguish 16 different types of subject selection, each of

which has a different purpose:

Table II.1
Typology of Sampling Strategies in Qualitative Inquiry
(taken from Miles & Huberman, 1994, p. 28)

Types of sampling	Purpose
1. Maximum variation	Documents diverse variations and identifies important common patterns
2. Homogeneous	Focuses, reduces, simplifies, facilitates group interviewing
3. Critical case	Permits logical generalization and maximum application of information to other cases
4. Theory based	Finding examples of a theoretical construct and thereby elaborate and examine it
5. Confirming or disconfirming cases	Elaborating initial analysis, seeking exceptions, looking for variation
6. Snowball or chain	Identifies cases of interest from people who know people who know what cases are information-rich
7. Extreme or deviant case	Learning from highly unusual manifestations of the phenomenon of interest
8. Typical case	Highlights what is normal or averagee
9. Intensity	Information-rich cases that manifest the phenomenon intensely. but not extremely
10. Politically important cases	Attracts desired attention or avoids attracting undesired attention
11. Random purposeful	Adds credibility to sample when potential purposeful sample is too large
12. Stratified purposeful	Illustrates subgroups; facilitates comparisons
13. Criterion	All cases that meet some criterion; useful for quality assurance
14. Opportunistic	Following new leads; taking advantage of the unexpected
15. Combination or mixed	Triangulation, flexibility, meets multiple interests and needs
16. Convenience	Saves time, money, and effort, but at the expense of information and credibility.

In terms of this typology, I would describe the nature of subject selection in this thesis as a procedure combining aspects of (1) theory-based, (2) chain, (3) opportunistic, and (4) convenience "sampling," and an embodying an element of (5) random-purposefulness. The selection of executives is theory-based in the sense of a procedure meant to "find examples of a theoretical construct, and thereby elaborate and examine it" (Table 1, entry #4). In the present case, the construct is a constructive-developmental one that hinges upon the notion that coaching potentially leads to ontic-developmental changes. This notion is embedded in a larger conceptual context, viz., a model of developmental coaching. The model puts the emphasis on the coaching alliance as a source of

changes on executives' professional agenda, and sees coaching as following the paradigm of clinical supervision rather than psychotherapy (Laske, 1999).

Subject selection is of type "chain sampling" (Table 1, entry #6), in that it employs informants, i.e., "people who know what cases are information-rich," even though the chain is not very "deep." Subject selection is "opportunistic" in that it follows the lead of informants, "taking advantage of the unexpected" (Table 1, entry #14). There is also an aspect of convenience, given the fact that time limits set for the interviewing made it impossible to include all executives coaches made available (Table 1, entry #16). However, it is doubtful that this restricted the information and credibility yielded by selection. The fact that subject selection is "theory-based" implies a high degree of purposefulness in the sense of "random-purposeful" (Table 1, entry #11).

As Maxwell elaborates, there are four possible goals for purposeful subject selection (Maxwell, 1993, ch. 6, pp. 7-8): (1) achieving representativeness or typicality of the settings, individuals or activities selected; (2) adequately capturing the heterogeneity in the population; (3) deliberately examining cases that are critical for the theories you began with or have developed; and (4) establishing particular comparisons to illuminate the reasons for differences between settings or individuals." In this study, the third and fourth goal predominate. In addition to being theory-driven and purposeful, subject selection in this study is focused on maximizing the richness and variability of interview findings. The study follows a best case scenario according to which some, but not all, executives experience developmental change on account of the coaching. This is in contrast to the goal of representing the degree of change typical among coachees.

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In this study I am generating two sets of data, and produce these data by way of two different interview methods. Both interviews' methods target the executive's professional agenda, but in a different way. The first method, called the "subject/object interview" (Lahey et al., 1988), aims to elucidate how executives makes sense of their work

experiences in harmony with their ontic-developmental position. The second method, called the "dialectical-schemata interview" (Basseches, 1984). aims to elucidate executives' professional agenda, i.e., the way they conceive of their mission and approach their tasks. Therefore, it is often referred to in this study as the "professional-agenda interview." These methods are dealt with in detail below, in the section on Data Collection (II.5) and Data Analysis (II.6). They are reviewed in chapter V (section 2) where they are treated as components of a conjoint structure/process analysis of executives' ontic-developmental status.

In accordance with the goal of maximizing the variability of findings, validity in this study has to do, not with magnitude of class membership, but with the richness of descriptions and relationships between

descriptions. For the purpose of securing this richness, subject selection in this study is based on the following four criteria:

(1) subjects should have substantive "change stories" to tell;

(2) there should be a range of variability of changes reported;

(3) the changes reported should primarily regard self-image and professional functioning, rather than skills;

(4) the changes reported should reflect a range of complexity of meaning-making in the ontic-developmental sense of the term.

Positively, these criteria entail that the study focuses on "best cases" illustrating that developmental change can occur in coaching, the claim being that not all, but some executives, do experiences such change (research question #2). Negatively, this entails that the selection of subjects is bent on excluding executives for whom coaching has been ineffective, who felt stuck in the process, or executives for whom significant changes have failed to occur in the coaching relationship.

An important purpose of selecting coaches engaged as informants to the study is to guarantee that the above named selection criteria are being fulfilled. Coaches are seen as experts regarding the question of who among their clients may be said to have experienced the most salient transformative effects of coaching (criterion #1), and thus has the most compelling change story to tell. The study also relies on coaches as expert judges of their clients in terms of criterion #2 (variability of change reported) and criterion #3 (change in vision and self-image rather than skill). This is less true for criterion #4 (complexity of meaning-making), since coaches cannot be presumed to be experts at determining the developmental level of their clients. However, coaches were instructed to

keep criterion #4 in mind when selecting suitable subjects. They were broadly familiar with the theories underlying ontic-developmental assessment.

5. Data Collection

5.1 Introduction

Data collection is a misnomer for the empirical procedures used in this study, unless one adds the qualification that it involves the co-construction of data. My view is that data is always constructed, not simply "collected," as if it were somewhere "out there," ready to be harnessed. Co-construction is a more realistic term especially in circumstances where the interviewer is, by design, an integral part of the study. This is certainly the case in this study on coaching. As outlined in chapter I, this study pursues a non-behavioral approach to executive development and coaching. Its purpose is to illustrate the hypothesis that executive coaching has ontic-developmental preconditions as well as outcomes. While to prove this point would necessitate a longitudinal study, a study such as this can certainly illustrate a developmental hypothesis.

Since the basic vehicle for achieving this goal are the interviews carried out for purposes of this study, a detailed specification of the nature of the interviews and of the interview procedure is called for.

In harmony with the distinction made above between coaches as informants and executives as subjects, data construction consists of two parts: (a) information sessions with coaches, and (b) two interviews each with six consenting executives designated by the coaches. As a result, data collection comprises altogether 12 interviews. The sessions with the coach serve the purpose of gathering information for both coach and researcher. The coach needs to know what are the selection criteria of the study. The researcher needs to know how the coach is viewing executives targeted for interviewing in terms of the selection criteria conveyed. The researcher also needs the coach's input on how to approach a particular subject, given that the coach has a solid and often long-standing working relationship with his or her client. The coach is also the crucial mediator in obtaining the opportunity to interview the subject; he or she is a true sponsor of the study. This holds particularly in the present case, where most of the subjects are high-ranking executives whose time is considered highly valuable (As one of the coaches put it, "as you know these men's time is incredibly valuable and, in all cases, they are making a sacrifice.").

The fact that the subjects of this study are selected by the coach, and that selection depends on the coach's working relationship with executives, as well as his or her understanding of the purpose and of the selection criteria of the study, puts the researcher in the position of some dependency. The researcher is dependent both on the coach and the

executive. This is the consequence of the design decision made, to target executives that are presently in a coaching relationship. In a study where the coaching relationship is topical, this dependency is an unavoidable ingredient of the methodology. The dependency is limited to the selection procedure. It guaranteees, to the extent that guarantees can be given at all, that the executives chosen as subjects are those for whom coaching has resulted in noticable transformative changes of their professional agenda, as seen from the coach's point of view. Coach and researcher are thus linked by a division of labor. While the coach remains the expert on the extent to which changes have occurred, through this study the researcher is working at becoming the expert on how the changes that are said to have occurred are conceptualized by the subject (and indirectly, the coach), and how they are reflected, as outcomes, in the ontic-developmental position of the subject.

<center>***</center>

In chapter I   and Appendix A3 of this study, I clarified that there exist two perspectives on ontic-developmental change in general. I referred to the first perspective as stage-developmental, and the second (for lack of a better term) as nonstage-developmental. I also set these two methods apart from theories of change, emphasizing that both of them target the cognitive-emotional equilibrium an individual can be said to

be "in," or actualize, at any point along the lifespan trajectory. This bifurcation of methods of elicitation and assessment of ontic-developmental change is to be made fruitful for data collection and data analysis. In harmony with this bifurcation of methods, data collection for this study comprises two procedures, first, a nonstage-developmental, and second, a stage-developmental interview. The first interview is equivalent to the professional-agenda interview, the second to the subject/object interview

While the professional-agenda interview is exclusively a data collection device, the subject/object interview is both a data collection and data analysis device. Both interviews require different ways of approaching the subject, and different ways of listening. Each of them lasts one hour. Since the professional-agenda interview is "gets less personal" than the subject/object interview, it is administered first. This has the advantage that at the time of the subject/object interview, researcher and subject have already established a bond through the first interview that facilitates the carrying out of the interview. What is more, the outcome of the first, or professional-agenda interview permits the researcher to formulate initial hypotheses as to what range of stage-developmental criteria might have to be probed during the subject/object interview. Such hypotheses are mandatory for

competently administering the subject/object interview.

5.2 The Professional-Agenda Interview

The professional-agenda interview is composed of two general guide questions and a various number of associated probe questions. Not all probe questions need to be asked during the interview. The guide questions give subjects a scaffold for reporting changes to their professional agenda. They assure a semi-structured continuity within and between interviews. The probe question make it possible to adapt to the idiosyncracy of a subject's reporting style, and to reach a level of explicitness required for answering the research questions. The two guide questions are organized around two complementary points of emphasis in the coaching alliance: self-image and organizational functioning. The two guide questions are formulated as follows:

> I. What, in your experience of coaching, have been one or two of the most important changes that have occurred in the way you perform your organizational functions?
>
> II. What aspects of your self-image as a professional manager have been most notably transformed by the experience of coaching, and how?

In terms of sequencing these questions, the interview moves "from the outside in." It starts out with the first guide question. This question has a behavioral flavor in that it targets performance issues that can be made specific in terms of role functioning. For instance, the first question may trigger a report about changes in the executive's interpersonal role functioning, or alternatively, in his or her informational or decisional

performance (Mintzberg, 1989). Reflections on role functioning may lead to describing changes in the executive's perspective-taking. The first question may also provoke reflections about changes in the executive's perspective on his formal authority and status, thus segueing into questions regarding self image.

While the two professional-agenda interview guide questions do not in any way "operationalize" the research questions, superficially they are closer to the first than the second research question. This has to do with the fact that the guide questions in no way, not even indirectly, refer to an executive's ontic-developmental position. Rather, it is the task of analyzing professional-agenda interview material, to show what the changes reported by executives entail regarding their ontic-developmental position. How this is accomplished is discussed in the data analysis section, below.

The guide questions are a mere backbone of the professional-agenda interview. Many associated questions targeting answers to the two guide questions can be asked. For
this reason, each of the two guide questions is associated with a number of probe questions. Probe questions are not asked in any specific order and may not be asked at all. They enable the interviewer, to focus on issues that need further elaboration in order to satisfy the thrust of either one of the guide questions. Depending on the subject and on the situation created by the conversation, in the context of the first guide question, the interviewer may ask probe questions regarding the following topics:

Changes in performance:
1. skills and behaviors
2. the execution of organizational functions or roles
        (decisional, informational, interpersonal)
3. the approach to tasks (more reflective, aggressive, etc.)
4. ways of setting goals (for yourself, your co-workers, etc.)
5. the relationship to other members of the executive team
6. upward communication
7. ability to take new (and multiple) perspectives.

Specific examples of probe questions associated with the first guide question are:

• How has coaching changed (i.e., how would you conceptualize changes that have occured in):
1. your notion of what your role and functions are in this organization? (formal authority and status)
2. your relationship to the executive team of which you are a member, and/or to upper management (interpersonal roles)
3. the way you control or share information within your unit (informational roles)
4. the way you make decisions as a resource allocator, negotiator, etc. (decisional roles)
5. your ability to view organizational matters in terms of new or multiple perspectives.

Probe questions associated with the second guide question are centered around the following issues:

Changes in self-image :
1. self-image as an executive manager
2. assessment of strengths and developmental needs
3. need to be defended in interaction with others

4. view of self in relationship a) to co-workers,b) superiors, c) competitors
5. coordinating work and private life
6. view of professional future
7. interest in becoming a mentor to others.

Examples of probe questions associated with the second guide question are:

• How has coaching <u>changed</u> (i.e., how would you conceptualize changes that have occured in):
1. the way in which you exert, or submit to, authority
2. how you assess your strengths and developmental needs
3. the way you are trying to coordinate your work with your private life
4. the way you integrate yourself in the work context of your unit or division
5. your engagement with your own personal and professional developments.

<u>5.3 The Subject/Object Interview</u>

The second interview, called a subject/object interview, is an established interview procedure for gauging adult-developmental level from a stage-developmental perspective (Lahey et al., 1988; Kegan, 1994, pp.369-370). The interview primarily regards the level of maturity of self, operationalized in terms of subject/object relationships, in the sense of Kegan's constructive-developmental theory of adulthood. This interview is predestined to focus on changes in the executive's self- and other-awareness.

As outlined in Appendix A3, the notion of "other" in the epistemological context is not restricted in meaning to "other persons" or "other systems." Rather, "other" subsumes anything an individual is "thrown from" or can take responsibilty for, in contrast to what he or she is "subject to," or embedded in. In the subject/object interview, an individual's relationship, as subject (or "me"), to not-me or other as "object," is the single most relevant parameter for calibrating ontic-developmental position. In fact, where "other" (or object) begins and subject ends, how the lines between them are drawn, and how flexible the boundaries between them are (Popp, 1996) defines the central focus, or structure, of interview discourse. As a result, the art and science of administering a subject/object interview lies in simultaneously hypothesizing and probing the epistemological structure of interview utterances, for the purpose of generating a stage score. In the interview, the structure of the interview text is thought to make transparent the stage-developmental level that expresses the complexity of an individual's meaning-making (epistemologic). By constrast, the co<u>ntent</u> of interview discourse is considered incidental. In other words, content is a mere casing for the epistemological nugget the interviewer is in search of, both in administering the interview, and in analyzing the data it engenders. This is in contrast to the professional-agenda interview which elicits conscious thoughts and feelings about an executive's "internal career" (Hall et al., 1996). In the context of the professional-agenda interview, the very content of these thoughts and feelings, rather than what may structurally "underly" them, constitutes the focus of the interview. How to get at the structure of professional-agenda interview content is a separate methodological issue, discussed in the section on data analysis, below.

Some additional comments on the nature of the subject/object interview are in order. While the focus on experiences in the workplace, introduced by the professional-agenda interview, is maintained in the subject/object interview, the focus of the questioning, as well as the listening of the researcher, shifts to the idiosyncractic ways in which executives construe their experiences in the workplace. In this interview, the researcher wears two hats simultaneously: that of hypothesis formulator regarding the ontic-developmental level instantiated by the executive most of the time, and of empathic listener and probesman. The fundamental question of subject/object interviewing, as well as analysis, is the following (Lahey et al., 1988, p. 10):

> From where in the evolution of subject-object
> relations does the person seem to be constructing
> his or her reality?

As the authors of the Guide to the subject/object interview make clear, "we do not look for certain themes or topics or issues we think to be consistent with specific subject-object stages" (Lahey et al., 1988, p. 11). Rather, "subject-object balances are principles of organization," namely equilibria between embeddedness in self ("subject") and being thrown-from self ("object"). As a consequence, "we look for any material that seems to be expressive of structure, any structure" (Lahey et al., 1988, p. 12). More empathically Lahey et al. state (1988, pp. 12-13):

> What we are looking for is the clear demonstration of
> "subject-objectness" at work, irrespective of which
> subject-object structure it is. (In truth, almost
> simultaneously in doing so, we begin a next step of
> asking which particular stage is being demonstrated.)
> (my emphasis, O.L.)

In order to give direction to a subject/object interview, the researcher must start out with some initial hypothesis as to from where in the sequence of subject/object stages the executive being interviewed may be constructing the meaning experiences in the workplace have for him or her. In the next step, the interviewer must attempt to determine the range of potentially valid stage calibrations and, as the interview progresses, must test the lower and upper limits of that hypothesized range. This entails that the interviewer needs to base his questioning and probing on the hypotheses he or she formulates regarding what, in the subject's utterances, is structure (expressive of stage), and what is anecdotal content.

Regarding the actual administration of the subject/object interview, a distinction should be made between strategy and logistics. As to strategy, there are three favored ways of eliciting subject/object structure: probing (a) ability to take responsibility, (b) knowing vs. not knowing, and (c) how boundaries between inside/outside, or me/not-me are being drawn. When none of these probing strategies seem to work, the interviewer assumes the stance of empathic listener (waiting for better times). As to interview logistics, the procedure is as follows.

After briefly introducing the subject to the quintessence of the interview, that of understanding how the executive makes sense of personal experiences in the workplace, the subject is handed 10 index cards.

Each of the cards has a particular topic referring to personal experience written on it. The range of topics is as follows: (1) angry, (2) anxious/nervous, (3) success/ accomplishment, (4) strong stand/conviction, (5) sad, (6) torn, (7) moved/touch, (8) control, (9) change, (10) important to me. These topics are meant to serve as stimuli to which the executive can associate memories of an experience in her recent past regarding a situation making the topic on the card salient for her. After a brief explanation of the meaning of each of the stimuli, the interviewer lets the subject take 5 minutes to think about, and write down on the cards, memories of experiences in the workplace that seem to lend themselves to a more elaborate conversation. Once preparation time has elapsed, the subject/object interview proper (and tape recording) begin.

The subject is asked to take the lead, by choosing what for her is the most salient card. A conversation ensues in which both interviewer and interviewee co-construct the meaning of the experience chosen by the subject, until the subject "runs out of steam" or the interviewer has successfully tested an initial hypothesis as to wlhat is the subject's epistemologic. The pair then proceeds to conversing about another salient topic (card). There is no need to go through all of the cards, as long as 2-4 of them are employed in depth. The assumption underlying the interview is that content is secondary to
 (epistemologic) structure, and that any content, when probed at sufficient depth, will eventually reveal an interlocutor's epistemologic. (This is why some people like developmental psychologists even less than clinical psychologists, and least of all clinical-developmental psychologists.)

In summary, the two methods of data collection used in this study have a high degree of complementarity. After all, they focus on the same executive from two different points of view, at two slightly different time points. Under a reasonable clinical-developmental consistency hypothesis, the interviews guarantee a bifocal view of the same ontic-
developmental subject matter. While in the subject/object interview, changes in self- and other-awareness are the locus of attention, in the professional-agenda interview changes in role and self/role integration, as well as perspective-taking, are in focus. This symbiosis of data collection methods that makes it possible to build, through data analysis, a multifaceted profile of a particular executive. For more details on the subject/object interview, the reader is referred to Appendix B1.

6 Data Analysis

6.1 Introduction

It is the mandate of this study, to shed light on the ontic-developmental preconditions and outcomes of executive coaching, thereby transcending practice theories for coaching executives. This mandate amounts to replacing questions about HOW TO DO COACHING by questions about WHAT HAPPENS IN COACHING. This is attempted by pursuing questions about changes effected by coaching in executives' set of basic assumptions (Schein, 1992), called a professional agenda, and by analyzing executives' self-reports with primary attention paid to the ontic-developmental level the reports instantiate.

In this study, "ontic-developmental" position has been given two different, but related interpretations, depending on the method that is used to make and formulate the assessment: a stage-related, "structural," and a non-stage related, "procedural" interpretation of ontic-developmental changes. To generate the material for these assessments, the study utilizes two different but related data collection methods, the professional-agenda and the subject/object interview. These data collection methods by their nature lend themselves either more to documenting changes of self, or changes in role integration and multiperspectival thinking.

It is the task of the data analysis engine of this thesis, to take as input executives' reports about changes in their professional agenda, and deliver as output two sets of ontic-developmental scores, a "structural" or stage score, and a "procedural" or non-stage score. The first score describes an individual's present ontic-developmental status quo called a stage, while the second describes the categories underlying the individual's thinking and experiences manifest in the self-reports, referred to as a dialectical-schemata configuration. The data-analytic task just outlined requires two separate, but related endeavors: first, to describe reported changes from a stage-related, and a non-stage related point of view; and second, to establish a link between the two separate outcomes of the assessment. In establishing such a link, the analysis does justice to the fact that both assessments focus on one and the same human being who is reporting the changes

that inform his or her present organizational functioning, except that the first assessment emphasizes the ontic-developmental structure informing the individual's experience, while the second one emphasizes the mental process an individual brings to bear on their experience. For this reason, I refer to the first, subject/object, assessment as a structure assessment, while I refer to the second, dialectical-schemata, assessment (of professional-agenda material) as a process assessment of an individual. As a consequence, the link between the two assessment methods utilized, discussed in detail in chapter IV, section 2, and further in chapter V, section 2, is one between the structure and the process assessments of interview materials.

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In chapter I of this study, a distinction was made between an ideal-typical stage description of development in terms of epistemology (e.g., Kegan, 1994), on one hand, and a non-stage approach to development (e.g., Basseches, 1984), on the other. W hile the tools for a stage-description of changes executives report is part of the instrumentation of the subject/object interview, the non-stage professional-agenda interview is by its nature not associated with such an instrumentation. Therefore, the question arises of how the material engendered by the professional-agenda interview should be analyzed. Since there is a wide spectrum of possible approaches to a non-stage analysis of interview material, a detailed explanation of the non-stage analysis methods used in this study is called for. I begin with some principal considerations.

As in the subject/object interview procedure, it is useful in the context of the professional-agenda interview, to make a distinction between the content and the structure of utterances regarding changes in

executives' professional agenda. Constructive-developmental reasons aside, this distinction is also a requirement for any cognitive-science approach to individuals' professional agenda. As pointed out in the Orientation to this study, the professional agenda can be conceived as grounded in a set of basic assumptions (Schein, 1992) from which behavioral, cognitive, and emotional consequences flow. Consequently, in a non-stage assessment of change reports by executives, the question arises from both a cognitive-science and constructive-developmental perspective, what are the basic assumptions, or principles, undergirding executives' professional performance and functioning, including the changes to the agenda that they report. In this study, the term "basic assumptions" is interpreted in a dynamic, developmental way. I would like to understand what stage- and non-stage developmental

"assumptions," or principles, underly the report of changes effected through coaching.

Extant studies on coaching (Hollenbeck, 1998; Hall, 1998) undertaken from a cognitive-behavioral perspective, typically describe changes effected by coaching in the language of psychological traits ascribed to the executives. (E.g., they speak of executives "having become better at X," where X is a trait.) While this surface description of changes in executives and their professional agenda is useful, it entails an unreflected notion of what executives as persons are, and does not move far enough away from the way in which individuals are described in laymen's discourse. Such surface descriptions of individual change are just that, -- descriptions. Description are big on content but small on structure. In a constructive-developmental sense of explanation, these descriptions are very abstract, since what they entail can be ascribed to many different change effects outside of coaching; they are developmentally not explicit enough. These descriptions lack an explanation of the meaning of the changes reported for the individual reporting them, as well as an explanation of what the changes reported amount to ontic-developmentally in the context of individual's lifespan development. In short, conventional descriptions of coaching effects do not demonstrate insight into the ontic-developmental principles undergirding executives' change experiences.

In his search for a non-stage assessment method that would reveal differences between constructive-developmental equilibria along the lifespan, M. Basseches (1984) has made a case for considering the ability of "dialectical thinking" as a hallmark of development across the lifespan. Basseches understands dialectical thinking as a specific way of conceptualizing ceaseless systemic change, either within or without. Basseches also reflects upon the differences between an ideal-typical, teleological stage description of an individual, and the "unique psychological organization" of that individual in the clinical sense (Basseches, 1989). Following Basseches' example, a non-stage developmental description of change in executives as a result of coaching can be formulated in two ways: first, in terms of a theory of developmental equilibria represented by forms of dialectical

thinking (Basseches, 1984), and second, in terms of forms of conflict between the stage-determined "rationality" and the "irrationality" of an individual's unique psychological organization, grounded in a cognitive-developmental disequilibrium (Basseches, 1989). In this study, I employ Basseches' way of

discerning ingredients of dialectical thinking using quantitative as well qualitative measures. I propose the following data analysis procedure as optimal for this study.

The data from the two interviews is analyzed separately. Professional-agenda data, which regards how executives conceptualize and manifest changes in their organizational functioning, is analyzed for each of six executives, by using a non-stage characterization of epistemologic equilibrium developed by Basseches (1984), called the dialectic schemata framework (see below). Subject/object data, which pertains to how executives make meaning of their personal experience in the workplace, is analyzed by using the sequence of stage scores based on Kegan's theory. In chapter III, only findings regarding individual interviews are reported. Any attempt to search for a link between the professional-agenda and subject/object findings, either within- and across cases, is postponed until chapter IV.

To the extent that executives of different age and gender participate in the study, "phasic" insights regarding the life-structure of different age cohorts (in the sense of Levinson, 1990, 1978), and regarding gender differences in how developmental positions are instantiated differently by women and men, may also emerge. However, given that this study is not focused on phasic or gender aspects of organizational functioning, these aspects will be considered as secondary, and treated accordingly.

The report of results in chapter III follows the procedure depicted in Fig. 4 :

Insert Fig. 4 here

As shown, in chapter III interview material is scrutinized strictly in terms of within-case, not across-cases, analysis. Six analyses are formulated, one for each executive. The formulation is in the form of a clinical "vignette," i.e., a holistic profile of each executive. In the vignette, two aspects will be dealt with in some detail:

(1) each executive's present professional performance and functioning (PPPF), as well as the change story (i.e., the story of changes brought about by coaching) he or she has told in the interview

(2) the constructive-developmental outcomes obtained by scoring the two interviews conducted with each executive in terms of professional-agenda and subject/object criteria, respectively.

The first aspect regards interview content, the second, interview structure. At the end of each vignette, content as well as structure findings regarding an individual executive are stated in the form of a Structural Summary that brings together both of these aspects.

While an executive could certainly choose to speak about his or her present professional performance and functioning or change story in the subject/object interview, the first aspect is largely germaine to the professional-agenda interview. By contrast, the second aspect is present in both interviews, but it is assessed differently. Following

Basseches (1984), professional-agenda interview material is structurally evaluated in terms of a configuration of four categories: (1) motion, (2) form, (3) relationship, and (4) metaformal schemata. An index associated with each category calibrates the number and weight of endorsements each of the categories have been given by the executive.

Following Lahey & Kegan's method (Lahey et al., 1988), subject/object material is structurally evaluated in terms of a "single overall (stage) score" associated with an index calibrating the number of times a particular stage score is instantiated in the interview material ("power index"). Extending this procedure slightly, in addition to calibrating the power index as a measure of "clarity" with which the stage score is expressed, the number of times the representative stage score is transcended toward a higher stage score is also determined. The second index is called a (mental growth) "potential" index. As a result, the single overall stage score resulting from the subject/object analysis becomes associated with a potential/clarity index {p,c} describing both the potential for transcending the representative stage score, and the clarity with which the representative stage is presently instantiated. The outcome of this procedure is a combined ontic-developmental score of the form:

$$X \ \{p,c\} \ [m,f,r,t]$$

where 'X' stands for the single overall stage score in the sense of Kegan's theory, associated with a potential/clarity index (in '{}), while the elements in '[]' stand for the number of endorsements of Basseches' (1984) four dialectical-schemata categories that guide the analysis of the professional-agenda interview. (For more details on this framework, see below). Together, these two scores form a conjoint structure and process description of an individual's developmental status quo.

While it would theoretically be possible, even fruitful, to submit both interviews to both types of analysis (i.e., professional-agenda material to a subject/object analysis, and subject/object material to a dialectical-schemata analysis), in this study I restrict myself to scrutinizing professional-agenda material in terms of Basseches' dialectical-schemata framework, and subject/object material in terms of Kegan's stage framework. By doing so, I gain the possibility of triangulating the two ontic-developmental findings (scores), and ascertaining equivalence relations they imply.

Below, I describe in some detail the analysis procedure for each of the two interviews.

6.2 The Analysis of Professional-Agenda Interview Material

In a psychological perspective, the guide and probe questions of the professional-agenda interview elicit thoughts, feelings, metaphors, and images regarding the executives daily organizational functioning. The interview questions approach this functioning from the point of view of changes that have occurred through participating in coaching. As a result, the interview taps more of the surface than the deep structure of changes of the professional agenda. Rather than dealing directly with meaning-making in the ontic-developmental sense of stage-theories, the professional-agenda interview questions elicit non-stage material

regarding an executive's "internal career" (Hall, 1996) and relationship to work. The assumption is made that this "internal career" plays out in the way the subject defines his or her mission, approaches goal setting and task performance, and takes responsibility toward his or her own development. At a more concrete level, the basic assumptions incorporated in the executive's professional agenda manifest in his or her organizational role functioning and perspective taking. From the vantage point of the subject/object interview, the executive is "embedded in" these ingredients of the agenda, and the interview targets the content of this embeddedness.

The fact that the professional-agenda interview focuses on the executive's embeddedness in his or her professional agenda, far from being a limitation, is methodologically an advantage. Whereas in the subject/object interview, emphasis is on structure in the sense of ontic-developmental stage, and content is rather the fodder for

determining stage, in the professional-agenda interview, content is thought to be close to the executive's unique psychological organization, both emotionally and intellectually. In the professional-agenda interview, structure is something found or embedded "in" verbalized content, rather than being thought to "underly" the content of utterances, as in the subject/object interview. Therefore, the --in subject/object terms "anecdotal"-- richness of interview material is honored by the professional-agenda interview, in two ways. First, this interview is designed to elicit conceptualizations of personal as well as professional change. Second, the interview is meant to elicit life themes or "meanings of enduring quality" (Noam, 1988) that are relevant to the executive's psychological and organizational functioning. The first target is an etic, the second, an emic, one. According to the etic point of view, conceptualizations are elicited and scrutinized in terms of a pre-defined instrumentation of thought-forms or schemata (Basseches, 1984). According to the emic viewpoint, what matters are mental constructs and images of the subject's own creation that indicate pervasive "meanings of enduring quality" undergirding the subject's organizational functioning. How anecdotal or structural such categories are is an empirical

question.

Below, I go into some detail regarding the etic instrumentation of the professional-agenda interview, i.e., Basseches' dialectical -schemata framework.

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The professional-agenda interview probes for changes as well as for what remains stable across the change in executives' organizational functioning and perspective taking over a coaching period of between 6 and 36 months. Interview material either contributes to an executive's present professional performance or change story, or both. In terms of analysis, the underlying "structure" of answers to the guide questions is defined by the categories an executive utilizes to describe and explain selected changes to his professional agenda that have occurred through coaching. Describing personal and/or professional changes is a

paradoxical undertaking, since it cannot be done without reference to that which remains stable. Conceptualizing stability in the midst of change is a task of "dialectical" thinking since what remains stable in change are not single elements, but the superordinate gestalt or configuration of elements that themselves undergo change. Following Basseches (1984), I call such a superordinate gestalt a form or system. In the present case, a form can be the executive as a person, a particular aspect of his functioning, his or her Professional Agenda (i.e., professional identity), the organization of which he is an integral part, or any subpart thereof. In the professional-agenda interview, these forms or systems are topical as undergoing change, either in and by themselves, or in relation to each other.

According to Basseches' dialectical schemata framework (Basseches, 1984, pp. 74 f.), four categories are required to describe developmental change comprehensively: (a) motion, (b) form (system), (c) relationship constitutive of form, and (d) motion from form to form, or "transformation." Each of these categories comprises a variable number of "schemata" or thought-forms used to articulate change. As used in this study, they form the "instrumentation" of the analysis of professional-agenda interview material. That is, they are concepts adopted by the researcher as key factors in terms of which interview material is evaluated and scored. Below, I briefly introduce the key elements of Basseches' dialectical-schemata framework for the analysis of professional-agenda interview material. As noted, the framework consists of four types ("categories") of schemata (Basseches, 1984, pp. 73 f.)

> The motion-oriented schemata describes moves in thought
> which function either to preserve fluidity in thought,
> to draw the attention of the thinker to processes of
> change, or to describe such processes (p. 73).

> ... a second group of "form-oriented" schemata describe
> moves in thought which function (a) to direct the
> thinker's attention to organized or patterned wholes
> (forms), and (b) to enable the thinker to recognize
> and describe such forms. ... (Change is defined as) motion
> through forms (p. 75).

> Along with "motion" and "form," a third crucial component
> of the definiens of the idea of dialectic offered above
> is the term "relationship." Dialectic, it may be recalled,
> has been defined as developmental movement through forms

> which occurs via constitutive and interactive relation-
> ships. The relation-oriented schemata serve to direct the
> thinker's attention to relationships, and to enable the
> thinker to conceptualize relationships in ways which
> emphasize their constitute and interactive nature (p. 75).

> The group of meta-formal (i.e., transformational, O.L.)
> schemata plays the role of integrating the categories of
> relationship and motion with the category of form. They
> enable the thinker to describe (a) limits of stability
> of forms, (b) relationships between forms, (c) movements
> from one form to another (transformation), and (d)
> relationships of forms to the process of form-construction
> or organization. (p. 76).

The philosophical language used here notwithstanding, the main idea underlying the dialectical schemata framework is simple. The notion is that change is a motion from one form or gestalt to another, and that such motion typically leaves forms intact while re-assembling the elements they are composed of. This entails that the relationship has logical priority over the elements it relates, and thereby constitutes. Put differently, this means that relationships among the elements of a form, or the relationship between forms, are interactive, and by their interaction constitute the change that occurs. This change then brings about a trans-formation, or shape-shifting of forms, which preserve their identity only by way of changing their constitutive elements. Below, I briefly explain the specificity of each of the four categories (types of schemata) in terms of which developmental change is described in the context of Basseches' dialectical-schemata framework.

An executive may describe changes in the professional agenda, whether in the

present professional performance and functioning or the change story, as a motion that equals the inclusion of an element that used to be excluded (schema #1), or affirm the primacy of change over time (schema #2). The subject may become aware of thesis/antithesis/ synthesis relations (schema #3), see change as a shape-shifting from figure to ground, or vice versa (schema #4), or point to the interaction with others as bringing about change (schema #5). Or else, a subject may affirm the active character of knowledge and knowledge transactions (schema #6), or be cognizant of motion between elements that are typically treated as objects rather than moments of a process (schema #7). Finally, the subject may view events or situations as moments of a process affecting a larger whole (schema #8). In all of these circumstances, one can speak of the use of motion-oriented schemata for making sense of experiences in the workplace, in particular experiences having to do with changes effected through coaching.

With regard to stability in the midst of change (Basseches' form), an executive may, for instance, conceive of the organization as a stable form. She may regard her professional agenda as one of the elements responsible for her functioning in the executive team (schema #9). The executive may also describe her own overall personality in terms of an equilibrium or balance of divergent elements, or see her professional agenda as an equilibrational system (schema #10). The executive may be aware of the fact that changes in one part of her agenda --such as an emphasis on certain roles and tasks--is likely to have repercussions on other agenda items, or that to change one aspect of the agenda, various interrelated aspects have to be changed in tandem. The executive may be able, to various degrees, to employ different frames of reference in describing the organization or her own personality, thereby relating elements to their context or their encompassing whole (schema #11). In all of these circumstances, what is in focus is the fact that the stability of a form or system is possible only through the ceaseless change of its elements. Wherever one of these thought-forms is employed, one can speak of the use of form-related schemata for making sense of experiences in the workplace.

In terms of interactive and constitutive relationships, a subject may assert that the roles played by him or her in the organization are all interrelated, one enabling or encumbering the other (schema #12), or see an interactive (reciprocal) relationship between the requirements of the job and the self-demands on the subject imposed by the agenda (schemas #13, #14). The subject may feel that the relationships between different executives' professional agendas are crucial, in that they are constitutive of what the subject experiences as his or her major task challenges (schema #15). In all of these circumstances, one can speak of the use of relationship-related schemata for making sense of experiences in the workplace, in particular experiences having to do with changes effected through coaching.

Finally, regarding transformational schemata (Basseches' term is "meta-formal"), a subject may conceptualize an agenda as a subsystem of his or her self that has tended to create contradictions between the personal and professional identity of the person, and by force of such contradictions may see him- or herself as moving beyond such contradictions between self and role,-- thus embracing contradictions (schema #16). Alternatively, a subject may see the resolution of a contradition (or disequilibrium) in the person as a developmental transformation (schema #17), or may recognize certain forms (e.g., aspects of self or role) as deriving special value from the overall movement of the agenda "by virtue of their stability through it (i.e., the movement)" (schema #18). Alternatively, a subject may "relate categories of form (system) and motion", or "value all forms as well as their conflicts as moments within the overall movement of which they are a part" (Basseches, 1984, p. 131; schema # 18). Also, a subject may be focused on comparing entire forms and systems, such as agendas or self-systems, or historical forms of the organization, and be aware of elements of identity that have only been strengthened by the change that has occurred (schema #19). Conceptualizing further in this direction, a subject may be concerned with coordinating related systems, e.g., members of the executive team seen as self-authoring systems having their own dynamics (schema #20). A subject may view their self as an open, self-transforming system (schema #21), or may point to the limits of the power and validity of formal organizational systems when certain change situations arise (schema #23). Finally, a subject may demonstrate the ability to adopt a multiplicity of perspectives, either on his or her own person or professional agenda, and acknowledge the one-sidedness of a single of these perspectives (schema #24). In all of these circumstances, one can speak of the use of transformative schemata for making sense of experiences in the workplace, in particular experiences having to do with changes effected through coaching. A more detailed discussion of the dialectical-schemata framework is found in chapter IV, section 1.

6.3 The Analysis of Subject/Object Interview Material

The subject/object interview is described by Lahey et al. (1988, Appendix) as follows:

> The S/O interview is an approximately hour-long interview procedure used to assess an individual's unselfconscious "epistemology" or "principle of meaning-coherence." The
>
> procedures for administering and assessing the interview

were designed by Dr. Robert Kegan and his associates of the Harvard Graduate School of Education to assess ... natural epistemological structures [of an individual].

The interview is in the tradition of the Piagetian semi-clinical interview in which the experimenter asks questions to determine how a given "content" ... is construed. The chief innovations of the S/O interview are that the contents are generated from the real-life experience of the interviewees, and involve emotional as well as personal as well as interpersonal aspects of psychological organization. In order to understand how the interviewee organizes interpersonal and intrapersonal experiencing, real-life situations are elicited from a series of ten uniform probes [written on index cards (E.g., "Can you tell me of a recent experience of being quite angry about something...?"] ... which [experience] the interviewer ... explores at the level of discerning its underlying epistemology.

Interviews are transcribed and those portions of the interview where structure is clarified are the units of analysis. A typical interview may have from 8 to 15 such units. Each unit is scored independently and an overall score is arrived at through a uniform process. Interviews are usually scored by two raters to determine interrater reliability, at least one of the raters having previously demonstrated reliability. The psychological theory distinguishes five increasingly complicated epistemologies believed to evolve in sequence, each successive epistemology containing the last [i.e., previous one]. The assessment procedure is able to distinguish five gradations between each [fully developed] epistemology, so [that] over 20 epistemological distinctions can be made.

The total or "single overall" stage score for this interview is the score that is assigned to the interview in its entirety "through a uniform process." The score is assigned on the basis of proof that the subject has demonstrated, not just talked about, a particular principle of meaning -making (Lahey et al., 1988, pp. 197 f.). The proof is engendered by the interpreter's counter-arguments regarding how the same interview finding could be construed from a different structural vantage point (ontic-developmental position). To arrive at a total score, the interpreter selects from ("finds in") the interview text those "bits" that demonstrate a particular structural principle. As Lahey et al. (1988, pp. 247-248) put it:

A bit is the basic unit of analysis (of an interview text) and is defined as any excerpt in which structural evidence can be found for narrowing the range of possible scores (there are 21 scores overall). ... An interview has no set number of bits, and although we assume that two experienced assessors will arrive at the same overall score, we do not assume the two assessors will necessarily choose all the same exact bits.

It is relevant, at the end of the analysis process, to know the number of bits in which a particular structure is demonstrated. Bits found in the interview text are listed in a "formulation process sheet" (also referred to as "coding sheet") in terms of their number and location in the interview. On the left, the FPS lists the number of the interview, the available 21 hypotheses, and a column for comments to the following questions (Lahey et al., 1988, Appendix F):

1) What structural evidence leads you to these hypotheses?

2) What evidence leads you to reject other plausible counter-hypotheses?

3) If you have a range of hypotheses, what further information do you need to narrow the range?

According to Lahey et al. (1988, p. 248), these questions have two distinct purposes:

> the first is to help the assessor make explicit
> the structural assumptions that are leading him
> or her to rule out some scores and assign others; ...
> second, to facilitate the later process of formulating
> an overall score.

Once the interpreter has moved through an entire interview and completed the coding sheet, he or she is ready to determine the overall formulation (Lahey et al., 1988, p. 249). This is accomplished by using the Overall Formulation Sheet. The sheet has 5 sections, A to E. Under A, the tentative overall hypothesis (or alternative hypotheses) is/are noted, stating a minimum of 3 bits reflective of each hypothesis. Under B, rejected tentative hypotheses and reasons for their rejection are noted. Under C, the single overall score, based on a minimum of 3 bits solely reflective of the score, is entered. Under D, the single overall score is tested, by justifying the rejection of scores on either side of it. Finally, under E, the "interview power" (in this study called the "clarity index," $\{c\}$), is noted in terms of the number of bits solely reflective of the single overall score. In the case that a single score cannot be obtained, the explanation of what further information is needed to reach a single score is identified.

7. Validity and Reliability

Questions of validity and reliability arise in all research, whether it is "quantitative" or "qualitative." At bottom, these issues are very much akin, no matter what the type of research. Within qualitative research, studies of a developmental nature pose idiosyncratic problems, in that they often use quantitative (looking) measures (scores) to indicate purely qualitative outcomes. In quantitative research, validity is typically accorded to measures calibrating findings abouts groups of individuals chosen at (near) random. By contrast, in qualitative research, validity "refers to accounts --descriptions, interpretations, and explanations--and not to methods or data" (Maxwell, 1993, ch. 7, p. 1). Frequently, accounts regard a small number of individuals studied in depth, in contrast to studies of single aspect of individuals studied as members of a group. Accounts are arrived at by using determinants that may be emic or etic. Emic determinants are "thematic."

They are in most cases directly lifted out of a subject's report, or else circumscribe or summarize a subject's own experience. I have referred to them as content. In the second case, determinants are "structural," consisting either of concepts arrived at through inferences of the researcher, or of predefined qualifiers (such as stage scores) that describe differences between individuals.

While in quantitative research, "a valid measure is one that measures what you intend to measure" (Bordens & Abbott, 1991, p. 85), in qualitative research (Maxwell, 1993, ch. 7, p. 1):

> Validity is ... relative: it has to be assessed
> in relationship to the purposes and circumstances
> of the research, rather being a context-independent
> property.

As Maxwell (1993, ch. 7, p. 1) elaborates, this entails that in qualitative research, "the validity of your results is not guaranteed by following some prescribed procedure." Instead, validity "depends on the relationship of your conclusions to the real world, and there are no methods that can assure you that you have adequately grasped those aspects of this world that you are studying" (Maxwell, 1993, ch. 7, p. 1).

Many attempts have been made to classify types of validity. In quantitative research, a difference is typically made between four kinds: concurrent, construct,

predictive, and face validity (Borden et al., 1991. p. 85):

> You can establish the concurrent validity of a
> measure by demonstrating a high correlation between
> your (new) measure and an established measure.
> You can establish the construct validity of a
> measure by showing that the data generated
> from the (new) measure fit existing research and
> theory. Two other ways of establishing validity
> are to demonstrate predictive validity or face
> validity. W ith predictive validity, you determine
> whether your measure predicts a behavior it should
> predict. ... With face validity, you simply examine
> your measure. If the measure seems to ascertain
> what it is supposed to, then it has face validity.

By contrast, qualitative researchers such as Maxwell (1993) use the term validity "in a fairly straightforward, commonsense way to refer to the correctness or accuracy of a description, conclusion, explanation, interpretation, or other sort of account" (Maxwell, 1993, ch. 7, p. 2). Maxwell comes to the conclusion (1993, ch. 7, p. 2):

> The key concept for validity is thus the validity
> threat: a way you might be wrong. These threats are
> often conceptualized as alternative explanations, or
> ... rival hypotheses. The key design features of a
> study, in addressing validity, are the ways that
> these validity threats can be ruled out (my emphasis, O.L.)

To safeguard validity in the context of a qualitative study, researchers try to rule out, after the research has begun, particular plausible alternatives to accounts put forward on the basis of analyzing interview data. This is in contrast to ruling out, before the research has begun, an infinite number of unspecified rival hypothesis, as happens in quantitative research. The validity of accounts based on qualitative determinants is thought to be at risk for having a researcher impose his or her own framework, as well as his or her bias and reactivity--the influence of the researcher on the setting or the individuals studied (Maxwell, 1993, ch. 7, p. 4):

> The main threat to valid interpretation is imposing
> one's own framework or meaning rather understanding
> the perspectives of the people studied and the
> meanings they attach to their words and actions
> (my emphasis, O.L.).

In qualitative studies of a developmental nature, as in the present study, a peculiar situation exists, in that the determinants used to account for data constitute a structural framework in which "the perspectives of the people studied and the meanings they attach to their words and actions" (Maxwell, ch. 7, p. 4) are seen by the researcher. Often, the determinants used are "scores" that measure qualitative differences between individuals. Their use creates a situation in which qualitative determinants assume the appearance of quantitative measures, while in reality they are simply etic (structural) qualifiers expressed numerically, and thus are of a purely nominal nature. Such "mixed" determinants are employed to gauge the meaning-making process of individuals, rather than--as in "pure qualitative research"-- specific meanings individuals (personally and consciously) attach to their utterances. As a consequence, in a qualitative study of a developmental nature like the present one, it is not the imposition "of one's own framework" (e.g., of developmental qualifiers) that constitutes a threat to valid explanation and interpretation, but the false generalization of results beyond the limit of their embeddedness in the context studied. Concretely, the major validity threat in the present study derives from the fact that the study utilizes retrospective reports limited to individuals' imaginative reconstruction of the past, in contrast to longitudinal studies probing individuals' thoughts at two different time points. The study cannot prove the veracity of individuals' self-reports, but has to presuppose that veracity. While rendering content reported by individuals is not problematic in this regard, validity threats arise from the structural analysis of retrospective reports whose veracity they presuppose, quite independent of the nature and method of the analysis itself. Below, I discuss various ways of ruling out validity threats pertaining to the method of the structural analysis itself.

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Concretely, four questions regarding the etic (structural) determinants used in this study can legitimately be raised:

1. do other (qualitative) studies support the validity of either the subject/object or the dialectical-schemata methodology employed in this study?

2. do other (qualitative) studies support the validity of the hybrid subject/object and dialectical-schemata methodology employed in this study?

3. how do empirically observed types of organizational functioning relate to theoretical variables used (i.e., overall stage scores and schemata configurations)?

4. do subject/object and dialectical-schemata determinants "predict" the conceptualization of change and of the professional performance and functioning of executives that they should predict?

I first deal with the last three questions, and then discuss the first question in more detail.

While the overall subject/object stage score describes a developmental structure, the dialectical-schemata configuration codifies mental processes.. To my knowledge, this is the first study to use a conjoint subject/object and dialectical-schemata methodology which issues in a joint structure/process evaluation of developmental status. Consequently, an answer to the second question is not possible. However, a form of internal consistency, or "validity," can be inquired into that is close in spirit to concurrent validity in the sense of quantitative research. In the present context, the question of concurrent validity can be reformulated as follows: "does the dialectical-schemata configuration assigned to interview material make predictions regarding individuals' mental disposition that are comparable (although not strictly correlative) to predictions made by an overall subject/object stage score?" This question is addressed in chapter IV under the topic of how developmental structure and process descriptions relate to each other.

The third question is analogous to, but not identical to, the issue of construct validity in the realm of quantitative research. It asks whether subject/object and dialectical-schemata determinants, such as stage scores and schemata configurations, relate to empirical observables of organizational functioning, and if so, how. This is a question addressed at length in chapter IV when discussing the relationship of stages and/or configurations to executives' present professional performance and functioning and change story, especially in terms of across-cases analysis.

A closely related question is the fourth question, which regards a qualitative analog of what in quantitative research would be called predictive validity. The question makes more precise is meant by the "relation" of stage scores and schemata configurations to the real world. The question asks whether overall stage scores and schemata configurations can serve to prognosticate how executives are viewing their own performance and functioning, and how they conceive of the changes that coaching has brought about for them. This question is addressed in chapter III under the topic of the within-case analysis of interview material, and in chapter IV in the context of the across-cases analysis of the collective findings for all executives.

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Answers to the first question, above, are forthcoming from Basseches' and Kegan's own research, and that of their colleagues and students. I first discuss Basseches' dialectical-schemata and then Kegan's subject/object methodology.

Basseches invented the dialectical-schemata framework used in this research for his study of dialectical thinking. He operationalized dialectical thinking as thinking about internal and external change, and assembled 24 thought-forms called schemata he considered constitutive of such thinking in its full complexity. In his research, schema has the meaning of "the part that is common to applications or repetitions of the same action," whether physical or mental (Basseches, 1984, pp. 67-68):

> For each kind of movement-in-thought, I hypothesized a "dialectical schema" referring to [the] common cognitive core of its many instances in dialectical writings. These schemata, along with conceptions of the relationship of each schema to dialectical thinking as a whole, comprise the dialectical schemata (hereafter DS) framework. ...

Basseches interviewed 27 subjects in the age range from 18 to 48 about their thoughts regarding the nature of education. This topic was chosen since it "could be expected to elicit subjects' capacities for conceptualizing open systems susceptible of transformation and the relationships of multiple systems to each other" (Basseches, 1984, p. 69). Basseches' interview was based on seven guide questions (Basseches, 1984, pp. 70-71):

> Subjects' answers to these skeletal questions were probed (a) by asking them to elaborate upon their initial responses; (b) by asking questions that their remarks provoked; and, at times, (c) by presenting them with counterarguments. ... The purpose of this probing was to try to evoke verbalizations at a level of depth to which the DS framework ... would be relevant. ...
> The attempt was always made to probe a question using the terms which had been introduced by the interviewee.

Basseches sees his procedure as a semi-structured, probing approach to interviewing. To his mind, such a procedure entails two drawbacks (Basseches, 1984, p. 70):

> On the one hand, abandoning a nondirective approach creates a greater likelihood that the material collected will have a partially artifactual character. At the same time, abandoning a highly structured approach, which limits the interviewer to asking only predefined questions, creates a situation in which the artifactual effects of the interviewer may not be consistent across subjects.

Basseches considers these drawbacks as reasonable risks to take, for two reasons (Basseches, 1984, pp. 70-71):

> First of all, the purpose of the study was to
> discover if there is some verbalized thought
> (in contrast to the general prevalence of such
> thought, O.L.) to which the DS framework could
> be interpretively related. ... Furthermore, ...
> the DS framework is offered as a tool for inter-
> preting a kind of thought which is usually socially
> provoked, and which usually occurs in the context
> of discourse. ...The interviewing approach is
> intended ... to explore the kind of thought such
> discourse is capable of creating.

As a consequence, Basseches comes to the conclusion (Basseches, 1984, p. 71):

> The artifactual effects of the interviewing may
> be viewed as not basically dissimilar to the
> effects created by discourse in general.

In his discussion of the quantitative research results of his study, Basseches comments on the inter-rater reliability for both the occurrence of individual schemata and the overall index score assigned to an interview (Basseches, 1984, p. 157):

> Subsequent to the coding of the transcripts by
> the author, a first-year graduate student was
> trained in the use of the coding system by going
> over two examples of each schema and three entire
> protocols with the author. The inter-rater
> reliability established by this amount of
> training was assayed by comparing the second
> rater's ratings of nine protocols with those
> of the author. For the overall index, inter-
> rater reliability was .91 (p=.005). The
>
> probability of agreement on the clear presence
> of any individual schema in a protocol was 76%
> (p<.003).
> In an additional test of inter-rater reliability
> in the absence of training, two untrained graduate
> students were given descriptions of each schema,
> and then asked which of the 24 schemata was best
> illustrated in each of a series of excerpts. One
> student reached a level of agreement of 78% (p<.001)
> with the author, while the other reached a level of
> agreement of 58% (p<.001).

Basseches readily acknowledges the nominal nature of the index score (Basseches, 1984, p. 157):

> It should be kept in mind that the index is based
> entirely on subjective judgments of what
> constitutes a manifestation of a dialectical
> schemata and on a relatively simplistic methods
> derived a priori forsummarizing a set of very
> diverse judgments. The index does appear to be
> highly reliable across trained raters, though--
> more reliable than a single specific judgment.

Under the condition that one accepts the idea that the 24 dialectical schemata together form an organized whole, rather than unrelated thought tactics (Basseches, 1984, p. 158):

> ... it may make sense to say that an interview
> with a higher index reflects a greater likelihood
> that the interviewee possesses the coordinated set
> of dialectical schemata, or that a higher index
> reflects an interviewee's greater progress toward
> the achievement of dialectical thinking, as an
> organized set of schemata.

Basseches (1984, p. 158) finds that despite a considerable range in the number of schemata manifest in individual interviews (viz., 2-19), in the number of schemata absent in the interviews (0-16), as well as in the overall index of the interviews (range: 15-62; maximum=24*3=72), the use of the DS framework delineates three groups of subjects. Each group is characterized by a different mean number of schemata clearly present: freshmen (5.22), seniors (8.78), and faculty (12.89) as well as absent (freshmen=9.56; seniors=6.56; faculty=3.89). Basseches summarizes the findings as follows (Basseches, 1984, p. 158):

> Clear differences exist among the three subsamples
> of freshmen, seniors, and faculty on all three of
> these dimensions (i.e., presence, absence, index,
> O.L.), with, in each case, the faculty showing more
> evidence of dialectical thinking than the seniors,
> who in turn show more evidence than do the freshmen.

Playing devil's advocate toward his own method, Basseches finds (Basseches, 1984, p. 161):

> ... it is reasonable to question whether the
> measures of dialectical schemata are measures of
> any stable qualities in the subjects interviewed,
> or simply measures of qualities of the interviews
> themselves.

Given Basseches' reasoned preference for viewing the 24 schemata as "components of a coordinated form of cognitive organization called dialectical thinking" (Basseches, 1984, p. 162), in contrast to viewing them as unrelated thought tactics, he adopts the former view. Simultaneously, aware of the limitations of his study, Basseches suggests that his methodology "would be inappropriate for research designed to rigorously establish differences in the use of dialectical thinking across different populations" (Basseches, 1984, p. 164, my emphasis).

In a second study using the same methodology, Basseches finds "further empirical evidence for a dialectical level of cognitive organization" (Basseches, 1984, p. 172). The second study broadens the range of topics, and is focused, not on the spontaneous use of dialectical thinking, but on the comprehension of dialectical schemata. Basseches' conclusions from both studies are as follows (Basseches, 1984, p. 172):

> ... the convergence of results from this (second)
> study and the previous (first) one make it likely
> (a) that both the interview measure and the
> comprehension measure tap related dialectical
> reasoning capacities, and (b) that these competencies
> develop during the late adolescent and adult years.

Basseches also names further studies carried out simultaneously with research on the dialectical-schemata framework (Benack, 1981; Bopp, 1981), viz., "Benack and Basseches' longitudinal study of the use of dialectical schemata in thinking about education; Lenard's study of the use of dialectical schemata in interviews ranging across subject matter areas; (and) Bopp's improvement of the reliability of use of the DS framework for interpretive purposes, and application to psychotherapists' writings, ... and interpretations in therapy sessions" (Basseches, 1984, p. 174).

Basseches' careful scrutiny of the dialectical-schemata framework's limitations and his reflections on how the researcher using it might be wrong, when transferred to the present study, would seem to me to harness sufficient reliability and validity for accounts executives give of their role functioning, perspective-taking, and view of internal and external change. While there exists an educational difference between a university population, including faculty, and executives serving organizational functions, I would argue that the overall educational level of the group of executives tapped for this study is not fundamentally different from that of the population interviewed by Basseches. A more serious argument might be that while an academic individual is primarily a thinker used to articulating complex ideas, an executive is primarily a "doer" who might not be versed in sophisticated argumentation. But even this difference is not as relevant as it might seem given the fact that organizational action is inconceivable if not based on various types of perspective taking and notions of systems changing over time. In fact, it might be argued that notions of change, especially planned change, are paramount in organizational settings as acted upon by executives (Bennis, Benne, & Chin, 1984).

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The hypothesized complementarity of the stage and schemata methodologies in this study changes the purpose as well as the validity concerns of using either set of determinants independently. In search of a methodology that is specific to adult development in the workplace, the present study constitutes a step toward putting in place a method for investigating the developmental underpinnings of conceptualizations of change in adulthood. For this purpose, the study uses both stage and nonstage determinants, in order to arrive at a conjoint structure/process description of developmental status. While ordinarily, dialectical-schemata and subject/object determinants are employed to demonstrate ontic-developmental progressions from childhood to adolescence to adulthood, in this study these progressions are simply assumed. (They have been established in the research literature for some time now.) The ultimate

methodological purpose of this study is to demonstrate the relevance of heretofore unrelated developmental determinants for understanding how adults in the workplace understand and manage change, viz., the inner as well as outer changes they are exposed to in the domain of executive work.

With regard to Basseches' methodology, this entails that this study is not interested in the growth of dialectical thinking from late adolescence to adulthood. Such growth being assumed, the present study focuses on ascertaining, first, (privileged) linkages between (nonstage) schemata configurations and stage scores in adulthood; and second, privileged linkages between (nonstage) schemata configurations and types of observed organizational functioning of adults in the workplace. The first focus is in the service of the second one. Whatever is found regarding how schemata configurations relate to stage scores is not generalizable beyond the domain of organizational functioning here investigated, and therefore does not have other relevance than to shed light on the developmental underpinnings of executive functioning viewed from a conjoint dialectical-schemata and subject/object perspective.

The best way to conceive of the conjointness of the two ontic-developmental perspectives is to think of them as giving rise to a conjoint structure/process description of developmental status quo. The description is of the general form X[m,f,r,t], where X stands for an overall stage score, and the expression in brackets describes demonstrated endorsements of four aspects of developmental change (m=motion, f=form, r=relationship, t=metaformal, i.e., transformation). The process description is "procedural" in that it focuses on the predominant mental processes underlying the conceptualization of change for a particular individual. The first component of the description refers to a developmental position or level, while the second specifies a developmental disequilibrium due to which certain aspects of change elude an individual at that position. (W hether or not there is a privileged relationship between the two epistemological components remains an open empirical question.)

***

For R. Kegan, questions of validity of the subject/object methodology have to do with the issue of whether "the different orders of mental complexity are developmental," in contrast to being based on "acquiring new mental skills" (Kegan, 1994, p. 187). His formulation of the validity issue is analogous to Basseches' question of whether the 24 schemata are unrelated thought-tactics (i.e., skills), or form a coherent structural whole (Basseches, 1984, p. 181). In Kegan's view, questions of validity can ultimately be answered only through longitudinal studies (Kegan, 1994, p. 187). Since 1983, when the first doctoral dissertation using subject/object methodology was written, he and his colleagues have been engaged in the attempt to demonstrate the methodology's reliability as well as validity. Kegan (1994, p. 370) distinguishes two kinds of reliability, inter-rater
 and test-retest reliability. The former has the familiar meaning, while the latter refers to reliability of the methodology across different domains of experiencing, such as "love" and "work," thus a kind of construct

validity. Kegan summarizes the outcome of SO researchers' attempts to ascertain the validity of the stage measure as follows (Kegan, 1994, p. 370):

> Inter-rater reliability across studies has ranged
> from .75 to .90. One study reports a test-retest
> reliability of .83. Several report expectably high
> correlations with like measures, and high degrees
> of consistency among alternate forms of the measure,
> different domains of experiencing, and different
> "test items." But the best single gauge of its
> (i.e., the S/O measure's) construct validity is the
> longitudinal study reported in this chapter (5, of
> 1994), suggesting the measure's general capacity
> to capture gradual changes in subject-object
> development within persons in the expected direction
> over time (my emphasis, O.L.).

Importantly, Kegan emphasizes correlations with other adult-developmental measures (such as Loevinger's test), i.e., concurrent validity; the fact that consistency was obtained not only among "alternate forms of the measure" (such as for children), but throughout "different domains of experiencing" (such as love and work), and when using different answer-provoking prompts. In addition, subject/object methodology was tested for its consistency over time in double interviews with the same subject "several days apart," with the result that "subjects were no more than one discrimination (e.g., X(Y)<=>X/Y<=>Y/X, O.L.) apart in the two interviews (there being "six reliable distinctions between any two orders of consciousness"; Kegan, 1994, pp. 370-371; see also Appendix B1).

It should be noted that the reported attempts to show that subject/object methodology is "consistent" are methodologically distinct from showing that it is either reliable or valid. In terms of qualitative research (Maxwell, 1993; Miles et al., 1994), it is not methods that are valid, but accounts or conclusions. Statements about consistency are accounts. They have to do, not with the method used to ascertain them, but with the fact that empirically speaking adults in fact can be shown to adhere to a "consistency standard" (my term, O.L.) in their activities across different life domains. Strangely (given that it that has been empirically shown by subject/object researchers), this is expressed by Kegan as a methodological "assumption" rather than a finding of research (1994, p. 371):

> I hold a "consistency assumption" but not a
> simple-minded one. I do believe that the self
> seeks coherence in its organizing according to
> its most complex principle of organization, but
> it does not always succeed. Even when it does
> not succeed, however, I believe that forms of
> consistency are still in evidence.

Regarding validity, Lahey et al. make additional remarks of interest regarding developmental measures (Lahey et al., 1988, p. 365):

> We agree with Colby, Kohlberg, et al. (1987) that

> the appropriate validity concept for a developmental
> measure (such as the subject/object interview) is
> construct validity, not prediction to an external
> criterion ... (and that)the two most critical empirical
> criteria of construct validity correspond to the two
> most central theoretical assumptions of the stage
> construct. They are invariance of stage sequence and
> structural wholeness' or internal consistency. We
> interpret construct validity to mean the fit of the
> data obtained by the test to primary components of
> its theoretical definition (my emphasis, O.L.)

As behooves a classical stage theory, here the methodological validity criterion is interpreted as being a substantive, nearly ontological, "consistency assumption." Invariance of stage sequence entails that every human being, longitudinally speaking, is assumed to pass through the stages defined by the theory, and that no internal step within the sequence can be skipped on the way to a "higher" stage. W holeness (internal consistency) means that (Loevinger, 1976, p. 38) "any new structure (stage, O.L.) constitutes a break from the old one. It cannot be obtained by adding or subtracting, but only by establishing a new principle governing relations among the parts" (of the self, O.L.).

Lahey et al. also articulate a distinct view of how reliability and validity relate in qualitative studies of a developmental nature (Lahey et al., 1988, pp. 366-367, quoting Colby & Kohlberg, et al., 1987, pp. 69-70):

> ... validity and reliability of a test are closely
> related notions since both refer to the
> generalizability of performance on a test, or a
> set of test items, to performance in other
> situations including the performane on other
> forms of the test or at other times of testing.
> In the case of structural stage, construct
>
> validity demands high generalizability or
> test-retest and alternate forms of reliability
> (my emphasis, O.L.).

Interpreting the above quote, Lahey et al. (1988, p. 367) state:

> In other words, the real test of the validity of
> the (subject/object measure is in the measure's
> capacity to support (or its inability to support)
>
> the theoretical constructs that give rise to it as
> powerful explanatory tools for understanding the
> data the measure produces.

Quoting Cronbach (1971, p. 447), she endorses Maxwell's statement that validity refers to accounts (e.g., interpretations), not methods:

> The phrase 'validation of a test' is a source of
> much misunderstanding. One validates, not a test,
> but an interpretation of data arising from a
> specified procedure (Cronbach's emphasis).

However, she differs from Maxwell in assuming that following a procedure, such as the subject/object methodology, will automatically guarantee validity (Maxwell, 1993, ch. 7, p. 1):

> The validity of your results is not guaranteed
> by following some prescribed procedure. As
> Brinberg & McGrath (1985) put it, 'validity
> is not a commodity that can be purchased with
> techniques.'

I would agree with Maxwell.

***

This being not a treatise on methodology, but a modest chapter, I will not any further pursue variances in notions of validity in qualitative research. Suffice it to say that I have established that there is good reason to trust in the validity of both the dialectical schemata and subject/object methodologies for the purposes of this study. Although one cannot purchase validity with techniques, even the most refined ones, their

research credentials significantly contribute to the validity of accounts about data. In a developmental context, the validity of results (accounts) is closely bound to assumptions about the wholeness of etic determinants (structures), whether they are stages or (nonstage) equilibria, thought to undergird human development in an almost ontological fashion. In this regard, subject/object methodology is more absolutist than nonstage theories, especially considering the multicultural global reality of human affairs. Critiques of stage theory not withstanding, it seems helpful to remind the reader of my conclusion in chapter 1, arrived at with the aid of Basseches' work, that clinical (and other physical or mental) causality has to be differentiated from developmental teleology. This is an aspect no treatise on validity known to me has so far taken up, although it is a very worthwhile one. (The fact that teleology has been discredited in the physical sciences does not mean that the concept has no merit in differentiating truth claims among rival methodologies.)

Another variant of validity that seems to have merit in a developmental context derives from considerations about the difference between "mainstream science" and "action science," as elaborated by Argyris et al. (1987). I am referring to the notion that what matters in action science is that insight obtained about phenomena be "actionable," i.e., usable. (This implies that it is valid regarding the real world in the sense of construct validity.) Action science's validity claims are more modest than ontological assumptions about developmental structures or equilibria. They do not differentiate between learning new (mental) skills or tactics, and ontic development, without being thereby reduced to mere pragmatic guidelines. Given that developmental findings construct what they describe as much as they explain it, it is legitimate to ask whether developmental science should not rather be construed as an action science whose purpose it is "to establish a

community of inquiry in a community of social practice" (Argyris et al., 1987, p. 12), such as an organization. Where developmental science is not seen as an action science, the gulf between "ontic" changes and "agentic" change efforts remains unresolved. However, what is gained by treating developmental science as a mainstream science is a critical ability to judge agentic change efforts (such as coaching) as being ontic-developmentally either productive, counter-productive, or irrelevant.

In the present case, of research into the change effort called "coaching," it would seem to be of some utility, to be able to pass judgment on agentic change efforts that, stylized as "developmental" in the sense of career development, are nevertheless ontic-developmentally either irrelevant or counter-productive (e.g., in that they either delay or arrest ontic development). For this reason, I would endorse a higher standard of validity

than action science studies would require.

8. Ethical considerations

In order to safeguard confidentiality, I involve coaches only in preparing consensual strategic decisions about which executives to engage in the two-pronged interview. Interview data about individual executives are never fed back to their coaches, or to the organization, nor is information given by coaches ever conveyed to their clients. Subjects have a right to a copy of the interview tapes or transcripts. Beyond that, results of the study are available to coaches and executives alike only in their analyzed and interpreted form, and cleansed of personal reference, as they appear in chapters III to V of the study.

9. Conclusions

The methodology adopted for this study is more developmental than clinical, in that it largely disregards executives' "unique psychological organization" (Basseches, 1989). It is also more systemic than most clinical analyses tend to be. Organizational issues are conceptualized in a cognitive-science fashion, as residing "within" the subjects of the study, in contrast to existing per se, outside of individuals. Also, given its constructive-developmental nature, the methodology stresses teleological measures (stage or nonstage) over causal explanations.

In harmony with the study topic, the methodology of this study has a certain action-science bent. This entails pragmatically that the methodology is designed to contribute to a repertoire of new developmental assessment tools that can critically challenge, as well as undergird, existing ones. The step from data analysis methods used in this study to future assessment methods that can be used by the coaching community (whether before, during, or following coaching) would seem to be a small one. (For concrete suggestions, see chapter V.3). Propiciously, assessment is approached through the study's methodology from both a stage- and nonstage-perspective, and thus is based on triangulation of accounts by its very nature. I believe that the interaction of these two perspectives within the methodology, as expressed by the conjoint structure and

process description of developmental status, is an important asset that should by itself be seen as one of the outcomes of the study. This claim goes beyond that of concurrent validity (of the conjoint methodologies). It specifically pertains to a developmental methodology suited for researching contexts in which the conceptualization of change as a developmental marker

is of paramount relevance.

A statement about the limitations of the methodology adopted here is in order. While I shy away from the pragmatism of "practice theories for coaching executives" (W itherspoon, 1996) and their a-developmental psychological-trait language presuppositions, I share with such theories an interest in the pragmatic consequences of the findings of the study. Nevertheless, in the context of the study design and methodology here adopted, pragmatic questions such as:

(1) how does ontic-developmental status inform the potential of coaching, to effect changes regarding executives' professional agenda?

(2) are changes reported by executives merely adaptive, or do they in all cases potentially engender ontic-developmental effects?

cannot be answered. Answers to these questions can only be speculated about. They are dealt with in chapter IV of the study. Empirical answers to these questions require further longitudinal research. In studies regarding question #1, the concept of coaching adopted must be concisely defined as to its type, and the relationship between executive change potential and ontic-developmental status must be made explicit. In studies regarding question #2, a way must be found to distinguish merely adaptive from ontic-developmental effects, in the sense of Lahey et al. (1988) and Kegan (1994, p. 187). This is itself a longitudinal question, and remains a major conumdrum of developmental science.

These deliberations conclude chapter II.

Chapter III

Empirical Findings

In this chapter, I am reporting the empirical results of the study in as far as they pertain to individual executives. The chapter is in two parts, first, and introduction, and second, six vignettes that provide a comprehensive profile of the executives' present professional performance and functioning (PPPF) and change story (CS), on one hand, and the result of the structural scorings of their interviews, on the other. In the introduction, I briefly explain, first, the structure of each vignette, and second, the conceptual underpinnings and the layout of the tables in which structural results are reported.

The term "vignette" is used here in the clinical sense, of a profile that makes understandable the subject's "presenting problem" (in the present case, the reason for and purpose of, as well as the outcome of, the coaching). To a small extent, the vignette relies on the information forthcoming from the coach as to the situation he or she found present when coaching began. The vignettes are as ample as subject and coach are good historians. They also depend on what is important to the executive to share. Each vignette is a composition. It is in itself an interpretation. It is the purpose of the vignette, to convey a profile of the subject in his or her professional functioning, so that the reader can acquire a holistic view of the personality involved. Against this background, the reader can then assess the meaning of the subject's utterances comprising the two interviews, for himself, guided by the author's interpretation.

It is useful to distinguish content and structure when reading the vignettes, especially for readers not familiar with the notion of structural scorings outlined in chapter II. Content is what the executives tell us about their present professional performance and functioning, as well as the change story they provide. Structure is either the ontic-developmental position (ego level) that underlies their utterances, gauged in terms of subject/object analysis, or the categorical structure their utterances is built on in the sense of dialectical-schemata analysis. It is a peculiarity of this study, not to be satisfied with content descriptions of coaching effects, but to inquire, for reasons of a deeper understanding of such effects, into the ontic-developmental underpinnings that determine coaching effects.

Externally, each of the six vignettes the chapter adheres to a uniform tripartite structure comprising SITUATION, OUTCOME, AND STRUCTURAL SUMMARY, as specified below:

SITUATION
Purpose and duration of coaching
Executive's present professional performance and
    functioning (PPPF)
Summary of the PPPF in terms of executive's
    professional agenda

           ↓

OUTCOME
Executive's change story (CS)
Summary of change story
Dialectical-schemata scores (structural score #1)
Subject-object score (structural score #2)

           ↓

STRUCTURAL SUMMARY
Short commentary on both structural scorings.

While the SITUATION is composed of content, the OUTCOME comprises both content and structure. Content is represented by the executive's change story and its summary, while the structural dimension of the SITUATION consists of the two structural scores that are derived from analyzing the interview texts. The first structural result, called the dialectical-schemata score, derives the the dialectical-schemata analysis of the professional-agenda interview, while the second result, referred to as the subject/object score, derives from the stage analysis of the subject/object interview. Both of the structural results are thought to constitute the ontic-developmental underpinnings of the contents reported by executives both in the SITUATION and the change story. Both of the structural results are briefly summarized in the STRUCTURAL SUMMARY of each vignette.

      The reader has a right to know how the structural scorings for each of the vignettes are derived. For this purpose, below, I briefly outline the hierarchy of conceptual steps that leads to each of the two scorings. I present all structurally relevant "bits" of the two interviews in the appendices to chapter III, referred to as Appendices C1 to C6. In addition, in Appendix C7, I summarize, for each subject, the individual dialectical-schemata endorsements the reader finds attached to the interview texts in C1 to C6. Finally, in Appendix C8, I summarize all structural scores determined in the individual vignettes for easier access.

Structural scores are arrived at by first locating "structurally significant" interview segments or bits, and subsequently matching these bits either to a dialectical schema or a particular stage score. A dialectical-schemata analysis of text bits comprises the following conceptual steps:

Dialectical Schemata Configuration
[m,r,f,t]

↓

Index Score (n/72)

↓

Cluster Score   per Category
(m/24; m/9; m/12; m=27)

↓

(24) Individual Schemata
(see Table IV.2, chapter IV)

↓

Interview Segments
(ordered by schema endorsed)
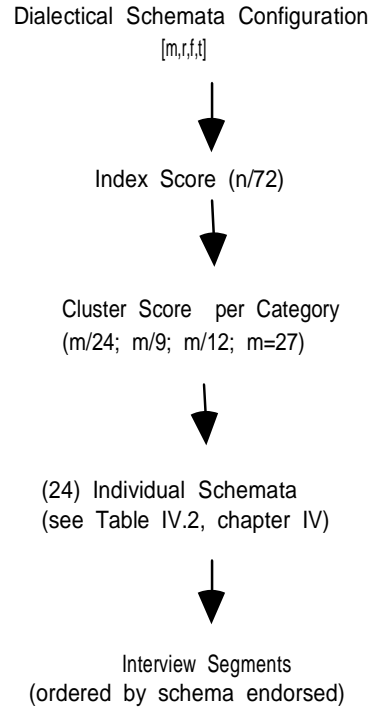
As shown, interview segments are scored in terms of one of the individual schemata, or "moves in thought," they optimally endorse. Schemata are grouped in terms of four categories, called motion, form, relationship, and metaform (transformation), abbreviated by m (motion), f (form), r (relationship) and t (metaform, or transformation). Each of these categories comprises a variable number of schemata, viz., 8 (motion), 3 (form), 4 (relationship), and 9 (metaform), respectively. Each schema has an integer name between #1 and #24. Interview segments are said to "endorse" schemata under a specific category. There are three degrees of endorsement. A segment receives a score of [1] if in the interview as a whole a schema is endorsed just once. The score is [2] if during the course of the interview a particular schema is endorsed several times. Finally, the score is [3] if a schema is stated in unequivocal and
 highly articulate ways. As a result of these differences, schemata can be endorsed weakly [1], moderately [2], or strongly [3]. One arrives at a "cluster score" for individual categories when summing all of the endorsements of schemata comprised by a particular category (e.g., a cluster score for the category of motion is the sum of all schemata endorsements falling under the category of motion). One arrives at an overall index score   when summing all schemata endorsements over all of the four categories (maximum 24x3=72).

The result of dialectical-schemata scorings for the professional-agenda interview is presented in (odd-numbered) tables of the following form:

Dialectical-Schemata Tables
(odd-numbered throughout chapter)

_____

| Index Score | Total Motion | Total Form | Total Relations | Total Metaform | #Absent Schemata | Type of Endorsement |

_____

Sum of all schemata endorsements

Sum of endorsements per category (or "cluster score")

Number of unendorsed schemata

Overall type of all endorsements in terms of higher-order patterns (see chapter IV)

_____

A short explanation of structural scorings in the context of a subject/object analysis is also in order. Such an analysis comprises the following conceptual steps:

Teleological Range of
Single Overall Score

↓

Single Overall Score
for Entire Interview

↓

Subject/Object Scores
for Individual Segments
(see Table IV.1, chapter IV)

↓

Interview Segments
(ordered in terms of
interview time)
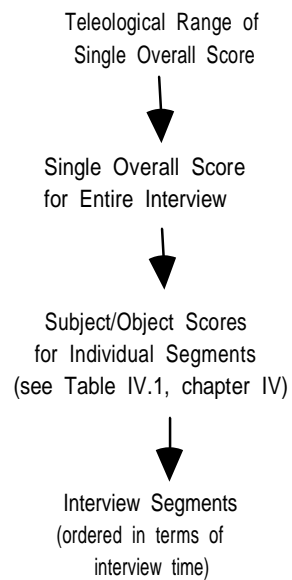
As shown, each interview segment selected as structurally relevant in the sense of the subject/object interview is assigned a score. On the basis of the scores assigned to individual segments, a "single overall (stage) score" is derived for the entire interview. This stage score by definition lies in a teleological range, meaning in a neighborhood of other scores that an individual instantiating a particular stage score can either regress to or transcend to. For instance, an individual at stage 4 can regress to stage 4(3), and progress to stage 4(5). For more details, see Appendix B1.

***

Vignette   S1

SITUATION

Purpose of coaching: Improving upward communication

Duration of coaching: Three years

Present professional position and functioning

      S1 is a Senior Vice President in a large investment firm. He manages both the research and investment management function of his unit's business. He defines investment strategy, guides the investment research process, and mediates between two groups of collaborators: analyst/researchers and portfolio managers. He also communicates research results to representatives "in the field" who are working with high-networth customers they know personally. His communications are thus oriented to two fronts: "the broad communication to the outside world as I call it, (i.e.) all the representatives, and internally." He characterizes the organizational situation he is facing as a manager as follows:

> There is always dynamic tension between the two
> [parties], and I am always making sure that they work
> like gears in a [system]. The analysts want the managers
> to buy certain funds that they follow. The portfolio
> managers, even though they generate the rates of return
> on the portfolios, [want to] get recognized for their
> contribution in helping us select the right securities,
> or avoid terrible securities.

S1's task is to channel these dynamics. Rather than seeing himself as a mediator, he is a participant in both (parties), a facilitator; he does not consider himself a final decision maker:

> I let them make their decision. That's my own
> management style. They live by the sword, they die
> by the sword. If I have a strong opinion or belief
> about something, I let them know exactly what it is.
>
> And I stimulate them with a lot of questions, by pulling
> out my I-am-confused hat, (saying) 'explain this to me,'
> just so they think themselves about themselves.
>
> I also spend a lot of time with my people, as a mentor,
> as a coach, as a teacher. I tend to define my role as
>
> helping them achieve the best that they can achieve.
> Sometimes I jump in the middle, saying: 'you row one
> side of the boat, I am rowing the other.' I am in the
> middle of the scrum with the guys.

S1 uses sports metaphors to describe what drives his functioning:

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

In his case, the winning is about building the best possible product he and his team can build. Therefore, he worries about:

> Are we producing great research, and are we producing very clever analyses? Are we investing well, are we doing our analysis so that we have a very good pulse on the markets and can communicate that pulse [to our customers]? And that leads to one measure I love to look at, viz., what are our assets under management?

S1 sees the success of his unit as a result of functioning as a team:

> Everybody functions somewhat autonomously, and they all know what their mission is. W e are all clear on the mission. On the other hand, a lot of the foot print, intellectually, of what we are doing here is coming from my leadership, in effect. So there are cases where I really literally need to sit down and go through an analysis with somebody [on the team], and just provide another opinion, other ways of looking at things. Try to act more on the level of 'look, I'm a colleague of yours as well, so let me try to figure out what we are doing here. And if it looks crazy, I'll tell you.

As a leader, S1 takes pride in how his team is performing:

> One of my thrills is watching my people do some great work. It's an absolute thrill. People have gone on from here to do awesome work, just clever, clever work. And that I get my kicks on. I am not a power guy. I just enjoy watching them blossom. It's a real treat.

More than a manager of people, however, S1 is an entrepreneur. He has developed his own business product, and assembled people for developing it and making it known. Six months ago, his unit was "folded into" a superordinate administrative entity. S1 now reports to a President whose operating style, at least in his own opinion, is more tactic than strategic, and demands different communication skills, if not an entirely new way of dealing with affairs outside of his own unit.

> I pretty much run the show by myself. And then the guys upstairs decided to install somebody who is not an investment person by trade, with very limited marketing and sales experience.

Although S1 has been "upped" to Senior Vice President, he has found it difficult to dis-identify with his product. This product-oriented stance has limited him in his capacity to respond to new challenges, especially the need to work more cooperatively with higher-ups:

> One thing I am not changing is me. You don't change people. Nobody is going to change me. I am going to be blunt, aggressive regarding authority. I am always going to have my 'you guys, make up your mind,' that's always my opinion, and tell us what you want us to do. Leave me alone, and let me do it.

> I like to be given my orders, and to be left alone
> to achieve [them] with my team. I don't like to feel
> I am constantly answering to a bunch of people who
> are baby-sitting. And I don't necessarily want to go
> and check with management on every single decision.
> I also don't mince my words, ever. When I want to
> say something, you are going to hear it.

As a consequence of being focused on the work of his unit, S1 has neglected the environment in which he functions:

> I prefer to make progress on building or developing what
> our business is, and I define that as making progress,
> rather than worrying about sphere of influence.

This stance has not contributed to S1's reputation as a smooth interpersonal player, especially among higher-ups, however much he may be acknowledged as technically brilliant. It is in this respect that the coaching has brought about some insights that are beginning to change his modus operandi:

> In a large bureaucracy, you need to have a different
> set of rules. And maybe actually, that's the big lesson:
> each manager, each person needs to figure out how to
> function given what the rules are in the environment.

The new situation (of dependency) he has been put into has made him sociologically more astute:

> The rules are largely driven by personalities which
> then become folklores. Personalities create a kind of
> modus operandi which you are not allowed to violate.
> [Not attending to the environment] is counterproductive,
> it's detrimental. Look cowboy, you are functioning
> in a bureaucracy here!

S1 has become more interpersonally astute as well, realizing that he is co-responsible for how others in the organization see him:

> You construct your own perception (of you), what
> the rest of the world's experience [of you] is. You
> are shaping not only your work, you're shaping
> (other's) perception. It's kind of like with G. Bush
> being a technically brilliant president who, however,
> was perceived as a bumbling idiot, and of Regan, who
> was a bumbling idiot and everybody loved him. But
> he constructed that perception, as did Bush. It's a
> bad analogy, but [like in baseball] you need to
> understand that a whole stadium of people is watching you.

He is critical of his environment, especially when it comes to development, personal or organizational:

> It's not just skills (that matter), it's development.
> Development is difficult to measure. It's even more
> difficult for people to have the perspective that things
> are being developed. There are not many people who

have a capacity for insight. It's got to be cultivated.

As he sees it, the present situation has both personal and systemic roots:

> I tend to have very quick visceral reactions to things.
> [Also], I like being left alone. I don't need somebody to
> tell me day to day [what to do]. Tell me what the
> parameters are, and we will figure out how to get it
> done. W e have got to get trains out running on schedule
> every single day. The trains are running on schedule here.

In addition to his reactive stance and orientation toward being on time and winning, there are systemic

factors that define his situation. In particular, the organizational culture has changed in recent years:

> This is the worst environment for that (i.e., development).
> This culture here has, I think, truly evolved. There was
> a real entrepreneurial bent here. And the sheer size and
> the weight of the business, and its impact on our revenue,
> on public perception of us, the sheer magnitude (of the
> investments we manage) has changed the way we have
> to function here. And if anything, what we are struggling
> with is: how do we mature as a bureaucracy that has some
> deep-rooted politics, and a culture (whose) one foot in the
> bucket is more the old entrepreneurial team, and the other
> foot in the bucket is managing things, not for growth but size.

This qualitative change resulting from quantitative change has led to a misalignment between the old

entrepreneurial team of which he is a part, and the new, not yet fully installed "management for size, not

growth." S1 is trying to cope with the systemic changes as best he can. He surmises that part of the difficulty

is that he is relative newcomer. This self-perception positions him as an outsider:

> I have been here only seven years, and I consider
> myself as somewhat of an outsider. So, I am likely
> to challenge a lot of questions and some of the
> assumptions. I also frankly have no interest in climbing
> the ladder here. I have an interest in winning, in producing
> great products which is what we do here. I don't
> necessarily want to have to think about how to position
> things the right way. It's like 'Look, I don't have time'
> (for political considerations).

At the same time, winning, for him, is not bound to a short-term perspective, as for most of his colleagues.

He sees himself as a long-term strategist, not a tactician:

> Part of the reason of why I get thrown into these kinds
> of roles where I am at the edge of the forest and have to
> cut my way through is that I am not thinking tomorrow or
> next month. I am looking at basically three years or more.
> It took 400 years to build the Cathedral of Notre Dame.
> Who had the vision to put the first stake in the ground?
> And how did that vision get itself transferred? Something
> carried that through time. 40% of my time is worrying
> about what we are doing today, and 60% is worrying about
> 'where is this going?'

Given the above testimony, I would summarize S1's professional agenda as follows:

Mission: Winning by building best product.
Role functioning: Product-centered functioning,
                    emphasizing informational and
            (secondarily) decision-making roles
                                  to the detriment of interpersonal ones.
Approach to tasks: Strategic, taking a long-term perspective.
Goal setting: Product- and fact-centered.
Performance: Focused on team performance (as in sports)
Self & role integration: Identification of self with expertise-
            based role functioning.

<center>***</center>

OUTCOME

<u>Change story</u>

S1 articulates a broad perspective on coaching in general, warning of premature generalizations:

The coaching experience is different for every single
person. You are dealing with personalities that are
reacting and doing things in very different ways, and
also have flaws and deficiencies that are quite unique.
And they are at different stages, in different organizations,
different sizes of organization, different cultures.

He articulates several major changes that coaching has brought about for him. The first change regards "a

different degree of perspective and patience:"

Coaching has helped me develop an ability to step
back and take another view of the same picture

from a different angle, and be a little more patient
about things, especially in my case, where I am charging,
hard-charging, 'let's get this done, let's get rolling,
let's get this done.'

As a consequence, he has become more reflective:

I tend to have very quick visceral reactions to
things. And coaching has helped me to step back and
have a look at something, and not necessarily react so
quickly. (It has reinforced) my favorite question: 'I don't
understand this, what is going on here?' So, I take a look
at the big picture, that is one one thing the coaching
has helped me with. I have learned to step back, relax,
you know, not react, take a look, don't overreact.

In addition to having become more reflective, and able to take a second look at a situation and his functioning in a situation, coaching has had on influence on how S1 communicates, especially upward (the actual telos of the coaching):

> The second thing, very specifically, is I think my work with
> X on communicating, and particularly on communicating
> upward, has improved. I like to be given my orders, my
> mission. I don't like to feel I am constantly answering
> to a bunch of people who are baby-sitting. I don't
> necessarily want to go and check with management over
> every single decision. I also don't mince my words, ever.
> When I want to say something you are going to hear it. Some
> of the coaching X. has done has helped me to tamper that,
> and understand that. That kind of (aggressive) behavior
> is counterproductive, detrimental, that's what the coaching
> has helped me understand. LOOK COWBOY, YOU FUNCTION
> IN A BUREAUCRACY HERE. You have to understand that
> the boys have a different set of rules here (my emphasis, O.L.).

A third type of change that has occurred through coaching has to do with becoming more aware of the organizational environment in which he functions, thus to take in 'the big picture' of which he is a part:

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

> ... tempering your actions, with understanding what type
> of downstream effect any particular action could ripple
> into. You are more careful with things, more patient.
> Rather than just react and say 'this is not working for
> me,' step back and ask 'why does somebody think this
> way; what is this linked to; what is the politics behind
> this? Is it worth fighting for or not, --you make these
> kinds of decisions.

This kind of stepping back to take in the big picture results in a higher degree of self-as well as other-awareness, that is, of how you are perceived:

> More of an awareness of how perceptions and
> interpretations can work for you both positively
> and negatively. That's been a major influence from

> the coaching. It's more [about] how you are perceived.
> I am the one who is constructing the rest of the
> world's experience of me (where 'constructing'
> means 'inducing others to perceive me in particular
> ways', O.L.). And the coaching experience has helped
> me understand that you are shaping not only your
> work, but also the perception (of your work).

Not astonishingly, this new professional attitude has also influenced his experiences as a new father, especially in regard to the ability of being empathic:

> The coach said to me: 'You seem more settled with
> certain things.' And I said: I have a new child. She's
> is 17 weeks, and I would say that the coaching has
> had some influence on me [in this regard]. W hen I got
> home [recently], my little girl had the most incredible
> bout of constipation, and she was up one night all night
> long. And I had the night shift. She is in pain. Guess
> what, nothing else matters at that point. I actually
> think that coaching has given me a level of empathy
> on the professional front that has carried over personally.

Summary of change story

      S1 is aware of five pronounced changes wrought by the coaching: (1) he has become more reflective; (2) he has improved his communication upwards; (3) he has strengthened his ability 'to get the big picture'; (4) he is more aware of how he is being perceived by others; and (5) he has more empathy, not only in his professional life, but his private life as well. As a consequence of these changes, S1 has become more aware of how counterproductive some of his approaches to his work are:

> One has to recognize that this [to be focused on good
> work] is important, but it will definitely limit one's
> compensation, one's exposure. It limits one's functioning
> in an environment like this, where everyone is jockeying
> for their position as much as doing their work.

In their totality, the changes brought about by the coaching have altered his view of the mission he is pursueing in the organization, thus a core piece of his professional agenda. Staying with his preferred metaphor, taken from sports, S1 states:

> The coaching has let me understand that it's more
> important to play the game correctly, rather than
> to win the game.

S1 perceives these changes as leading him to a new level of maturity. He expresses that

using a baseball metaphor:

> It's a certain level of functional maturity, I would
> call it. I think the nuance in behavior here is to be
> able to tag someone out eloquently, and then just
> going to the next play (rather than forcing a collision).
> The reality is, the crowd may not like it [conflict] as
> much than eloquently tagging out the [other] player.
> It's a bad analogy, but ... understanding that
> there is a whole stadium of people that are watching.

To the extent that S1 can take in the big picture, and be aware of how he is being perceived, he can also be more tolerant vis-à-vis differences in how peers and superiors may present themselves:

> Any coaching or counseling that has any quality

behind it will do that: [help you with] understanding
that that's a necessary element of what you need to

do, (viz.) be able to understand that different bosses
that you have have different styles themselves, in
terms of what they like and dislike, and that you
need to pay attention to how different executives
respond (to you). If you are reporting to somebody
who is a screamer, then you have to figure out a way
to counteract that.

<div align="center">***</div>

This concludes the content-focused rendition of SITUATION and OUTCOME. Below, I proceed to the structure-focused portion of the vignette. In contrast to the content summarized in the executive's present professional performance and functioning (PPPF) and the change story (CS), his or her CHANGE PROFILE is a first structural assessment of ontic-developmental level (built upon for further analysis in chapter IV). The change profile has two parts: first, a developmental assessment in terms of Basseches' dialectical-schemata framework; and second, an assessment in terms of Lahey's and Kegan's subject/object framework (see chapter II). The reader who wants to understand the structural scorings in more depth is referred to Appendices C1 to C6, where they are substantiated in terms of individual interview text segments.

Dialectical-Schemata   Change Profile, S1

The change profile of executive S1 is based on two kinds of interview data: first, the professional-agenda interview, and second, the subject/object interview. In this chapter, I merely present the outcome of the structural analysis of these data. The reader who is curious about the details of my analysis is referred to Appendix C1, and for details on schemata endorsements to Appendix C7 (Table C7.1).

The results of the dialectical-schemata analysis of S1's professional-agenda interview are summarized in the table below.

<div align="center">Table III.1. Index Score and Cluster Scores of S1</div>

Index Score	Total Motion	Total Form	Total Relations	Total Metaform	Schemata Absent	Type of Endorse-ment

19/72	6	3	5	5	11/24	Motionist
	[#4-6, 8	[#11]	[#12-14]	[#16,18, 20,22,24]		

As shown in Table III.1, S1's dialectical-schemata profile is characterized by a total index score of 19 out of 72. Relative to the group of subjects interviewed, this puts him at an advanced stage of developmental thinking about change. Out of 24 schemata, 10 are absent, which confirms that his conceptualizations of change, while rather equilibrated, lack sophistication. The configuration of endorsed schemata comprises the following 14 elements: #4-5, 6,8 (motion); #11 (relationship); #12-14 (relationship); and #16,18,20,22,24 (metaformal). In terms of the cluster scores for total motion, form, relationships, and metaformal schemata, S1's dialectical-schemata profile is remarkable in that it instantiates all four classes of schemata relatively evenly, although mostly in weak form.

Specifically, in his understanding of motion, he has some grasp of correlativity and ongoing interaction as the source of movement, as well as of the interactive character of knowledge (schemata #4-6). He also has an incipient understanding of the difference between change and development (schema #8). In the domain of form, he can be credited with understanding the contextual embedding of form (schema #11). Due to the coaching, his understanding of relationships is especially advanced, which enables him to see the limits of separation (schema #12). This prepares him, in the domain of metaformal thinking, to weakly endorse a number of dialectical constructs, such as the positive value of negativity (adversity), the value of developmental process, the coordination of systems, the reversal of quantity into quality, and the issue of taking multiple perspectives (schemata #16, 18, 20, 22, 24). This finding concretely manifests in his experience of adversity, his understanding of internal organizational changes, and the quest for acquiring a better grasp on development in the workplace (e.g., management training). In short, S1 has a good foundation for growing into a sophisticated developmental thinker who understands change dialectically, as deriving from the instability of systems (forms) characterized by disequilibrium, regardless of whether the systems are human individuals or organizations. Given the fact that schemata of the category of motion are most highly endorsed by him, S1 can be grouped with other members of the interviewed cohort as a "motionist" who is highly sensitive to change in his inner and outer environment. In contrast to other executives, however, his instantiations of motion are kept in balance by schemata endorsements in the remaining three dialectical-schemata categories.

Subject/Object Change Profile, S1

While the professional-agenda interview is close to a clinical "intake" or "history-taking," in that the executive is answering questions about his function and experience of changes due to coaching, the

subject/object interview is associative and closer to the telling of stories. The executive is given 10 conceptual stimuli (e.g., "taking a strong stand"), and is asked to associate experiences to those stimuli he or she finds salient in light of recent experience in the workplace. Associating to a stimulus thus takes the form of telling experiential stories. (Sometimes, remote history may also be brought in.) As a result, the dynamics of the subject/object interview is largely defined by the executive, who determines what is salient experience to begin with, how to frame it, and what conclusion and extensions to lead it toward. Since executives associate to self-chosen stimuli, thereby defining the interview dynamics, the sequence of utterances in the SO interview is preserved in this presentation. For related reasons, some "behavioral observations" regarding how the interview evolved is reported. While not always salient, such observations often give a clue as to how an executive constructs experience.

***

The results of the constructive-developmental analysis of S1's subject/object interview are as follows:

$$\frac{4(3) \quad 4 \quad 4(5)}{3 \quad 9 \quad 2} \quad =14$$

These findings are put in perspective in the table below:

Table III.2. Stage Scores of S1

Developmental Range	Single Overall Stage Score	Clarity	Counter-Hypothesis #1=4(3)	Counter-Hypothesis #2 =4(5)	Bits Beyond Stage 4 (Potential)
4(3) - 4(5)	4	c=9/14	power=3	power=2	p=2/14

As shown in Table III.2, S1's ontic-developmental position falls into the range from 4(3) to 4(5), with a single overall stage score of 4. The two rival hypotheses suggesting a lower or higher stage score are not of sufficient power to warrant their discussion. (For a further explanation of stage scores, see Table IV.1 in chapter IV, and Appendix B1 of chapter II.) Consequently, S1's developmental status quo is characterized by a self-authoring stance that is secure against temptations of "falling back" into less autonomous self

positions (SOS power index=9). By the same token, S1 is at risk for embeddedness in his self system's own consistency, although there are indications that he is beginning to transcend some of that embeddedness (4(5)=2). Empirically, this risk is exacerbated by recent organizational changes that have bereft S1 of the space for exercising entrepreneurial initiative, and thus have bruised his self-authoring stance. The organizational bureaucracy he is up against is as unyielding as the "bureaucracy" generated by his self system. There is consequently a need for coaching that might help him adjust his unyieldingness, at least in his upward communication, to a point where he can modulate his reactions to the world outside his unit (i.e., "noise") in harmony with his insight into the limitations of his own ideological system. As he has articulated in the change story, some of the coaching has already had an effect in this direction.

The particular embodiment of a stage-4 position by S1 is characterized by a "relational" (in contrast to a "separate") style. This style in part reinforces the embeddedness in his self system, in part does it create a potential for broadening the WE so characteristic of his strategic thinking to a broader community of co-workers and

superiors. Both counterhypotheses can be rejected. S1 is neither at risk for slippage into a more 3-ish position (4(3)=3), nor is he at present far advanced in his ability to understand, and thus escape, the limitations of his self system, as a 5-ish position would require (4(5)=2).

STRUCTURAL SUMMARY

S1 is a Senior Vice President in a large investment firm. He is the leader of a unit that comprises both investment research and investment strategy definition. S1 has been coached for three years. The main purpose of the coaching has been to improve his upward communication. His change profile shows him to be capable of equilibrated thinking about change that weakly instantiates dialectical insight, on the one hand, and as holding a classic self-authoring position, on the other. In terms of the ability to conceptualize change in a developmental direction, his strongest asset is in the understanding of contextual relativism and the limits of separation. His self-authoring position is articulated in terms of a highly relational style which is, however, restricted to the members of his immediate work group. This restriction is in harmony with his professional agenda (summarizing his PPPF) which identifies him as engaged in a mission of winning, and as holding a behavioral stance of product-centered functioning within a team. His approach to tasks is highly strategic, and his performance focused on team action. However, this action is understood as serving his own professional standing, and is thus a means for his own self solidification. In terms of self & role integration, he is identified with an expertise-based type of role functioning. In terms of prognosis, there are beginnings of a transcendence of his unyielding identification with his own ideological system.

This concludes the vignette of executive S1.

Vignette S2

SITUATION

Purpose of coaching: Preparing S2 for presidential duties

Duration of coaching : 18 months

Present professional position and functioning (PPPF)

        S2 is Chief Financial Officer (CFO) of a large mutual insurance company. His present ambition is to succeed the outgoing President. Directed as he is toward his presidential future, his remarks on his present position are quite sparse. He is aware of the liabilities of being a CFO, a post that is often thought of as that of a higher-level accountant:

> I leverage my past as a partner with (company X), not
> that of an accountant. My goal is to run a company,
> a large financial services institution. So, I first became
> a CFO of another company, and then of this company.
> (In this position,) I have a broad responsibility for the
> financial and strategic direction of the company. In order
> to run a company, you have to then start shedding the CFO
> role, because, CFO's have made it to CEO (chief executive
> officers), but some get tagged as a financial guy, and so
> you have to start acting like the president of a company.
> I am currently trying not to have people think of me
> just as the CFO (which is too confining a role given my
> ambition to become President, O.L.).

For S2, therefore, his present position is something to get away from, rather than be identified with, and specific about. As a consequence, S2's contributions to the PPPF are short. They serve merely as a backdrop for outlining his ambitions and future plans.

        The present situation in S2's comapny is characterized by the fact that the President is engaged in succession planning. He is trying to find a suitable successor who will continue to lead the company in a direction he considers beneficial. At the same time, the company is in the process of conducting what S2 calls "a strategic review of its businesses," to which S2 is an advisor and major contributor. The main alternative the company's executive team and board of trustees are discussing is whether to "stay in mutual," or to "de-mutualize." The choice between these two ways of delivering insurance to the market place is a matter of timing; it also depends on the degree of risktaking the company is willing to engage in. S2's own preference would be to de-mutualize, while the President favors to stay in mutual for the moment. Although S2 himself is not at the cutting edge of risk-taking (see subject/object interview, Appendix C2, bit #11), he considers the company as too risk-averse:

> I don't think I am at the leading edge of risk-taking.

But this is a bland, benign environment, not exciting,
not culturally diverse. This company is too risk-averse.
It's not culturally diverse; it is slow to react to changes
in the market place. There are changes that need to be
made.

The slowness to react has a lot to do with the risk
tolerance. W hile this company believes it merely avoids
trends and fads, it waa actually the inability to react
quickly that kep them out of trouble. But that only
works for so long. (The company) avoided a lot of
disasters by not moving quickly, but they talked
themselves into believing that it was insight that allowed
them to do that, rather than an inability to react. And
(as president), I would change that.

Given his proactive style, S2 favors restructuring the company since it would give him the opportunity to be

optimally engaged:

If the company were to restructure (i.e., demutualize),
I would be the one doing it, which would be just
another plane of technical and intense action, the
pathos of it all, a two-year orchestration of a huge
effort. And the adrenalin rush would be there.

I can't think of living in any environment where you are
not striving for experiencing something different.

S2 has little to say about how he interacts with his immediate collaborators and the executive team. As can

be gleaned from the material below, he is more eloquent about his relationship to the president and the

board of trustees.

Given the above testimony, I would summarize S2's professional agenda as follows:

Mission:	Becoming company president
Role functioning:	Transcending technical roles, whether
	they are interpersonal, informational,
	or decisional
Approach to tasks:	Strategic; taking a long-term perspective
	imbued with keen insight into his own
	unique psychological organization
Goal setting:	Process-centered, visionary
Performance:	Focused on own performance
	as an impersonation of presidential qualities
Self & role integration:	Dis-identification of self with
	technical tasks and roles.

***

OUTCOME

Change Story

S2's notion of coaching derives from his notion of compatibility of the two parties to the coaching:

We shouldn't select the coach institutionally. I could
picture him [the coach], knowing how well it works for

me, failing miserably with 2 or 3 other people that I
work with. The coach and I think a lot alike, and there
are people who just don't think like that, [that] are
not in cync with his thinking.

This does not mean that a coach can match only to a specific person, however:

Unless a good coach can recognize the situation [i.e.,
can gauge the coachee], and can apply himself differently
in different situations. Maybe that's the point, maybe he
has the ability to do that.

The emphasis is rather on the thesis that in "coaching for agenda" in which the executive defines the

agenda of coaching:

the coach cannot create a partner out of someone who
has no idea of what it is, doesn't believe it, can't feel
it in their stomach,

where 'it' is some belief crucial to the executive. Coaching thus starts with the executive's beliefs and

visions. The coach must be able to pick up such beliefs and visions, share them, and then mold them

towards some purpose:

Coaching is taking raw talent and molding it toward
something. And so, when I think of my coach, I think
he has been most helpful in taking things I already
fundamentally believe in and have practiced for years
and years and years, and channel that.

What S2 has practiced for years is the ability:

to do things with the end in mind. I have a very clear
picture of where I want to be, and what I want to do.
... The coach is very helpful in making me see that a lot
more clearly, in terms of how to relate the day-to-day
activities to the overall goal [i.e., to become successor
to the President], and to transform that (i.e., them)
into something more than just merely the answer that
my superior is looking for, to transform it (i.e., them)
into [a] building block[s] for that ultimate goal.

This view of coaching as "channeling" of the energy attached to a clearly anticipated, ultimate goal pervades

S2's change story. He emphasizes two major changes. Firstly:

(The coach) has helped in focusing my attention on
acting presidential. Acting in more of a leadership role.
Taking a leadership role, taking little things that could
have been non-events, and turning them into leadership
roles (i.e., occasions for play a leadership role, O.L.), and
exerting myself in that situation.

This first change has been possible because the coach has taken something his client already fundamentally believed in, and has practiced throughout his business career. The change is thus developmental. It is an elaboration of what was already in existence, but needed nurturing to become fully conscious. In harmony with S2's proactive style, the coach has encouraged him to start acting out his vision:

> I believe that in order to advance whatever you are
> aspiring to, if you aspire to something, just start doing
> it. If you want to be president of a company, start acting
> like it. Start a behavior pattern, and pretty soon, whatever
> behavior pattern you are trying to create, just happens.
> And (the coach) has helped me focus my attention on
> acting presidential.

A second change provided by coaching regards S2's interpersonal functioning:

> (The coach) has helped me put myself into whomever's
> behavior I am trying to affect, to stand in their shoes
> and think like them. If you want to get them [to] do
> something, think about taking their perspective.

Summary of Change Story

For S2, coaching has brought about two major changes: the ability to act presidential, and to take multiple perspectives on company matters. The two changes are related: to act presidential, one must be able to take others people's perspective, which is a capability S2 ascribes to the company President:

> He is not a cut-and-burn type of boss. He likes to gain
> consensus, manage groups of people, sort of pacify
> groups of people. He is consensus-oriented.

This concludes the content-focused findings on S2 for both SITUATION and OUTCOME. Below, I proceed to the structural focus of the vignette, referring to it, as previously, as the CHANGE PROFILE. The change profile of executive S2 is based on two kinds of interview data: first, the professional-agenda interview, and second, the subject/object interview. Here, I merely present the outcome of the structural analysis of the interview data. The reader who is curious about the details of my analysis is referred to Appendices C2 and C7 (Table C7.2) for detailed schemata endorsements.

The results of the dialectical-schemata analysis of S2's professional-agenda interview are summarized in the table below.

Table III.3. Index Score and Cluster Scores for S2

Index Score	Total Motion	Total Form	Total Relations	Total Metaform	Schemaa Absent	Type of Endorse-ment
17/72	11	0	2	4	16/24	Non-
	#2, 5-8		#14	#20, 24		formalist;
						motionist

As shown in <u>Table III.3</u>, S2's dialectical-schemata profile is characterized by a total index score of 17 out of 72. Relative to the group of subjects interviewed, this score puts him at an advanced stage of developmental thinking about change. The configuration of endorsed schemata comprises the following 8: #2 & 5-8 (motion); 14 (relationship); and 20 & 24 (metaformal). Of 24 schemata, 16 are absent. This finding confirms that he is a relative beginner in conceptualizing change as motion in a developmental direction. According to the cluster scores for the four classes of schemata, S2 is predominantly a "non-formalist," for whom motion (=11) holds overriding

relevance. More specifically, one might call him a "motionist," i.e. an individual who is highly sensitive to, if not hypervigilant regarding, changes in his inner and outer environment. His dialectical-schemata change-profile is remarkable in that it instantiates one out of four classes (viz., motion) most vigorously, to the exclusion of what defines stability through change (viz., form) as well as of constitutive relationships between forms (viz., relationship).

Specifically, in the domain of motion, his understanding of the primacy of change, the ability to see motion where it is not obvious, and his grasp of situations as elements of an overarching process are particularly strong (schemata #2, 7-8). In the metaformal domain, he is able to take multiple perspectives, which accounts for his successful impersonation of his superior's stance on staying in mutual (schema #24). Thus, while he remains vulnerable to a lack of understanding of forms and systems, including himself, as equilibrated entities, and to having a limited sense of relationships (except as implied by metaformal categories), his cognitive-developmental flexibility is focused on change phenomena. In fact, what he sees as constant is ongoing motion which he primarily projects into his own unique psychological organization.

<u>Subject/Object Change Profile. S2</u>

The results of the constructive-developmental analysis of S1's O/S-interview are as follows:

4(3)   4   4(5)

_____

1   8   5   =14

These findings are put in perspective in the table below:

<u>Table III.4 Stage Scores of S2</u>

Develop-mental Range	Single Overall Stage Score	Clarity	Counter-Hypothesis #1 = 4(3)	Counter-Hypothesis #2 = 4(5)	Bits Beyond Stage 4 (Potential)
4(3)- 4(5)	4	c=8/14	power=1	power=5	p=5/14

As shown in <u>Table III.4</u>, S2's ontic-developmental position falls into the range from 4(3) to 4(5), with a single overall stage score of 4. Of the two rival hypotheses, the second one (4(5)) suggests a higher stage score which, in terms of its power index (p=5) is, however, to be ruled out. Nevertheless, the relative size of this index speaks well for the potential of S2, to accede to a subsequent ontic-developmental position. (For a further explanation of stage scores, see Table IV.1 in chapter IV, or chapter II and Appendix B1.) Consequently, S2's developmental status quo is characterized by a self-authoring stance that is secure against temptations of "falling back" into less autonomous self positions (SOS power index=8). By the same token, S2 is at a slight risk for embeddedness in his self system's own consistency. However, there are strong indications that he is beginning to transcend some of that embeddedness (4(5)=5). Despite the 4(5) score of 5 (counterhypothesis #2), which derives from his keen insight into the limitations of his self-authoring stance and his unique psychological organization, little in S2's subject/object interview indicates that he is developmentally at a point where he is ready to take a "generative" stance towards others. In part due to his present engagement in the succession planning of his superior, the President, other individuals in his immediate working environment, not to speak of family, do not figure in his account. W hile he is genuinely able to subordinate self-concerns to company requirements, and is fully aware of the totality of the organizational proces of which he is a part, the very telos of coaching he has chosen (to learn acting presidential) indicates his abiding interest in his own self system. In short, there is presently little conflict in his subject/object profile, in that the incipient 5-ish structure apparent in 4(5) remains subordinate to his single overall score of 4, instead of leading to a conflict between the two structures (e.g, 4/5).

STRUCTURAL SUMMARY

S2 is Chief Financial Officer of a large mutual insurance company. He is presently rehearsing for assuming the office of President. S2 has been coached for18 months. The main purpose of his coaching has lately been that of helping him think and act "presidential." Due to the coaching, S2 is increasingly successful in turning situations that could have remained "non-events" into stepping stones for his career

advancement as a leader of the company. His change profile shows him to be a non-formalist, more specifically a "motionist," on the one hand, and as holding a 4-position (clarity=8), on the other. As a "motionist," S2 endorses motion over and above relationship and form. He is imbued with the primacy of change, the ability to detect

motion where it is usually not seen, and of understanding individual situations in terms of a larger, overarching process (schemata #2, 7-8). Despite the considerable number of bits beyond stage 4 (p=5) in his profile, apparently keen self insight tends to weaken his ability evidenced by his motionist dialectical-schemata profile, to consistently subordinate the outcome of his self-transcending moves to the developmental change process in which he is engaged. Although he has an intuitive metaformal understanding of the aspects of developmental change (metaform=4), the lack of form instantiations (form cluster=0) points to a difficulty in analytically conceiving stability through change, as well as the constitutive nature of relationships between forms and systems (relationship=2), whether they are persons or organizational entities. Due to his lack of endorsement of form and relationship schemata, S2 articulates his 4-ish position in a somewhat "separate" (introversive) style marked by keen insight into his unique psychological organization. This, however, does not negate his genuine ability to see himself as part of a team and subordinate his own preferences to requirements of leadership (4(5)=5).

The structural analysis presented above is in harmony with his professional agenda (derived from his PPPF). Given the mission to become president, he has choosen a process-centered and visionary kind of goal setting. He shows himself capable of aligning his own preferences and insights with present calls for consensus in a company reviewing all of its businesses, as a prelude to choosing a successor to the outgoing president. However, in harmony with his 4-ish self position, his performance, which is strongly informed by his keen self-insight, primarily serves his own ideological system. In his role functioning, he is dis-identified with the technical aspects of his performance which, as a motionist, he can easily adapt to changing circumstances. He is helped in this by his metaformal insight that supports him in adopting multiple perspectives on situations, and in seeing himself as an element of the larger organizational process.

This concludes the vignette of executive S2.

Vignette S3

SITUATION

Purpose of coaching : Improving the ability to build strong organizational relationships (interpersonal roles)

Duration of coaching: 2 1/2 years

Present professional position and functioning (PPPF)

       S3 is a Senior Vice President in a large investment firm. He is part of an executive team of 5 with other group leaders, 3 others groups being headed by more senior personnel. S3 manages 6 portfolio managers and 2 assistants. His group started out 11 years ago, without any products or assets.

> It's a business I built from ground zero. ... W hat's
> important to the business is important to me.

       At the present time, the group offers a dozen different products and manages over 50 million dollars in assets. When the present group structure was created, senior management offered coaching to all group leaders, in order to improve their skill of people management. S3 sees the uniqueness of his group in the fact that they know their clients personally, which forces them to be interactive, and articulate about how their products actually work. S3 conceives of his position in terms of holding two different jobs:

> I have two jobs. One is to manage portfolio managers.
> And the other is to run a business. The reason it's
> separate is that once you get a portfolio, it is a
> special responsibility to manage it, to make sure
> the strategy is working, work to enhance the strategy,
> and make sure that the right people are on the right
> portfolios.

In some sense, the position is even more complex than this division would suggest:

> To do my work effectively, I need to keep my toes in
> four different waters: (1) research and product
> development, (2) portfolio management, (3) meeting
> with prospective clients and mantaining that relationship,
> and (4) maintaining the relationship with current clients.

> You have to do all four, I believe, in my business to be
> successful. And the trick is, maintaining the balance.
> There has been too much on the side of the latter
> two (clients). And all that comes along with (5) managing
> the business, which is probably a fifth spoke here. And
> it is the first two I want to spend more time on.

The present situation in which he does his work is just two years old. Before that time:

> there used to be what's called one institution which did

> both investment and sales & distribution. And that
> unit was broken up, and all the investment folks such
> as myself were put in the main investment company,
> and the distribution was retained. That gave me the
> opportunity to contribute more to the other investment
> folks, but it was a challenge, since while I knew them,
> I didn't have the intereaction that would have been
> helpful to make a better contribution.

The multiplicity of functions is not always comfortable for S3. He would prefer to devote the bulk of his effort

to investment and research, rather than the business side of his group. He is not totally comfortable "with all

that communication," whether with peers or current and prospective clients. His perception is that the

balance between the investment side (product development) and business side (selling and servicing the

product) is "out of wack." As a result, he has been forced to become less entrepreneurial and more

bureaucratic:

> As the business grows, you end up spending less time
> on the investment side, and more time on the
> business side.

This hinders S3 from exercising his full creativity:

> One thing we do to a great degree is that we use the
> in-house analysts in our process. And what I'd like to
> do is develop some systmatic techniques which may
> use information independent of the analysts. ...
> Coming up with something new, that's how I learn,
> that's what I find most interesting. Do something
> new in the investment field. There are limitless
> possibilities.

Given the above testimony, I would summarize S3's Professional Agenda as follows:

Mission:	To develop new and successful investment products
Role functioning:	Interpersonal functions subordinate to informational and decisional functions
Approach to tasks:	More entrepreneurial than business oriented
Goal setting:	Product- and fact-centered.
Performance:	Focused on team performance as a manifestation of his own performance
Self & role integration:	Identification of self with task expertises (e.g., investment research advances).

***

OUTCOME

Change Story

S3 does not articulate a particular conception of coaching. When asked about the telos of his coaching, he confirms that is has primarily focused on managing people (interpersonal functions), in particular those of his own group. In addition, the coaching has dealt with how to build stronger relationships with peers and superiors in the organization at large. W hile the coaching has stressed interpersonal functioning, S3 makes it clear that his foremost desire is to get away from devoting excessive amounts of time to communication, whether with clients or co-workers, and to devote himself more intensely to investment and research. In line with this somewhat equivocal take on coaching (as devoted to an issue that is not his primary interest), S3 states:

> For me, it's (i.e., the changes brought about by coaching) more a collection of tactical issues, as opposed to strategical, such as 'how do I run my group differently?' I see it more as a supplement and an enhancer, as opposed to a change strategy.

> I don't think there are any big changes, but I think my skills have been enhanced to some degree. Things like helping people plan their growth in their career; practicing more higher-level responsibilities, like delegating the management of somebody else; getting more experience dealing with folks with development issues, job success issues ...

However, he sees coaching for interpersonal goals as important, since improving his management skills might eventually free him from the burden of having to spend too

much time on it. W hen asked how in fact he has used coaching to achieve this, he states:

> That's a good question. I don't think I have really used it to a great degree. I just used my own skills for better or worse, to try to get that done. And with a number of different bosses, and different regimes of this distribution company, it's been a real challenge.

In short, S3's perception of coaching is compartmentalized, in that it is seen as effecting specific areas without much transfer to others. This technical notion of coaching as 'coaching for skills' is in harmony with S3's own conception of goal setting which, as stated above, is largely product- and fact-centered:

> (Initially,) coaching was a resource for reviewing what my process is for managing people, and to identify some new techniques that may help. And some of the things I would talk about were very concrete issues, such as a person I believed needed help, and what I was planning on doing, and how it was going. Another thing would be the formal review process (bonus process), and the materials I put together, to bounce that off [the coach]. Is this as articulate as I think it is, or are there ways to improve the communication?

When asked about changes that coaching has brought, S3 largely answers in terms of what the coach has been able to do for him, rather than how he himself has been changed by the process. He mentions three instances where the coach has been helpful:

> I think the biggest benefit has really been to (be)
> (able to) bounce things off as you would do if you
> had a number of peers. (I myself don't have a
> lot of peers, because nobody has this dual function
> that I have (of development investment products
> and running a business, O.L.).

Coaching has thus broken some of the isolation S3 is in due to a lack of peers with comparable job duties. The coach has also acted as a facilitator in spotting new opportunities for him to take advantage of in the organization:

> There was also a change of bosses, so I didn't have the
> consistent eyes and ears of a boss, and the coach was
> of help there.

Among these opportunities were:

> to contribute more to the other investment folks. But
> it was a challenge, since while I knew them, I didn't
> have the interaction that would have been helpful to
> make a better contribution.

In this regard:

> some of the help from the coach was giving me some
> feedback on what he saw as opportunities of just
> talking to people in general, as well as suggestions
> on how to get a higher profile of our contributions
> to the organization.

Finally, the coach has been helpful suggesting improvements in upward communication:

> The coach has prodded me to be more proactive, and
> communicate throughout the organization what we
> (i.e., S3's unit) are doing. I try to be a good listener,
> and if I see an opportunity to offer some advice, or
> do some analysis, try to be proactive in doing that,
> and share that with people, and then follow up to see
> if that was helpful.

However, doing so is felt to be a strain on his own personal resources:

> It's a challenge, because I have a lot of things on my
> plate, and doing additional things like that doesn't make
> my life easier.

In short, the notion is that having to engage in a lot of communication outside of the group is using up a lot of resources, taking S3 "off line:"

> But internally, you sort of think ... well, this is pretty
> obvious, guys, you know. And I should hopefully
> just be able only to explain this (to you) once, and
> things move from there. And with many things to
> do, that takes you off line.

Summary of Change Story

Coaching has been largely tactical and skill-focused. Although not used by him strategically, it has provided valuable feedback as a peer would provide. However, S3's self system has remained largely untouched by the coaching. For instance, the coaching has not essentially altered his notion of communication as a side issue that tends to be more resource-intensive than is affordable given the many things he has to do.

This concludes the content-focused rendition of both SITUATION and OUTCOME. Below, I proceed to the structural focus of the vignette, referring to it, as previously, as the CHANGE PROFILE.

Dialectical-Schemata   Change Profile, S3

The change profile of executive S3 is based on two kinds of interview data: first, the "professional-agenda" interview, and second, the "subject/object" interview. In this chapter, I merely present the outcome of the structural analysis of this data. The reader who is curious about the details of my analysis is referred to Appendices C3 and C7 (Table C7.3) for more details.

The results of the dialectical-schemata analysis of S3's professional-agenda interview are summarized in the table below.

Table III.5. Index Score and Cluster Scores for S3

Index Score	Total Motion	Total Form	Total Relations	Total Metaform	Schemata Absent	Type of Endorsement
10/72	7	2	0	1	19/24	Non-formalist; motionist
	#1,5-6	#10		#17		

As shown in Table III.5 , S3's dialectical-schemata change profile is characterized by a total index score of 10 out of 72. Relative to the group of subjects interviewed, this score puts him at a low stage of developmental thinking about change. The configuration of endorsed schemata comprises the following 5: #1, 5-6 (motion); #10 (form) and #17 (metaformal). Out of 24 schemata, 19 are absent. This finding makes him especially vulnerable to cognitive disequilibrium. According to the cluster scores for the four classes of

schemata, S3 is a non-formalist, more precisely a "motionist," who shares the group's predilection for motion schemata (=7).   His understanding of how to invent better products by integrating heretofore excluded elements is particularly strong (schema #1). However, the integration of motion with form and relationship in his profile, thus the formation of synthetic, metaformal schemata is not advanced. Especially deficient is his grasp of intrinsic relationships. This concretely manifests in the fact he struggles with grasping the links between domains of work, and between work and life. It is also visible in his "separate' style that lets him view communication largely as a waste of resources. The low number of instantiations of form and relationship directly accounts for the paucity of metaformal schemata in his profile. Collectively, these findings indicate that understanding the process of transformation in a developmental direction is difficult for S3, despite his incipient grasp of the resolution of disequilibrium (schema #17). (For more information about the conceptual focus of individual schemata, see Table IV.2 in chapter IV).

<div align="center">***</div>

Subject/Object Change Profile, S3

   The results of the constructive-developmental analysis of S3's subject/object interview are as follows:

$$\frac{4(3) \qquad 4}{1 \qquad 9 \qquad =10}$$

These findings are put in perspective in the table below:

<div align="center">Table III.6 Stage Scores of S3</div>

Develop-mental Range	Single Overall Stage Score	Clarity	Counter-Hypothesis #1 = 4(3)	Counter-Hypothesis #2 = 4(5)	Bits Beyond Stage 4 (Potential)
4(3)-4	4	c=9/10	power=1	power=0	p=0/10

   As shown in Table III.6, S3's ontic-developmental position falls into a narrow range, from 4(3) to 4, with a single overall stage score of 4.   Accordingly, the clarity of his stage score, as expressed by the SOS

power index, leaves little ambiguity as to his ontic-developmental status quo. While the weakness of counter-hypothesis #1 frees him from being at risk for regression to a lower stage (4(3)), the weakness of counter-hypothesis #2, taken together with the zero-count of bits beyond stage 4, entails that
 his potential for progressing to a higher stage score is weak. Consequently, S3's developmental status quo is characterized by an unambiguous self-authoring stance that is secure against temptations of "falling back" into less autonomous self positions (power index=9). By the same token, S3 is at high risk for developmental stasis (stuckness), remaining embedded in his self system, since strong internal supports for experiencing its limitations are presently unavailable.

While as a group leader S3 is engaged with a number of collaborators, his mode of functioning is primarily that of a person who solicits input from others only to refine ideas originating in himself. In contrast to S1, S3's highly self-confident and self-authoring stance is articulated by a 'separate' rather than 'relational' (collaborative) style. While the impact of organizational circumstances on this profile should not be underestimated (e.g., the fact that S3. according to his own perception, has "no peer"), the fact that he primarily relies on his own devices is not only a personal preference, but a consequence of his developmental status quo. Although the coaching has been instituted for the purpose of assisting S3 in building stronger relationships in the organization, he does not credit it with more than a 'tactical' impact on his functioning. In short, his developmental status quo makes it difficult for him to benefit from the coaching in the direction of developmental change.

STRUCTURAL SUMMARY

S3 is a Senior Vice President in a large investment firm, an organization he has worked in for 11 years. Recent organizational changes have shouldered him with a dual function, that of investment strategist and business man whose task lies in maintaining relationships with current clients and acquiring new clients. This assignment has brought about a procedural imbalance, in that S3 is often under stress to step "off-line," in order to attend to communication functions that do not come easy to him. While coaching has been productive in terms of providing a peer, thus "eyes and ears" tuned to his environment, S3 has not experienced decisive changes in self-image. Rather, the changes that have occurred through coaching have been of a tactical nature. His change profile shows him to be a non-formalist, more specifically a "motionist," on the one hand, and as holding a position of embeddedness in his own ideological system, on the other. As a motionist, he endorses the category of change over all other dialectical-schemata categories, but only minimally endorses aspects of change in a developmental

direction. (metaform=1).

Both in terms of his dialectical-schemata and subject/object profile, S3 is at present poorly equipped for advancing to a higher developmental status quo. He is hindered by the lack of tools for conceptualizing ties between notions of form and relationships that make a metaformal, "developmental"

understanding of affairs possible. This can be interpreted by saying that it is presently difficult for S3 to adopt new and multiple perspectives, especially on his organizational surround; to embrace negativity (adversity) as a developmental force; and to conceive of conflict resolution as a process in a direction of refinement and differentiation for the benefit of others than himself. He is also handicapped in attempts to coordinate different systems, and to view individual situations as moments of a larger, ongoing process.

S3's self-authoring stance is articulated with high confidence, as demonstrated by his dealings with both superiors and co-workers. While this frees him from risks of regression to a lower stage, it also hinders developmental growth. His stance is reinforced by a 'separate' rather than 'relational' style of interpersonal functioning. For these reasons, the experience of stability through change (form) and of intrinsic and constitutive relationships linking domains of work, and of work and life, is difficult for him.

The structural analysis presented above is in harmony with his professional agenda (derived from the PPPF). Given his mission, to develop products, he has chosen to privilege informational and decisional functions over interpersonal ones, linked with a kind of goal setting that is primarily fact- and product-centered. In harmony with his stage score of 4 (embeddedness in self-authoring), he is focused on team performance as a manifestation of his own professional identity. As a self, he is premised on, and identified with, the solution of technical tasks. Given his lack of endorsement of constitutive relationships, work and life remain essentially separate domains for him.

This concludes the vignette of executive S3.

Vignette S4

SITUATION

<u>Purpose of coaching:</u> Improving S4's functioning as a Managing Partner.

<u>Duration of coaching:</u> 1 year.

<u>Present professional position and functioning (PPPF)</u>

S4 is Managing Partner in a large recruitment firm. She has been with the company for 15 years, and is responsible for the Information Technology Division, supervising a staff of 9. The majority of her coworkers are consultants and recruiters, coming from different backgrounds. They typically have no systems background. S4 is responsible for their in-house training, for them to learn how to recruit technicial experts, but she also sends them outside for training. S4's position involves a three-way partnership: her company, the client, and the candidate looking for a position:

> Realistically, our allegiance should be totally to the
> client. But that's not the way the (company) culture
> is. W e are not 'head hunters.' We are consultants to
> both parties, a big difference.

Coaching began 1 year ago, at a time when S4 was ready to leave the company. While she liked the work, and the president wanted to retain her, she felt that there were overwhelming obstacles in regards to her functioning in the executive team, all male:

> Before the coaching began, I was ready to leave.
> I hated my job. I did not get along with the president.
> He wanted to keep me, but he was also very
> frustrated with me. Because I acted out, sometimes
> not totally inappropriately. But I was acting out in
> a way a Managing Partner shouldn't.

S4 volunteers to shoulder much of the blame for this situation:

> I became territorial about things that were not important.
> I was not looking at the big picture, the corporate
> picture. I was looking at things from my perspective,
> as to what is good for my, for my team, as opposed
> to what's good for the organization.

However, the difficulties were entirely two-sided:

> We had an awards ceremony. The president overlooked
> me. I wasn't called up for the award I had won. And
> I was absolutely devastated. My initial reaction was
> hurt, anger. It was 'I am out of here.'

Some of the conflictual issues are either created, or exacerbated, by the fact that S4 is the only woman member of the technical team. She interprets this in terms of being of a different personality type, in the sense of the Myers-Briggs Type Indicator derived from Jung's work, one of the major assessment tools for determining "preferences about the way we know, rather than competencies or capacities in our knowing" (Kegan, 1994, p. 201):

> The president of the company and all of the other
> managers on my team have a preference for
> introversion, they are ISTJ personalities (while I
> have a preference for ENFP). And at meetings, they
> would not listen to me, partly because I did not
> know how to play the men's game, (viz.) that you
> have to get in there and speak up, and not let
> somebody talk over you.

This gender difference used to play out in the following way:

> I was coming up with all these ideas. No one would
> listen, and someone else would say my idea, and the
> president would say 'that's a great idea.' And I said:
> 'I just said that!' ... I was presenting it as an intuitive
> feeler: 'here are all the great things we can do,' as
> opposed to (presenting ideas) sequentially, 'let's
> pick one that has a priority.'

S4 conceives of her role as a recruiter close to the ethical casuisitics of a practicing psychologist:

> I am interested when I meet a candidate, not just
> [in] where they want to be now, but where do they
> see themselves 3 to 5 years from now. I do a career
> audit with them (regarding their goals), asking is
> this job going to get you where you want to be, or
> should you rather stay in your company?

> My job is not to judge, but (to) listen, and (to) find
> out what they (clients) really want, not what they
> say they want initially.

> I am not afraid of confrontation at all, but it's how
> you do it. And there are certain people where I

> don't do it because I don't perceive that they are
> stable [enough], able to handle it.

She is quite aware of the power differential between herself and the candidates:

> People see me as a counselor. They see me in a
> position of power, of authority, as the expert. And
> like in your business [of being a psychologist], you
> have to be very careful not to abuse that.

This relational style vis à vis candidates notwithstanding, S4 is entrepreneurial, acting in terms of her own standards:

> I like autonomy, control. I like to hire whom I want

to hire, advertise when I want to advertise, pretty
much do my own thing.

I advise my clients when I think we [my firm]
are not the best resource for them. Or else, I request
that the client come up with at least a year's worth
of projects or more that you have the person [to be
hired] work on other than this first project you
[viz., the company] need[s] done.

Given the above testimony, I would summarize S4's Professional Agenda as follows:

Mission:	Negotiating a 3-way partnership, between her company, the client, and the [recruitment] candidate
Role functioning:	Primarily interpersonal, secondarily informational and decisional
Approach to tasks:	Relational, coordinating different systems
Goal setting:	Entrepreneurial, but interpersonally focused
Performance:	Counseling
Self & role integration:	Identification of self with the prevailing company culture.

**

OUTCOME

Change Story

S4's notion of coaching derives from her understanding of different personality types in the tradition

of the Myers-Briggs Type Indicator:

... I have realized that being an ENFJ, I need some of
the T (Thinking) and the S (Sensing) from my male
counterparts, to come up with really the best solution.

She "types" her coach as follows:

My coach has a preference for ENFP. So we could
relate at the same level, because that's how I think.

However, this does not entail that the coach needs to have the same type preference to be successful:

I don't think that it's necessarily paramount that the
coach have a similar personality type to the person
(coached), but (rather) that the coach can step outside
of whatever their personality is, and play the role of
the person the subject (executive) is having an issue
with, or be able to get the person they are working
with to see matters from another than their own
personality type, or their own perspective.

There are several important changes that S4 finds have taken place as a result of the coaching. The first

change is a new ability to step back from her own self system and take her effect on others into account:

> I used to get very defensive, saying 'get off my
> territory,' very confrontational when somebody
> micro-managed me. Through coaching, one of the
> behaviors I changed was to step back and not
> react immediately, but to go back and put together
> something: 'here are the reasons why I would like
> to hire another person at this juncture.' That is
> one major change, to try to put myself in his
> (viz., the other person's) shoes, (asking) if I were
> him, what questions would I be asking?

Another outcome of the coaching is that she has learned to ask for help, that she doesn't

have to do everything herself:

> I've learned that I can ask for help which has really
> strengthened my relatinship with the other male
> partners. They do have a lot of experience. They are
> older. And I always looked at it as 'me against them.'
> And now, if I have an issue that's occurring, I go get
> their opinion on this. And it has been amazing: now
> they come to me! Whereas before, I would have done
> it all alone, and hope for the best solution. ... And so,

> what I will do now is go to people that I know have
> different (MBTI) preferences than I do, different
> strengths. ... Relying on other people's strengths. I
> don't have to do it all (by myself).

A third change that has occurred regards her self-awareness:

> I listen more to what's not being said. Also, I have
> a presence, and I realize that that impacts my
> team. That my energy is what gets them going.
> So, I am much more sensitive to the nonverbal
> coaching (that I do myself), showing them that
> you can choose to be positive on the phone even
> when you are feeling lousy.

> Something I started to recognize when I started'
> coaching is that I was blaming everybody. Instead
> of taking responsibility for what I could change.
> So, I began to make a list of what I can take
> responsibility for, and looked at what I didn't
> (do) well. And I (also) began to take credit for
> things that I really did do well, which I had never
> (done) before. I never accepted that I was really
> good at a lof of things.

Fourthly, S4 thinks she has improved the balance of work and life:

> I have a workaholic personality. I love what I do.
> It's not a job for me, it's fun. I would work 7 days
> a week. But I also stopped working out. There are
> A lot of other personal issues that surface as a
> result of my concentrating just on work. Now, I
> exercise 6 times per week. I eat very, very
> healthy, I lost 20-30 pounds so far, and I ran in
> a road race. I have a much better balance, (and)
> am very involved with a local church now. So,

for me it's the unity (of physical and spiritual).
I feel like I am in balance, whereas (before) I was
off kelter. And that's, I think, because I had trouble
communicating, because I was burned out.

Summary of Change Story

Coaching has wrought changes both in her professional and personal life, as well as their
relationship to each other. Its influence is especially clear with regard to the fact that S4 has become less
defensive, has learned to ask for help, is more sensitive to non-verbal communication, and achieves a
better balance of life and work. In short, she is better able to step back from her own self-system and even
invite participation in its

transformation, by engaging others.

This concludes the content-focused rendition of both SITUATION and OUTCOME. Below, I
proceed to the structural focus of the vignette, referring to it, as previously, as the CHANGE PROFILE.

Dialectical-Schemata Change Profile, S4

The change profile of executive S4 is based on two kinds of interview data: first, the "Professional
agenda" interview, and second, the "Subject/object" interview. In this chapter, I merely present the outcome
of the structural analysis of these data. The reader who is curious about the details of my analysis is
referred to Appendices C4 and C7 (Table C7.4).

The results of the dialectical-schemata analysis of S4's professional-agenda interview are
summarized in the table below.

Table III.7. Index Score and Cluster Scores for S4

Index Score	Total Motion	Total Form	Total Relations	Total Metaform	Schemata Absent	Type of Endorse-ment
13/72	5	0	1	7	16/24	Non-
	#1, 6-7		#13	#16-17		formalist;
				20, 24		motionist

As shown in Table III.7, S4's dialectical-schemata change profile is characterized by a total index
score of 13 out of 72. Relative to the group of subjects interviewed, this score puts her at a medium stage of
developmental thinking about change. The configuration of endorsed schemata comprises the following 8:
#1, 6-7 (motion); #13 (relationship); and #16-17, 20 & 24 (metaformal). Out of 24 schemata, 16 are absent,
which makes her vulnerable to cognitive disequilibrium. According to the cluster scores for the four classes

of schemata, S4 is a non-formalist, more precisely a "motionist," who shares the group's predilection for motion schemata (=5).

S4's change profile is remarkable in that it instantiates the metaformal class of schemata relatively vigorously (=7), without evidence of an analytical grasp of either form (=0) or relationship (=1), and in the context of a mindset highly sensitive to

motion (=5). In the framework of her overall schemata configuration, this entails that she has a good intuitive grasp of metaformal thinking (which synthesizes motion, form and relationship categories for the purpose of grasping developmental change), but lacks the analytical and constructive tools to back up that intuitive grasp, by a commensurate understanding of form and relationship schemata. According to Basseches (1984, p. 151), metaformal schemata:

> presuppose the ability to undertand particular phenomena
> in the context of larger organizing forms, and to describe
> ways of relating these forms to each other.

These schemata (Basseches, 1984, p. 154):

> take forms of organizations (or systems) as their objects
> and they describe, organize, and evaluate those systems
> in the context of the movements and relationships in which
> the systems themselves participate,

thus placing "one in(to) a world populated by systems undergoing transformation" (Basseches, 1984, p. 182). Translated into S4's professional situation, this entails that a more highly form- and relationship-supported grasp of metaform would make it possible for her, to view the changes she is undergoing in a closer relationship to the systemic influences on her of her organization, instead of seeking their origin exclusively in her own personal domain. She would also gain a better grasp of the relationship in which her own partial systems, of life and work, stand to each other, and would be more adept at making herself the context of transformation not only for members of her unit, but of the organization at large. With a better understanding of form, she would be more aware of the historical continuity of her stance, while as it is she emphasizes the aspect of motion, or change in her life. Her intuitive metaformal understanding as it is is one of the resolution of disequilibrium (schema #17) and the coordination of systems (schema #20), accompanied by weaker endorsements of the value of developmental process (#18). Given her content-focused story, the fact that she endorses taking multiple perspectives (#24) is no surprise. However, this endorsement is more on the level of Myers-Briggs type preferences than of ontic-developmental capacity.

S4's more intuitive than analytic and constructive grasp of metaformal change makes her vulnerable to limitations of understanding how forms and systems preserve stability across change on account of the interactive and constitutive relationships of

their elements (meaning that relationship logically precedes the elements it relates). For this reason, S4 tends to resort to the category of motion (=5), to explain her experience of change, which eliminates the need to hold on to what remains unchanged as well as what changes. Given her weak relationship endorsements (which hinder her from understanding that she embodies an intrinsic relationship with the executive team), she also embraces motion just to stay in place. This concretely manifests in her struggle to know how she can maintain her identity in an all-male team by other means than by imposing on herself constant change (motion).

<center>***</center>

Subject/Object Change Profile, S4

   The results of the constructive-developmental analysis of S4's subject/object interview are as follows:

<center>

4   4(5)

_____

5   3   =8

</center>

These findings are put in perspective in the table below:

<center>Table III.8 Stage Scores of S4</center>

Developmental Range	Single Overall Stage Score	Clarity	Counter-Hypothesis #1 = 4(5)	Counter-Hypothesis #2 = 4(5)	Bits Beyond Stage 4 (Potential)
4-4(5)	4	c=5/8	power=3	power=0	p=3/8

   As shown in Table III.8, S4's ontic-developmental position falls into a narrow range from 4 to 4(5), with an unambiguous single overall stage score of 4. The only relevant counterhypothesis suggests a higher stage score which, is, however, not supported by a sufficiently powerful index (4(5)=3). For a further explanation of stage scores, see Table IV.1 in chapter IV or & Appendix B1). S4's developmental

status quo is characterized by a self-authoring stance that is secure against temptations of "falling back" into less autonomous self positions (4(3)=0). By the same token, S4 is at risk for embeddedness in her self

system , although there are strong indications that she has a good potential to transcend some of that embeddedness (4(5)=3). The newly emerging 5-ish structure is held in check, no doubt, by the absence of form and relationship endorsements in her dialectical-schemata profile. However, according to her change story, her present ability to hold a 4-ish position without being at risk for regression (to 4(3) or 4/3) is a considerable accomplishment that she tends to protect by protesting that she has good boundaries (see C4, subject/object interview, bit #2).

STRUCTURAL SUMMARY

S4 is a Managing Partner in a large recruitment firm, and responsible for the Information Technology Division. She manages 9 reports, whom she also trains and coaches. The coaching has made it possible for her to remain in the company in which has worked for 15 years. She is able to ask colleagues for help and has a good potential for being engaged in the transformation not only of her candidates, but her peers.

In terms of both her dialectical-schemata and subject/object change profile, S4 has a considerable potential for becoming able to engage in developmental change, not only of herself and the members of her division, but also of her peers throughout the organization. This potential is based on her--at present largely intuitive-- grasp of metaformal schemata (metaform=7), and her ability to transcend her own self system (4(5)) by engaging others in her transformation (including the coach). While her deficit in endorsing form and relationship schemata could be holding her back in realizing this potential, in light of her history (that shows her at 4/3 and 4(3) self positions), there is a promise that she can strengthen her ability for generativity. The fact that her 'relational' interpersonal style is not commensurate with (and accompanied by) a strong endorsement of relationship schemata, is indicative of the split between her ontic-developmental position (4) and her style. Nevertheless, she has a keen appreciation of taking multiple perspectives (schema #24), and is expert at aiding the resolution of conflict by embracing heretofore excluded elements (schema #1; see Appendix C7, Table C7.4)

This concludes the vignette of executive S4.

Vignette S5

SITUATION

Purpose of coaching: Assisting executive in redefining the mission of the unit recently taken over by him, and making a major transition in his life at the same time.

Duration of coaching: 6 months (limited to 7 months)

Present professional position and functioning (PPPF)

        S5 is Director of Multinational Banking at a major bank. He has taken over this unit only six months ago, when returning from an assignment as Regional Manager of European Operations. In his former capacity, he has overseen his bank's business on the European continent. S5 became interested in the U.S. unit of multinational banking not only on account of his overseas experience. Rather, his perception has been that the unit was not too highly regarded within the bank as a whole, and thus needed to be turned around.

> The unit was not viewed as very successful, as a place
> where people were not anxious to come and work here.
> It lacked energy, was almost behind the times in terms
> of where the company is trying to go. And I was
> interested in that, for one, it presented much more
> upsides trying to change those (views), and two, I
> thought I could do some good.

        At present, S5 is managing fifty people, and is working in close partnership with his international colleaqgues, attempting to bring this about. He describes his task as follows:

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

S5 explains that the "corporate bank" comprises about half of the total organization, and is composed of approximately a dozen comparable units. He further points out that coincident with his return to his bank's U.S. office, "some new types of companies" were moved into his division, for the purpose of having them integrated. As a consequence, S5 is also in charge of expanding the scope of what the unit is trying to cover, and the mission of the group. The unit he is directing:

> [has] a mission not only to sell loan products, but to
> do as much corporate banking as we can, for some
> of the largest companies in the U.S.
>
> Based on 150 companies, relationships we are

> responsible for, we have earning targets we are
> supposed to make, based on those relationships.
> How much revenues from those companies do we
> intend to generate every year? It could come from
> selling them loans, managing their foreign exchange,
> selling them investment banking products, all sorts
> of things.

He adds, with a human-resources touch:

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

Important background information on S5's present position and functioning regards the fact that before

being sent to Europe, he was essentially demoted. Before leaving, he was part of the "senior-most layer of

management in the company," comprising about 25 individuals:

> Due to management structural changes and political
> decisions that were made, I found myself not having
> a spot at that level any longer.
>
> I felt I had been demoted, which literally I was, and
> deprived of some opportunities to have a voice that
> I had had. So, now, you go away and deal with some
> of these issues from a distance. The European
> experience didn't always feel (like a promotion),
> day to day. But if you can step back from your day
> to day life, and deal a little more objectively with
> things--that's the objectivity I lost for some time--
> then you see the developmental line.

This demotion in the guise of a promotion has been a major psychological issue for S5 since his departure

from the U.S., and has continued to be an issue after his return 6 months ago. He describes his present

position as follows:

> The layer above mine in the management structure
> is the layer I used to be at. There were about six of us,
>
> and now there are 4 or 5. And then there are about
> 12 people like me reporting into those (4 or 5). And
> those 4 or 5 (people) form the leadership of roughly
> half of the company (i.e., the corporate bank).

He then sets the tone for both of the interviews to follow, describing simultaneously the telos of the

coaching:

> And I want to go back where I was before. To me, its
> important to have a voice and an influence beyond
> just (doing my work). I want to be part of what the
> company feels like, what it is. And you can't do that
> as effectively at this level (as at the higher echelon
> where I used to operate, O.L.). But really to have
> more of an impact, you need to be a little more senior
> (sotte voce, O.L.)

As a consequence of the startup situation S5 is in, he has been much involved in change:

> My entire focus, or virtually entire focus, for the last
> 90 days has had to do with change, both for this unit,
> and for me.

But the optimism of going forward is occasionally still tinged with regret:

> There are still incidences where some people (get)
> promoted to very senior title, and every single one
> of these people, except for two who are new in the
> company, were either former peers or subordinates.
> I didn't enjoy that. But, as much as I didn't enjoy it,
> I can't control it. It is what it is. The rest will play
> out or it won't. And six months ago, I would have
> been much angrier.

However, such regret and anger derives from a certain perspective:

> This doesn't mean I don't harbor resentments.
> I do have some. It's about putting work into
> perspective. W ork is so much of our identity.
> But at the core, it isn't (all). It's only a piece
> of life.

S5's relationship to work has been shaped by prior life history as much as by recent adversity. He tells a story of the death of a colleague in a former banking firm who was replaced and forgotten within a matter of days:

> On Monday, it was a tragedy. But by Wednesday, his
> entire account base had been reassigned, and the
> company went forward. So, any illusion we have
> that work should be the most important part of
> our life I have never believed in. I believe that
> work has to be integrated into the rest of your life.
> It's not something by itself.
>
> I have never viewed the long term in life as a
> given. You have to take life as it comes, and try
> to make the most of it. I really believe this. It's
> part of who I am.

This perspective on work as part of life has been a constant in S5's life. It is contributing to the re-emergence of his old, now tested, self:

> During the last years, I wasn't willing to take a strong
> stand on much. (But this has changed.)
>
> I think I have been able to demonstrate to people that
> I can produce results. But as well, I can do so in a way
> that enables me to embed some of the values I feel
> strongly about into that process. Which, in turn, lastly,

validates another belief I have, that we don't have to
all focus purely on tasks to the exclusion of other
aspects of life.

Given the above testimony, I would summarize S5's professional agenda as follows:

Mission:	Using the task of turning the unit he directs around as a means for turning himself around
Role functioning:	Transcending technical roles, whether they are interpersonal, informational, or decisional
Approach to tasks:	Value- and human-resource driven
Goal setting:	Process-centered, directed toward the renewal of his unit
Performance:	A way to test long-standing values he wants to re-assert
Self & role integration:	Dis-identification of self with technical tasks and roles.

***

OUTCOME

Change Story

Among the interviewees engaged in this study, S5 is unique in that most of his subject/object interview is centered around what coaching has done for him. His notion of coaching is best characterized as "developmental," in the (ontic) sense of self development, rather than the (agentic) sense of career or professional development. The way he most starkly puts it is that after a period of demotion and transfer abroad, coaching has helped him "to get my old self back:"

> (Before my demotion,) I was not particularly happy
> with the way the process [of corporate restructuring]
> unfolded. So now, you go away and deal with some of
> these issues from a distance, and to some degree it's
> easier to deal, or to not deal, with these issues from a
> distance. But in coming back here, a lot of these things
> came back, and frankly, in my own mind, I had some
> choices to make as to where to take my life, personally
> and professionally, whether I would stay here, and
> what real opportunities I had. And the coaching process
> has helped me to get some of those issues sorted back
> out. Only lately am I beginning, in part because of the
> coaching, in part because of the circumstances, to get
> my old self back.

The insight that coaching could be used for this purpose has come to S5 only gradually. Initially, he dismissed coaching as something he did not need, then began to see it as a timely opportunity:

> I first pretty much dismissed the reason (viz., that

I am making a major transition in my life, O.L.), and
thought: 'I don't need it.' Not that I can't use coaching.
I didn't in my own mind tie it necessarily to this
transition. In retrospect, I think that was a very
perceptive anticipation (on the side of management, O.L.).

He had only a vague notion of what coaching might do for him:

I had a pretty, either vague or open-minded, (view)
of what this (coaching) was going to do. The goals
probably got clearer once we got into the process.

The criteria S5 has used to select a coach are not very different from those one might use when selecting a counselor or psychotherapist. The first criterion was that the coach be unknown in the company. S5 saw that circumstance as a "net positive, because she brought no bias in terms of other people she had seen, either of the company or other individuals." A second criterion was that the coach's values be "fairly consistent with some of the issues that I care about in my own life;" and the third, more marginal one, that the coach be conversant with European culture.

S5's change story is focused around "getting his old self back." This goal appears in several different forms, the first being that of affirming values he has believed in for some time in his life:

Coaching has reconfirmed my commitment to
myself to be consistent, and not just give in
to whatever the temporary corporate culture
may be.

Taking a process-oriented view of what had happened to him, S5 seized the opportunity of making the best of his demotion and transfer. Affirming the embeddedness of work in life, he states:

One of the many things I learned, not just from the
coaching, but from reflections and discussions with
my spouse and others, is that I couldn't have replicated
the experience I had over there through anything
staying here. If you believe in continuous learning
as being one of the key objectives, and if you believe
that change is usually good, not bad, it was an
incomparable experience.

S5 understands that adversity (negativity) is one of the motors of self development:

The European experience didn't always feel like
a promotion, day to day. But if you can step back
from your day to day life, and deal a little more
objectively with things,--that's the objectivity
I lost for some time--then you see the
developmental line.

Concretely, the change wrought by coaching has been that his obsession over the demotion has ceased to overwhelm him:

> In my own mind, I am not obsessed about this
> demotion (as I used to be, O.L.). There were
> aspects of this that really gnawed away at me,
> and they don't do that any more. I am much more
> open to 'what's going to happen is going happen.'

> I either clearly demonstrate what I am capable of
> doing, and be able to put that to use here, or I'll
> do it somewhere else.

Along the same lines, the coaching has made him more confident:

> In coming back, I was more uncertain about being
> able to separate my view of my capabilities from
> other's (view.) And so, there is a degree of self-
> confidence involved in that. If you believe in yourself
> without being arrogant or cocky about it, you are, I
> believe, open to lots more possibilities than if you
> try to gauge your own value based on everybody's
> feedback. Because the feedback could be right or
> wrong. So, in your core, you have to believe in
> yourself.

S5 speaks of "getting his old self back" (which really is a new self) because he thinks that adversity

weakened in him a long-held self-confidence:

> And again, that [I believe in myself] has been true
> for me for the 30 years I have been working, since
> college. And for a couple of years, I lost that. And
> in coming back (to the U.S.), I was dealing with some
> of those feelings. Four or five months later I feel
> better about it. And I will say as well that the last
> six to eight months of my European experience
> helped as well.

Returning to the notion that coaching has reconfirmed his commitment to himself in terms of his leadership

ambitions, despite what the momentary corporate culture might dictate, S5 states:

> Coaching has been catalytic on a couple of other fronts.
> It has gotten me to become re-interested in leadership,
> improving my leadership capabilities. W hen you feel
> like nobody really cares about that, and in fact you feel
> beaten up yourself, and the personality of the company
> over the last few years has drifted in a way that is
> somewhat counter to these values (of leadership that
> I hold, O.L.)--the company is far more task-oriented,
> less balanced, where performance becomes almost a
> mercenary kind of thing--(then it is hard to sustain
> these values. But (O.L.)) I have believed in those
> leadership values for a long time, although for a
> couple of years, that position wasn't getting you
> anywhere, and I almost gave up.

> One of the things that I have done in the coaching
> experience is to do more reading, not just of books
> on leadership, but to rethink and relearn some

> different aspects of what leadership means to me
> anyway, and then try to re-implement them.

In short, coaching has given him the support he needed to assess company culture in light of values he has

held for a long time, and then to decide to re-implement them in his unit, regardless of whether they were

presently accepted or shared by others. This exercise in critical thinking has also taught him how to deal

with 360-degree feedback:

> In the coaching process, we did three layers of
> 360-degree feedback (with seniors, peers, and
> subordinates, O.L.). It's all about choices again. You
> can choose to adapt [or not]. People have impressions,
> and you can influence those impressions in a variety
> of ways. You can convey a different persona, if you
> so choose. And if there is feedback in there that you

> fundamentally don't agree with, because you believe
> it's contrary to what you want to be yourself], you
> also can choose to ignore it. If we did this (feedback
> process) today, I would be less defensive. What I
> have described to you (in the interview, O.L.) all has
> to do with become less defensive, becoming more
> comfortable (in) being myself.

Summary of Change Story

Coaching has assisted S5 in filtering feedback through a system of values he is invested in, and

make decisions as to how to adapt to the feedback accordingly. In this process, a crucial insight has been

that everyone is co-constructing the "impressions" others have of oneself, and that therefore everyone has

choices to make as to how seriously to take them, and how to project him- or herself into the environment

accordingly. This correlative and interactive view of organizational feedback also sets a limit as to how

accurate others' "impressions" can be. It applies a critical distance to what is presented as feedback from

people who have their own cross to bear. To be "less defensive" thus entails having better scrutinized

values of one's own, and knowing the psychological entailments of feedback coming from others, whether

they are peers, seniors, or subordinates.

As demonstrated above, S5's change story is imbued with values regarding leadership. Its

substance derives from the experience of adversity, processed with loved

ones over many years, and recently with a coach. The changes that have been wrought by the coaching

are inseparable from those that have occurred in S5's adult development for some time: his "executive

development" IS adult development. Coaching has not so much introduced something new as it has

confirmed values S5 has held for many years, which adversity (and some corresponding vulnerability of his)

have been able to weaken for some time. To the extent that an executive's change story is a story about

what an executive's present ontic-developmental status quo permit him or her to use coaching for, S5 has

made coaching work for him in the same way that he has made adversity work for him, i.e., refining and solidifying the values he believes in.

        This concludes the concent-focused rendition of both SITUATION and OUTCOME. Below, I proceed to the structural focus of the vignette, referring to it, as previously, as the CHANGE PROFILE.

<p style="text-align:center">***</p>

Dialectical-Schemata Change Profile, S5

        The change profile of executive S5 is based on two kinds of interview data: first, the professional-agenda interview, and second, the subject/object interview. In this chapter, I merely present the outcome of the structural analysis of this data. The reader who is curious about the details of my analysis is referred to Appendices C5 and C7 (Table C7.5).

        The results of the dialectical-schemata analysis of S5's professional-agenda interview are summarized in the table below.

<p style="text-align:center">Table III.9. Index Score and Cluster Scores for S5</p>

Index Score	Total Motion	Total Form	Total Relations	Total Metaform	Schemata Absent	Type of Endorse-ment
18/72	0	0	6 #12,15	12 #16,18, 19, 20, 21, 24	16/24	Non-formalist; meta-formalist

        As shown in Table III.9, S5's dialectical-schemata profile is characterized by a total index score of 18 out of 72. Relative to the group of subjects interviewed, this score puts him at an advanced stage of developmental thinking about change, particularly since his score predominantly derives from endorsing metaformal schemata (which synthesize motion, form, and relationship). The configuration of endorsed schemata comprises the following: #12 & 15 (relationship), and #16, 18-20, 21 & 24 (metaformal). Out of 24 schemata, 16 are absent, which makes him vulnerable to cognitive disequilibrium in a way he himself is acknowledging in the interview (viz., a lack of emphasis on an analytical perspective). Given his endorsement of relationship (=6) and metaformal schemata (=12), S5 fits none of the three types of thinking based on partially coordinated DS schemata (formalist, non-formalist, relativist) singled out by Basseches (1984) particularly well. S5 lacks the formalist's capability of conceptualizing forms and systems, as well as the relativist's emphasis on form and motion in the absence of an ability to link forms to each

other. Nor can he be said to lack conceptualization tools for the developmental aspects of processes, as holds for the nonformalist (Basseches, 1984, p. 204). As a result, he is a "non-formalist" only in the extreme sense of not endorsing form schemata (which is not what Basseches has in mind using the term.) His is an "intuitive" grasp of metaformal schemata without an equally strong analytical grasp of either motion or form, something he himself refers to as 'expressive' versus 'analytical.' S5's understanding of metaformal motion (i.e., development) has in the past made him vulnerable to limitations in understanding how concretely motion occurs, and how forms (such as his self system, O.L.) preserve stability through change on account of the interactive and constitutive relationships of their elements. Concretely, this means that his thinking about process has remained somewhat "abstract," despite a good grasp of the nature and desirability of metaformal outcomes.

In terms of strengths, S5's dialectical-schemata configuration provides ample evidence of his deep understanding of the limits of separation and the constitutive nature of relationships (schemata #12, 15; see C7, Table C7.5). Concretely, this manifests in his consistent attempt to reach out to peers and superiors, and in his awareness of the impact of the organizational environment on his own behavior and articulation of values. S5 shows an even more impressive understanding in the metaformal domain, where transformative changes in a developmental direction are topical. Due to his embracing of negativity (adversity) as a motor of development (schema #16), and a strong axiological position regarding the value of developmental processes (schema #18), S5 easily grasps the nature of open, self-transforming systems like himself and the

corporate culture he is part of (schema #21). His grasp of relationships and of development is reflected in his Professional Agenda, in the following way. Disidentified with his technical expertise and ideological self-system, he has accepted the challenge of turning around the unit he directs as a means for, or medium of, turning himself around and asserting long-held values. In addition, his approach to tasks is value- and human-resource driven, and his goal setting is process-centered, and directed toward renewal.

Subject/Object Change Profile, S5

The change profile of executive S5 is based on two kinds of interview data: first, the professional agenda interview, and second, the subject/object interview. In this chapter, I merely present the outcome of the structural analysis of these data. The reader who is curious about the details of my analysis is referred to Appendix C5.

The results of the constructive-developmental analysis of S1's O/S-interview are as follows:

4(3)	4	4(5)	4/5	5/4	
1	2	4	0	3	=10

These findings are put in perspective in the table below.

Table III.10 Stage Scores of S5

Develop-mental Range	Single Overall Stage Score	Clarity	Counter-Hypothesis #1 = 4	Counter-Hypothesis #2 = 5/4	Bits Beyond Stage 4 (Potential)
4(3) - 5/4	4(5)	c=4/10	power=2	power=3	p=7/10

As shown in Table III.10 , S5's ontic-developmental position falls into a broad range from 4(3) to 5/4, with a single overall stage score of 4(5), and a gap between that score and a stage position of 5/4. As indicated by the gap, S5 expresses higher developmental strivings than he can presently realize. As indicated by the 5/4 (=3)

position (see Table IV.2, chapter IV, for details), his attempt to make himself the context of the transformation of others is voiced without an accompanying jitter about how he might fare in such transformations himself (4/5=0). Rather than interpreting the gap as evidence of untruthfulness, or worse, "grandstanding," or beginning to doubt the solidity of his stage-4(5) score, I prefer to view the gap as an indication of vulnerability with which S5 carries a strong potential of 5-ish developmental flexibility, substantiated by his dialectical-schemata endorsements. For this reason, I find the first counterhypothesis (SOS=4) as unconvincing as the second (single overall score=5/4), nor do I think that the 4(5) - 5/4 gap could be erased by "demoting" the scoring of 5/4 bits to a 4/5 scoring. In short, I find the discrepancy between his single overall score and the highest reaches of his developmental potential more revealing than I find a lower stage score. As a result, my interpretation is that S5's developmental status quo is characterized by an incipient disembedding from a strictly self-authoring stance that is secure against temptations of "falling back" into less autonomous self positions (power index = 4/10). By the same token, S5 is not at a point in his development where concerns about risks to his own self system are no longer in effect (as the 5/4 score would suggest). However, given that in 7 out of 10 interview segments he scores beyond stage 4, he has a good potential for transcending stage-4 jitters about self-identity across change. As a result, S5 is the only executive in the interviewed group who manages to be an organizational "outsider" in terms of his values without thereby losing his internal credibility. (For a contrast to this, see

Vignette S6). This must be so since S5 is able to sustain his engagement in the process of transforming others without conveying an exaggerated regard for safeguarding his own self system.

In this context, it is characteristic of him that he chooses "a positive impact on the group around" him over emphasizing frustrating issues in a relatively contained environment (subject/object interview, bit #3, Appendix C5). In bit #4, he emphasizes wanting to create "an environment where we can discuss it [the new value-based strategy he is following for the sake of renewing the unit], and get people to internalize it.' In bit #5, he delights in the balance that is created between those who want to stress technical tasks, and those who are more value-driven or community-oriented. None of these bits shows a conflict as signaled by 4/5, in which transcendence of the self system is ultimately enacted for benefitting the functioning of the system. The same can be said regarding bits #8 & 10. Bit #8 deals with how to inspire people by being 'expressive,' rather than fact- or number-bound, 'analytical.' Bit #10 leaves little doubt in a scorer's mind as to S5's engagement with making himself the context of

other's transformation as a teacher, even reaching beyond his own unit. Only bit #9 can be interpreted as articulating a regressive stance, although even in this instance one might argue that seeing work as "a (only a) piece of life" does not generate much fuel for using anger to protect one's self system.

STRUCTURAL SUMMARY

S5 is director of Multinational Banking. Demoted and transferred abroad under the guise of a promotion, he has returned to the bank's home office, to assume responsibility for turning around a unit that presently does not have the best in-house reputation. As he makes a transition into a new phase of his life as an executive, this responsibility becomes the vehicle for the recovery of his 'old self,' which is, however, rather a new self.

In his change profile, S5 does not fit any of the three schemata endorsement types of a partial realization of transformational thought singled out by Basseches (1984; viz., formalist, nonformalist, relativist). One might call him a 'metaformalist," meaning a thinker who has a strong grasp of transformation as movement from form to form, without a commensurate grasp of the analytical, motional and formal, elements of transformations. As a metaformalist, S5 is somewhat of an existentialist. He excels at acknowledging the developmental inevitabillity of adversity (negativity; schema #16), the value that attaches to developmental processes (and not only his own; schema #18), and the description of open, self-transforming systems (as modeled by himself; schema #21). This metaformal sophistication is undergirded in his profile by a clear awareness of the constitutive nature of relationships (schemata #12, 15), e.g., between him and other stakeholders in the organization, and/or between different aspects of his "multiple" personality.

In short, S5 has an intuitive grasp of the dialectics of human development, grounded in his experience of, and ability to conceptualize, adversity, as well his penchant to see work as an element of the

larger life context. As shown by the endorsement of relationship and metaform schemata, the change he endorses is intrinsically metaformal change grounded in relationships, either between elements of a form or forms themselves (existence: life and work; personality: old and new self; work: technical and value-based goals, etc.). What, according to his own insight, he has been lacking, is a more 'analytical' than 'expressive' way of conceptualizaing and conveying ongoing transformations, both inside and outside of himself. For example, he has been struggling with how to avoid the emasculation of his strong axiological stand by the

demotion and transfer bestowed on him by his organization, and has searched for ways to safeguard his identity across organizational changes. As to the gap between his present developmental status quo (4(5), on one hand, and his highest developmental reaches (5/4), on the other, there seems to exist in him a vulnerability for regression to a lower stage under conditions of pressure or hardship. This vulnerability is not primarily an intellectual or emotional one, but must have to do with limitations of his cognitive-developmental flexibility as indicated by his dialectical-schemata configuration ([0,0,6,12]).

As expected, it is this vulnerability of what he considers his "old self" that has been a topic of his coaching. The coaching has focused on filtering feedback through his value system of leadership without undue reference to (co-constructed) critical voices. As a consequence, he has made progress in asserting his self-authoring stance without regressing to orthodox invincibility of his self system, or to a position of total immersion in product-centered or technical tasks (stage 4). By contrast, he has increasingly adopted the organizational role of teacher and mentor in working with the members of his unit.

This concludes the vignette of executive S5.

Vignette S6

SITUATION

Purpose of coaching : Improving S6's internal functioning, in contrast to his external publicity work

Duration of coaching: 9 months, and ongoing.

Present professional position and functioning (PPPF)

S6 is Executive Vice President at a large Midwestern human-resource services firm maintaining a national network of offices. He reports directly to the Chairman and CEO, and is Executive Director of Planning and Community Affairs. In this role, he attends to the maintenance and improvement of his organizaton's image in the national human-resource services community. His portfolio of responsibilities is broad, comprising not only analytical economic studies, marketing and consumer relations, but also the division "Media" including relations with the press. The portfolio further includes all internal and external written communications (such as annual reports, employee newsletters, etc.), and the corporation's conference sponsorships and research activities. He is also responsible for his organization's very substantial local philanthropy. Given this seemingly disparate array of functions without "substantial line authority to make decisions per se," one of most important capabilities S6 needs is the exercise of "sound" judgment:

> I am entrusted with confidence to exercise judgment
> about where we should and shouldn't play a role,
> what role that should be, what risks are prudent to
> take, where we should take a stand--there is a great
> deal of judgment and subtlety involved in that
> delegation. And it's not an unambiguous delegation
> of that authority. Unlike somebody who might run a
> business and is governed by a bottom line, there are
> many stakeholders and points of accountability in
> the world that I dwell in. It's [a function] highly
> dependent upon trust, confidence, and it's not a
> job that you earn every day. It's a tricky place to
> be. I usually ask for forgiveness rather than
> permission.

As much as judgment is required of him, he is a constant target of judgment from within

the organization he represents. The latter type of judgment pertains more to his internal than to his external

functioning:

> People have an extremely high regard for the output
> of my job. That may be too sweeping. But my boss,
> most of my subordinates, and many of my peers would
> say: the firm enjoys a very favorable public image,
> and [S6] does a very nice job of representing the
> company on the outside. That he keeps us out of a lot
> of trouble, that his people are extremely highly
> motivated, and that he's a great value adder to the

equation. And it's hard sometimes to dissociate me
from my portfoliio and the people that work for me,
and I would say that on balance people say: 'We do
a great job.' People are less pleased with HOW I do
that job, and HOW I relate to them.

While in his external functioning, S6 is an imagemaker, and as such not quite fathomable for most of his co-
workers and peers, internally he is like everybody else:

I am an image maker, (the representative of a culture).
But [I am] also attempting to change that culture, and
change the perception of that culture. So, it's tricky,
very tricky. You are a change agent, and you have an
implicit strategy. So you have to be credible externally
in conveying that image, but it has to resonate enough
internally to have integrity. It's premised on the notion
that it [the image] represents an institution that is more
of what it aspires to be than what it is. I am at the edge.

It is therefore easy for S6 to feel exposed. One reason for that feeling is that others find it hard to figure out
how he does what he does:

Not that people question WHAT I have done, but they
do question WHY I do it. So, that's a little bit in
between interpersonal and substance, because it
injects an element of trust or suspicion. A lot of what
I do no one can figure out how I do it, and they don't
have parallel paths, they don't have parallel
experiences, they don't have parallel aspirations, so,
it's a bit mysterious. And some people trivialize it
and say: 'any idiot can do that.' Others think I am
Houdini. But many people wonder why (I do what
I do, O.L.), what makes me tick: am I loyal, am I
personally ambitious? That is, they try to figure me
out, and some with a degree of bias or antipathy,
which I may have contributed to.

Being seen differently in his external and his internal functioning has made an impact on how he perceives
himself:

The two aspects of my function (the inside and the
outside one, O.L.) are not totally divorced (from each
other). I am more patient as a person and in my role
external to the inside of the company. So, externally,
I am more patient, I am less impulsive, I am probably
somewhat more conscious of avoiding sarcasm, (and of)
my effect on others.

As a result of the complex situation in which he functions, there exists a number of disequilibria. One of
them is the disequilibrium between the results of his activity, especially in the external world, and the way his
process of achieving those results is viewed internally. There is also disequilibrium between internal
perceptions of him as a person and perceptions of the unit he is leading. In himself, furthermore, there

exists a disequilibrium between his internal and external functioning, which extends to his entire personal realm:

> An impatient, somewhat creative, gregarious, non-conforming guy is not necessarily going to be very good at internal management. That is not the essence, it's a foundation of the job. The essence, as I view the job, is the other stuff (what I do externally, O.L.). But given that I am evaluated by people who live in this building on this floor everyday, even they are prepared to acknowledge that the stuff on the outside is good for the company, they see me on the inside, and that's were they want improvement. So, I have to live with that discrepancy.

Recently, the mentioned disequilibria have been exacerbated by vocal critics of his internal functioning, which ultimately has given rise to embracing coaching:

> I was roundly criticized both by my boss and some of the colleagues (anonymously obviously by them) for certain behaviors that they and he found unacceptable. So I had to change. And I did not have to have a coach. But I was reaching out, because I needed to change, and I wanted to change, and I wanted help in change. (I mean behaviors such as) impatience, a less than predictable management style, and a not very uniform sense of collegiality among my peers. There is a good deal of dissonance around my presence which is exacerbated by my visibility. There are very legitimate observations about things that need to change if I am going to be effective in this organization.

As a way of counteracting much of the criticism that has been leveled against S6, he has recently undertaken a thorough restructuring of the team reporting to him. With the aid of an outside consultant, he has created a new, wider group of reports, twice as large as the old one, to accommodate "people who felt they hadn't a place at the table, so to speak, and weren't decision makers:"

> It was a very unusual move not only for me but virtually all the participants. It was threatening to many. But at the end of the day for all of us, I think, certainly for me, in terms of the clarity of what we are trying to achieve, the discipline with which we arrived at our plan and accountabilities that are built in to its delivery [there was an improvement] We have always had goals and objectives, but never a formal business planning process. And this was as good and as rigorous as you have in a for-profit business. And if you are in a staff function, it's very hard to quantify results. So this was a big, transformative improvement.

Given the above testimony, I would summarize S6's professional agenda as follows:

Mission: To equilibrate his internal and his

	external functioning in the organization, thereby answering to internal criticism.
Role functioning:	Externally, symbolic functions of an image maker; internally, more informational than interpersonal and decisional roles.
Approach to tasks:	Externally, following what is 'second nature' to him; internally, increasingly cautious of alienating support.
Goal setting:	Based on judgment and intuition; not easily made transparent to inside observers.
Performance:	"Somewhat creative, gregarious, non-conforming, ... irreverent."
Self & role integration:	Externally, attempting to transcend technical roles; internally, attempting to emphasize technical roles. Living with discrepancy.

***

OUTCOME

Change Story

As can be inferred from the above, S6 has embraced coaching as an aid in normalizing the discrepancies existing in his inner and outer environment. These discrepancies define the telos and substance of his coaching:

> A guy like me has nowhere to go in this company.
> The question is whether I stay, whether I survive.
> I can't become President of the company. They are
> not going to hire me for anything else. Part of the
> dilemma is: can I stay, am I bored, can we (i.e., the
> coach and I) find this equilibrium between the
> internal, the external, my own personal develop-
> mental needs, my midlife crisis, whatever is going
> on in my life? And my situation is a little more
> complicated than the next guys, in part because
> improving this performance does not necessarily
> lead to a promotion. I have nowhere to go except
> [to change] and feel better, more solid, about myself.

The last remark is arresting. It signals that when no professional development goal blocks an executive's perspective, he or she becomes aware of the broader, adult-developmental dimension of coaching. This awareness in itself points to a higher ontic-developmental position than embeddedness in one's professional agenda (thus restriction to one's professional development) would allow for.

In a sweeping statement, S6 ties all of the changes wrought by coaching to the advance he has made in being increasingly focused upon what is important to him:

> This whole process of executive coaching, refining
> my professional behaviors, examining my
> professional and personal challenges, coinciding
> with a very open and honest conversation with my
> coach about my future, --not really career planning,
> but should I stay [in the organization]; what else might
> I think about; coinciding with my turning fifty, a
> couple of my kids having difficulty, you know, the stuff
> of life, and getting a healthier perspective on a bunch
> of things has led me, not to a conclusion or any
> triumphant resolution, but I think I am increasingly
> focusing on what is important to ME, as opposed to
> what is important to others about me, or about my
> emotions (which quite frequently have been angry,
> or sad, or conflicted, or moved, touched, certainly
> anxious), I have become during this process much more
>
> reconciled and comfortable with ultimately a value
> proposition that is much more comfortable in this
> cacophony, in thinking about what is important to ME.

Here, change is seen as adult-developmental, leading to the ability of increasingly acting on account of what is relevant to his self system. This (in subject/object terms) 4-ish sounding proposition is called a "value proposition" by S6, something of guiding value. It is thought to help cut down on the "cacophony" of feelings that typically accompany his organizational functioning. S6 opens up the developmental window to a comprehensive view of his personal, family, and professional life, of which work is just a piece:

> What is important to me is my family and those I
> love, and probably the second most important thing
> to me is that I feel as though there is some value I am
> providing or creating in my professional and non-family
> context. And I even have a little fun, and I enjoy being
> with people, and in activities where I enjoy myself, where
> people enjoy me, and not get so riled by things which
> fall outside that domain, where I might otherwise
> become sad or anxious, or any of the other. So, it's not
> so much that I am just playing to my strength, but I
> have become much more comfortable with thinking
> about, and focusing in on, what's important to me. And
> there is a lot of noise around coaching and performance
> and evaluation in an institutional setting at a level where
> I find myself. And a lot of that noise is irrelevant to
> what's important to me, and some of it is very painful,
> but it is relevant to me (in my professional standing,
> O.L.), and I am working on it, but at the end of the day,
> and I am working hard to achieve at least a threshhold
> level of of acceptability on those indicators (defined by
> the environment, O.L.) but at the end of the day those
> aren't What is most important to me is my family and
> those important to me, except to the degree that I
> neutralize the extent to which they are negative.

Here, S6 sees his professional goals as focused on providing added value. He subordinates these goals to developmental ones regarding his broader human and family functioning (generativity). In harmony with that valuation, S6 treats negative feedback regarding his work in the organization as part of the noise that he

needs to cut down on, along with the cacophony of feelings he typically experiences. Sorting out relevant and irrelevant noise is a primary task for him. Critical feedback is relevant only as a reminder that it should be reduced to tolerable proportions. By contrast, primary relevance is accorded to failure at home. The overall emphasis is on developmental integration that will

achieve a reconciliation of heretofore conflicting demands he has imposed on himself:

> So, the ME in this equation of what is important to me
> as I am trying to reconcile more closely the professional
> and the personal, and the family. It's curious, in many
> respects I have been more successful at work than I
> have been at home, but my home is more important to
> me. As the kids get older and have developed some
> pretty significant issues, I feel as though that's at least
> one fairly profound and very painful manifestation of
> failure, and it's a lot more important to me than any
> corrolary success I may have achieved (at work). And
> increasingly, I take responsibility for that (failure).

Given that coaching is used by S6 to advance self-reconciliation, the changes he reports are focused on his own mental state more than on his skills, career goals, or professional agenda. Feeling that the organizational environment signaled to him that he "had to change," he has used coaching as a safe haven to ask some very pertinent but risky questions about his future:

> whether I should remain at all; whether this is an
> environment conducive to a person with both my
> talents and liabilities: is this an intelligent and healthy
> place [for me] to stay for another period of time?

His coaching has been focused on interpersonal rather than on informational or decisional roles. As a result, S6 is "substantially more patient, especially with subordinates, and a more disciplined and predictable manager." Above all, his self- and other-awareness has been raised:

> I am a better listener, and more cognizant of the degree
> to which my body-English, my impatience, my criticism
> can demoralize and even inject an element of fear into
> someone's professional and personal demeanor. I have
> been more self-aware of my behaviors.

This is more noticeable in how he communicates downwards than upwards:

> I am probably as irreverent going up the foodchain as
> I've always been, but I am much more aware of how
> intimidating I can be.

In keeping with his use of coaching as a safe haven for increasing self-reconciliation, and the ensuing secondary role of assuaging critical feedback at work, S6 states:

> So, I have just applied myself and learned some tricks,

and focused in on the things which I like doing the
least, and am least gifted at. I haven't become excellent
at them, and I don't spend all my time at them, but there
has been a substantial amount of improvement. I do not
know whether this will be validated in my management
assessment [from subordinates], but I feel as though surely
I have been working harder at it.

He is aware of a more dramatic change inside the organization than outside. The change in management

style he has undertaken is most visible in the revamping of the reporting structure he has engineered:

I have for the first time a very structured and disciplined
business planning cycle. ... First, I restructured my direct
reports. ... I created a new group (of reports), more than
twice as large, and encouraged (people so far excluded) to
be indeed decision makers within my department.

To arrive at this restructuring has been painful for everybody involved:

It was a very unusual move, not only for me but virtually
all the participants. It was threatening to many. But at
the end of the day for all of us, (and) I think certainly for
me, (there was an improvement) in the clarity of what we
are trying to achieve.

This has given rise to a change in how S6 is perceived by the organization internally:

(S6) is not distracted; he is not off to the White House; he is
staying with it; he is responsive, and he is not blowing up,
and he is not getting petulant or angry. So, there is slightly
less convenient an excuse that I am the reason that we are
not functioning as well as we should.

The pressure to change S6 has been under is noticeable here. It is a change he still largely views as

imposed and "unnatural," not only for himself. He doubts that the restructuring of the reporting body would

have been contemplated without his engagement in coaching:

I don't know the direct causality. But we were not
going to do this before I entered coaching. I hired a
Chief of Staff which I have never done (before). I found
a consultant for structuring the off-site meetings, and
the coach has literally coached me in this group (of
coworkers), attending group meetings, to see me in action.

However, the most important changes wrought by coaching are to be found in increased personal ease, and

are a result of "reconciling these different worlds and expectations, and simply the process of being able to

engage in that conversation." Making an overall assessment of coaching, S6 states:

I don't know whether it's a synthesizing mechanism,
but it's a very comfortable and honest opportunity to
talk about things I can't talk to anybody else about. So,

I call my coach my rabbi. Just being able to articulate

some of this is helpful, because (although) it's a big
company, it's not a conversation you could have with
even one of them.

Accordingly, S6 sees coaching as more "inwardly focused than developmentally career-oriented." Knowing

what is important to him has grounded him:

I feel less that a risk (I am taking in my job) is an out-
of-body experience, so to speak, where it's totally
grafting on to, or exogenous to ..., in part because I
feel somewhat better grounded.

So, to the extent that I know what is important to me,
I feel I am successful, more creative, less anxious, less
sad, less affected by pettyness, and comfortable at
being myself.

Aware of the correlativity of his behavior and that of his subordinates, he states:

I think I am probably characterized by others as a
perfectionist. (But) I am no longer a stickler for detail,
driving myself hard. I am not only less detail-oriented
and involved and critical, but they are more creative
and self confident, and take charge, and while we still
occasionally slip back into the old mold, I think it [i.e.,
my development through coaching] has been benign
both for me and for them.

His own development has spilled over into the climate of his unit, with beneficial effects for interactivity and

the ability of others' to take charge. In addition, the change has brought out his own generativity in a more

pronounced way:

I have always wanted to further others' development ...
I have always attracted bright people around me who have

known that about me, that I wanted them to take risks, and
I would inject them perhaps with a little bit of pizzazz and
cover, and have gone out of my way all my life to mentor
young talent. But nevertheless, I think it has been difficult
for people to always react positively to that (whereas now,
it has become easier for them to do so, O.L.) ... I feel more
avuncular than I ever did before.

The fact that S6 knows what is important to him, which puts work in place within the totality of his life, has

contributed to his increased effectiveness as a team leader. He has learned to delegate control:

In the past, I probably would have been more
motivated to think of myself as an adversary or as
competing with others around the room, and I would
be perceived that way. (But) much more than I have in
many years, I feel I am part of a team, where I am in effect
a virtual leader for much of what the team is doing.
And I am able to then relegate control to others, and
come in and out rather seamlessly, doing what is

important to me, and what the company needs from me.

Summary of Change Story

In short, coaching has been inward-focused rather than career- developmental. It has been premised on the totality of his life and future. Above all, coaching has provided a safe haven for personal development, with the reduction of internal criticism regarding his interpersonal functioning serving as no more than a tool. The focus of the coaching has been self-reconciliation. In the process, he has become a better listener and communicator nonverbally, has attained a greater degree of personal ease inside the company, and has become more effective as a leader. This has encouraged others to increasingly take charge of their job commitments. S6 has also instituted a more disciplined business planning cycle that puts him on a more even level with other departments in the organization. These results of coaching have been beneficial for himself as well as the unit, in that his knowledge of what is important to him has given him the ability to be more generative, enabling, and "avuncular."

This concludes the content-focused rendition of both SITUATION and OUTCOME. Below, I proceed to the structural focus of the vignette, referring to it, as previously, as the CHANGE PROFILE.

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The results of the dialectical-schemata analysis of S6's professional-agenda interview are summarized in the table below.

Table III.11. Index Score and Cluster Scores for S6

Index Score	Total Motion	Total Form	Total Relations	Total Metaform	Schemata Absent	Type of Endorse-ment
18/72	4	3	0	11	16/24	Relativist
	#2, 7	#11		#16-20		"with the airs of a formalist"

As shown in Table III.11, S6's dialectical-schemata profile is characterized by a total index score of 18 out of 72. Relative to the group of subjects interviewed, this score puts him at an advanced stage of developmental thinking about change, particularly since his score predominantly derives from endorsing metaformal schemata (which synthesize motion, form, and relationship). The configuration of endorsed schemata comprises the following 8: #2 & 7 (motion), #11 (form), and #16-20 (metaformal). Out of 24

schemata, 16 are absent, which makes S6 vulnerable to developmental disequilibrium, much of which he himself describes as disequilibrium between inner and outer functioning, between work and life (family), and between himself and the department he is leading and the organization as a whole. The category of relationship is endorsed only indirectly, through metaformal presentation. According to the cluster scores for the four classes of schemata, S6 is a "relativist" who conceives of forms without being able to relate them.

S6's dialectical-schemata change profile is remarkable in two ways: first, in that his endorsement of motion is grounded in experimentation and valuational thinking ('why not?'), which makes him an "irreverent" risk-taker; and second, in that he instantiates schemata of the metaformal class most vigorously, without an a strong analytical grasp of the interactive and constitutive nature of relationships (i.e., as preceding their elements). Since relating separate forms is a challenge for him, he does not deal well with issues of subjectivism, often appearing as off-standish and ego-centric (viz., endorsing the idea that "the individual person is the ultimate source of evaluations" (Basseches, 1984, p. 117). This limitation is linked to another one, viz., his difficulty in convincingly (and publically) reaching out and promoting others' development, despite a propensity and inner urge to do so.

The absence of an endorsement of relationship in the dialectical-schemata framework clearly manifests in terms of his Professional Agenda. His mission is to equilibrate his (own) internal and external functioning in the organization, as a way to assuage organizational criticism, but primarily as a means to reach self-recondiliation. His performance is described by him as "somewhat creative, gregarious, non-conforming, and irreverent," that is, often based on a perspective of separateness rather than a critique thereof, and unaware of the interactive aspects of relationships with peers, superiors (as endorsing requirements diverging from those of his creativity), and co-workers (as "munchkins"). Finally, his self & role integration is split between two forms or systems: transcending technical roles in his external functioning, and attempting to emphasize (minimal) sufficiency of technical role realization in his internal functioning. These two "unrelated" forms, each of them a universe (system) in its own right, define S6's struggle for reconciliation, not only within himself, but simultaneously with his family, and the internal demands of his organizational position.

<u>Subject/Object Change Profile, S6</u>

The results of the constructive-developmental analysis of S6's subject/object-interview are as follows:

4(3)	4	4(5)	4/5	
2	9	3	1	=15

These findings are put in perspective in the table below:

Table III.12   Stage Scores of S6

Develop- mental Range	Single Overall Stage Score	Clarity	Counter- Hypothesis #1 = 4(5)	Counter- Hypothesis #2 = 4(3)	Bits Beyond Stage 4 (Potential)
4(3)-4/5	4	c=9/15	power=3	power=2	p=4/15

As shown in Table III.12 , S6's ontic-developmental position falls into a broad range, from 4(3) to 4/5, with a single overall stage score of 4. The two rival hypotheses suggesting a higher (4(5)) or lower (4(3)) stage score are not of sufficient power to compete with his single overall score. (For a further explanation of stage scores, see Table IV.1 in chapter IV, or chapter II.) Nevertheless, they provide both a measure of his vulnerability toward regression to a lower ontic-developmental stage, and a perception of his potential for being able to transcend his present level toward a more interindividual stance (#bits beyond stage 4=4), where the latter outweighs the former. Consequently, S6's developmental status quo is characterized by a self-authoring stance that is secure against temptations of "falling back" into less autonomous self positions (power index=9). By the same token, S6 remains at risk for embeddedness in his self system's own consistency, although there are indications that he is beginning to transcend some of that embeddedness (4(5)=3).

Similar to S2, S6's construence of his situation and world is characterized by keen insight into his inner dynamics. As in the case of S2, there is a tendency, however, to be taken up with this dynamics, which explains the relative weakness of his 4(5) score. However, in contrast to S2, S6 is close to making the transformation of co-workers and peers an increasingly stronger imperative of his own functioning. In harmony with what is important to him, and perhaps swayed by the crisis of two of his children, he is making a beginning to do so en famille, rather than in his organizational world.

STRUCTURAL SUMMARY

S6 is Executive Vice President in a large Midwestern human-resource firm maintaining a network of national offices. He reports directly to the Chairman and CEO, and is Executive Director of Planning and Community Affairs. His portfolio of responsibilities is broad: he attends to the maintenance and improvement of his organization's image in the national human-resource services community, as well as being in charge of in-house studies and communications, relations with the press, and local philantropy. All of these functions are primarily focused on the exercise of sound judgment, and thus wide open to criticism.

S6's dialectical-schemata change profile shows him to be a relativist who has a keen metaformal grasp of change, along with some understanding of ceaseless change (motion) and of systems (form). When considering his profile as underlying his ontic-developmental processes of meaning-making, it appears that his metaformal expertise,

although lacking in relationship endorsements, provides sufficient support for his being able to keep regressive tendencies (4(3)=2) in check by slightly stronger tendencies toward disembeddednes from a strict self-authoring position (4(5)=3). The disequilibrium evident in his dialectical-schemata profile also explains the relative weakness of those 5-ish tendencies that go beyond remaining focused on his own self identity (4/5=1).

While his eagerness to change is evident from his endorsement of inclusion of heretofore excluded elements (schema #1), his political savvyness shows in his endorsement of contextual relativism (schema #11). The absence of a strong endorsement of the relationship category entails that while he is at ease in conceptualizing motion and form and relate them successfully in metaformal operations, relating forms or systems to each other, either axiologically (in terms of value) or otherwise, is a challenge for him. According to Sinnott ((1981) quoted in Basseches, 1984, pp. 239-240):

> relativistic postformal operations presume subjective
> selection among logically contradictory ... subsystems
> each of which is internally consistent. (Such operations)
> develop due to demands that the mature knower deal
> effectively with ... interpersonal relations, which has a
> large component of necessary subjectivity, that is,
> partly created by the knowers as they know it. [In this
> way], adults with postformal relativistic operations
> can act intelligently in complex everyday situations
> which permit several mutually-contradictory ...
> logical interpretations.

S6's preference for "subjective," relativistic mental operations manifests in his difficulty of conceptualizing inclusion, as is required in order to reconcile alternative forms or systems. Concretely, this is evident in his struggle to reconcile his own internal and external functioning (two separate forms) and leaving behind the notion that both intra- and interpersonally, it is ultimately subjective choice that decides which of several possible approches to relating different systems are followed (Basseches, 1984, p. 240). While S6 understands correlativity and the interactivity of knowledge on a one-to-one basis (i.e., motion), he does not deliver a strong critique of his "separate" (in contrast to "relational") style, nor does he assert the limits of separation (of his own stance from that of others). Despite a potential for being a promoter of others' development, this makes him appear as somewhat "ego-centric."

However, this observation does not negate his increasing ability, due to coaching, to see himself as part of a team and subordinate his own preferences to requirements of leadership.

This concludes the vignette of executive S6.

This also concludes chapter III.

Chapter IV

Elucidation of Findings

In this chapter, I take a first step away from the immediate, vignette-by-vignette, findings of the study. It is my intention to deepen the analysis of the empirical findings obtained, and of highlighting the methodological findings which have made the empirical findings possible. Since the relevance of the methodological findings extends beyond the present study, it is discussed in greater depth in chapter V. However, I am beginning to refer to them as the "Developmental Structure/ Process Tool" (DSPT [TM]), rather than speaking of the "conjoint methodology." I do so for two reasons, first, in order to highlight that the empirical findings are inextricably bound to the methodology that produced them, and second, to stress that this methodology is itself a "finding," and has to be undertood and appreciated as such.

The deepening of the analysis of empirical findings in this chapter is focused on two issues:

(1) What was found regarding the executives interviewed as a group (collective findings)
(2) The patterns relating the structure and process aspects of executives' developmental status quo.

Accordingly, this chapter comprises two sections. They are characterized below in more detail.

In the first part, I elaborate what the empirical results reported in the vignettes of chapter III "mean" in the group context of an across-cases analysis. Since what the results mean has centrally to do with the relationship of the subject/object and the dialectical-schemata analyses performed in chapter III (rather than these analyses taken separately), I need to explain how these two analyses are related among themselves and to their outcomes, and how their outcomes conjointly account for the meaning of the empirical results found.

Concretely, I see the subject/object findings regarding the executives as pertaining to the structural developmental telos executives are striving toward. By contrast, I see the dialectical-schemata findings regarding the executives as pertaining

 to the process by which they attain, regress from, or transcend their respective structural developmental telos. More succinctly, the subject/object analysis assesses the developmental level of an executive or group of executives, while the dialectical-

schemata analysis assesses the cognitive-developmental flexibility, resilience, and vulnerability, of an executive or group of executives. I therefore refer to the outcome of the subject/object analysis of an interview as a developmental structure assessment (see the "Subject/Object Summary" in Appendix C8), and to the outcome of the dialectical-schemata analysis of an interview as a developmental process assessment, of executives (see the "Dialectical-Schemata Summary," also in Appendix C8).

In short, the results reported in section IV.1 of this chapter centrally have to do with the relationship of the outcomes of the two analyses performed in chapter III, rather than with these outcomes taken separately. The two analyses target two different aspects of one and the same executive's

developmental status quo: first, his or her present developmental level, and second, the processes by which she may have attained this level, and can be expected to maintain, regress from, or transcend this developmental level. This formulation brings home a crucial methodological finding of the study, viz., that the outcomes produced by the DSPT ^{TM} have a prognostic character. In other words, they regard not only the developmental status quo a particular individual has reached, but also the resilience and the vulnerabilities associated with that status quo for the individual concerned. It is the prognostic character of DSPT^{TM} outcomes that makes the tool valuable in the domain of assessing the ontic development of individuals in the workplace.

Having outlined the collective findings for the group of executives studied in the first part, in the second part of this chapter, I explore the associative links that exist between the group of executives' structure profiles, on one hand, and their process profiles, on the other. The reason these associations matter, both empirically and methodologically, is that one rightly wonders whether there is a privileged relationship between the particular structural developmental status quo of an individual, on one hand, and the processes by which that status is either attained or maintained, on the other. (For instance, do stage-4 individuals favor schemata endorsements in the category of motion, while those with a more 5-ish structural status quo favor schemata endorsements in the category of metaform?) In terms of the analysis process performed in chapter III, one also wonders whether the assessments arrived at in this study in the framework of the DSPT ^{TM} differ from the assessments that would have accrued if the author had treated the two method components of the conjoint methodology as unrelated and merely additive. Since the author is presently the only living expert in using the DSPT ^{TM}, his notion of his own analysis process is a relevant finding of the study.

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1. Collective Findings Regarding the Executives Interviewed

Although the DSPT ^{TM} established and utilized in this study has been discussed in some detail in chapter II, there is no way for the reader not schooled in the two components of the methodology to understand the meaning of the results obtained without further teaching about what the structural scorings assigned to the interview texts may "mean" in the organizational context. This is the case since not only the empirical findings, but also the way in which they are interpreted, is peculiar to this study. However, the teachings below are kept to an absolute minimum.

In order to combine the explanatory with the useful (and perhaps even entertaining), and to speak about the findings in plain English, below I adopt the following scenario. A Corporate Development Officer in a large international company, referred to as the Director, will engage in conversation with her intern, referred to as the Assistant. It is the task of the Director, to assess and monitor the company's coaching program in which she has enrolled the six executives interviewed in this study. Her purpose in sponsoring this study has been to get some insight into quality of the coaching program she has brought into

existence. The Director is conversant with developmental as well as clinical and consulting psychology, and thus able to explain to her audience, the Assistant, what the empirical findings of the study actually "mean," what their validity and associated validity threats are, and how they can be put to optimal use in actual coaching work. It is the task of the Assistant, to voice difficulties in understanding the results, as well as doubts and counter-interpretations, and to become increasingly independent in her work as the chapter progresses. By pursuing this task, the Assistant will advocate for the reader of this chapter, to safeguard his or her right to understand what this study has found.

***

The Director explains to the Assistant that to answer the two research questions, this study has put in place a conjoint methodology. The methodology generates content statements (verbal utterances) and then applies an analytical process to them, in order to find in the content ontic-developmental markers that specify the developmental level (stage), and the equilibrium or disequilibrium of the mental processes associated with that level. Specifically, the DSPT ^{TM} combines two components: first, a structure analysis of a subject/object interview geared to personal experiences in the workplace, and second, a dialectical-schemata, or process, analysis of a professional agenda interview geared to executives' conceptualization of their present organizational functioning.

At this point, the Assistant asks for an explanation of these terms. A process assessment is a statement about the mental processes, especially of conceptualizations, that executives utilize to make sense of changes inside and outside of themselves. A structure assessment is a statement about adult-developmental level, position, or "stage." Asked to give an example, the Director suggests taking a top-down approach to explaining the conjunction of the two components, in order to describe the links that need to be explored for the sake of understanding the empirical findings. The relevant links can best be named and explained on the basis of the expression I have introduced in order to formulate the results produced by the DSPT ^{TM}:

$$X[m,f,r,t],$$

where 'X' is a stage or level indicator, and where the expression '[m,f,r,t]' stands for the relative number of endorsements of four classes of thought-forms or "schemata": (1) motion, (2) form, (3) relationship, and (4) transformation ('metaformal' thinking). The Director explains that the expression in square brackets states the outcome of a process assessment. The expression assesses the preponderant ways in which executives conceptualize change situations during the professional agenda interview, seen in terms of the dialectical-schemata analysis. By contrast, the stage score represented by 'X' is a structure statement in the sense that it assesses the preponderant ways in which executives, in the subject/object interview,

conceptualize the boundary of what for them is ME (subject) and NOT-ME (object) in the context of their experiences in the workplace. The Director suggests that before entering into an explanation of what is meant by "stage" and "schema," it would be helpful to explore the different links that are embedded in the expression above, since these links need to be explored further to gain a full understanding of the empirical findings.

In order to introduce a ranking among executives holding an identical overall stage score (e.g., X=4), it is useful to introduce two additional features made apparent by stage score analysis, first, potential, and second, clarity (see Appendix C8, subject/object analysis, last table). Potential refers to the number of bits beyond stage 4 that have been assessed for each executive. This feature points to the potential of an executive, to transcend a stage-4 (or any other pertinent) developmental level. By contrast, clarity refers to the relative ambiguity or lack thereof, of the single overall
stage score assigned to the executive's interview, as calibrated by the power index (i.e., the number of times the stage score occurs throughout the interview). Of these two features, potential is stated first, since it points to a telos of developmental change, while clarity refers to the solidity of the present developmental status quo of an executive. Abbreviating potential by 'p', and clarity by 'c', the above expression articulating the structure/process relationships of a DSPT ^{TM} assessment takes the form:

$$X\{p,c\} \ [m,f,r,t],$$

where p is an index for the potential, and c an index for the clarity of individual overall stage scores, X.

When reflecting upon the expression:

$$\text{'X}\{p,c\} \ [\ m=...,f=...,r=...,t=...]\text{'}$$

where '=' is followed by some integer; or equivalently, upon:

   stage {potential, clarity} [motion=...,form=..., relationship=...,metaformal=... (schemata)],

the following links spring to mind, those between:

1. the two components of the expression (X and '[]')

2. the individual components of the expression '[]'

3. the individual components of the expression 'X{}'

4. the most highly endorsed elements of '[]' and X

5. the least highly endorsed elements of '[]' and X.

6. the process component '[]' and regressive or progressive

        movement within the range of neighboring stage scores.

The Director explains the meaning of these links in the order listed. The first link is that between structure and process descriptions of ontic-developmental status. This link is of relevance for considerations of the concurrent validity of ontic-developmental assessments of executives. The second link regards the equilibrium or disequilibrium in which endorsements of thought-forms, or schemata, of type motion, form, relationship, and metaform stand in comparison to each other. The previous two

links are also of importance for considerations of the cognitive-developmental resilience and flexibility (or vulnerability) of executives. The third link pertains to the relationship between the developmental potential a stage indicates, specifically that of movement in a 5-ish direction, and the clarity of the present developmental status expressed by the stage score. The fourth and fifth links are those between highly disequilibrated schemata endorsements and the stage score. This link is also an issue for considerations of the concurrent validity of structure and process assessments. The sixth link is one between the cognitive-developmental flexibility of an executive, deriving from the dialectical-schemata endorsements, on one hand, and the likelihood of regression or progression within the range of neighboring stage scores, on the other. The sixth link regards developmental prognosis. It derives from the fact that a stage 'X' is embedded in a continuum of stage positions, x-1, X, x+1, where 'x-1' indicates the lower stage an individual might regress to under adverse circumstances, while x+1 indicates the higher stage to which an individual might progress under optimal circumstances. On account of this, a prognostic assessment is expressed in the DSPT^{TM} as follows:

$$'(x\text{-}1, \ X \ \{p,c\}, \ x\text{+}1) \ [m,f,r,t]'$$

The links defined above are summarized below:

Links Between Structure and Process Assessments
Investigated in this Chapter

Elements of Asssesment Expression	Meaning of Relationship
X, [m,f,r,t]	Developmental level in relation to cognitive process (dis-) equilibrium
[m,f,r,t]	Relationship of individual schemata categories indicating cognitive disequiliblrium
X {p,c}	Developmental potential in relationship to clarity of ontic-developmental status
[M,f,r,T], X	Relationship of most highly endorsed schemata (e.g., M,T) to developmental status
[M,f,r,T], X	Relationship of the least highly endorsed schemata (e.g., f,r) to developmental status
[m,f,r,t], (x-1, X, x+1)	Relationship of the process assessment to regressive or progressive mobility of the developmental status within the teleological range of stage scores.

As the Director emphasizes, the above formula encompasses all elements of a developmental and/or prognostic assessment produced by the DSPT [TM]. The empirical findings of this study are all represented by the links listed above. The links embody the answers to all of the research questions asked in the study.

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At this point the Assistant wants to know what is the developmental relevance of the endorsement of different schemata (m=motion, f=form, r=relationship, t=metaform). The answer is that the endorsement of schemata in the four categories is a

measure of what one might call cognitive-developmental flexibility in conceptualizing change, whether inside or outside of an individual. The Director explains that the four categories of schemata regard interrelated aspects of change that together form a system. They are not discrete thought tactics. This entails that, strictly speaking, one cannot authentically endorse metaform without a least a modicum of endorsements of the other three categories. To the extent that one or the other category of schemata remains unendorsed or weakly endorsed, cognitive disequilibrium prevails. Consequently, in the dialectical schemata framework used for analyzing the professional agenda interview, schemata endorsement in the four categories is seen as a marker of adult development.

The Director reminds the Assistant that it has been shown empirically (Basseches, 1984) that all four categories together permit an individual to conceptualize change in ever more complex ways up to the point where change is understood "dialectically." By this epithet is meant that change is grasped by an individual as (a) based on ceaseless motion that (b) leaves forms and systems stable as a result of changing all of their elements. Stability through change occurs on account of the fact that the elements composing forms and systems are (c) related to each other by interactive as well as constitutive relationships, meaning relationships which logically precede the elements they relate. W hen schemata of the categories of motion, form and relationship are synthetically combined, the individual has reached a point along their lifespan trajectory where she is able to understand change as a movement from form to form (i.e., a transformation) occurring in a 'developmental' direction.

The Assistant finds this explanation difficult to grasp, whereupon the Director asks her "to hang in there," because the meaning of this preliminary explanation will become more compelling as the conversation progresses. The Director suggests that to make sense of the notion of schemata as part of an organized whole requires exercising exactly what the schemata analysis is all about: conceptualizing aspects of change in a developmental direction. Returning to the quintessential expression 'X[m,f,r,t]', the Director suggests that the first piece, the stage score, answers the question: "what, ontic-developmentally speaking, is an individual's status quo ?," while the second, cognitive-flexibility piece, answers the question: "what resources does an individual have to progress to a higher developmental position and what resources does the individual lack that may make them regress to a lower developmental position ?" Another way to articulate the difference between the two components of the assessment would be to say that the stage score describes WHAT WORLDVIEW an executive holds in terms of ME/NOT-ME boundaries, while the second element of the assessment details HOW THAT WORLDVIEW IS ACTUALLY CONSTRUED WITH REGARD TO CEASELESS CHANGE AS A FACT OF LIFE. Sensing that the Assistant needs a more in-depth explanation, the Director suggests two steps. First, to look into the range of stage scores executives' are likely to endorse, and second, to have a look at the system of schemata whose overall meaning and relevance has been talked about in rather abstract terms until now.

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Referring to the summary of subject/object scores in Appendix C8 of chapter III:

STAGE   COGNITIVE-DEVELOPMENTAL

(TELOS)   FLEXIBILITY   [m,f,r,t]

_____

S1 = 4 {2,9}   [6,3,5,5]

S2 = 4 {5,8}   [11,0,2,4]

S3 = 4 {0,9}   [7,2,0,1]

S4 = [3,5]   [5,0,1,7]

S5 = 4(5) {7,4}   [0,0,6,12]

S6 = 4 {4,9}   [4,3,0,11]

_____

the Director initially notes that the range of developmental positions held by the group lies between stages 4 and 5 of the subject/object continuum. Checking out the summary of subject/object scores per subject at the end of the subject/object summary in Appendix C8, the Director notices that all of the executives, with the exception of S4 , peripherally endorse a 4(3) position, although not strongly enough for it to represent the single overall score defining their WORLD VIEW. She points out that a single 4/5 and several 5/4 scores occur that especially pertain to S5. The range of positions represented by the above group thus extends from 4(3) to 5/4. Since the complete sequence between the endpoints of this subject/object, or ME/NOT-ME, range is:

<u>4(3)   4   4(5)   4/5</u>   5/4   5(4)   5,

one can say that the executive group's ego level or WORLD VIEW varies over five positions (4(3) to 5/4), without reaching the endpoint of the 4=>5 sequence. Given that the group's single overall score is either 4 or 4(5), the active developmental range   (also referred to as the teleological range) in which these main scores are embedded, reaches from 4(3) to 4/5. The Director remarks that, in general terms, these findings have to do with three aspects of the executives' self functioning: (a) their ability to take responsibility for what happens to them in their life and on the job, (b) the extent to which they know what they don't know (c) the way in which they define the boundary that separates what is inside or ME, from what is outside, or NOT-ME. The Director adds that except for stage 4 and 5, all of the listed positions are transitional positions that reflect a cognitive-developmental disequilibrium. The disequilibrium is brought about by the fact that two very different subject/object structures, numerically referred to as "4" and "5," conjointly

account for the executives' world view. While an ancillary "3" structure is implicated in position 4(3), it is not of overriding relevance for understanding the findings.

The Assistant wants to know more about what is the peculiar nature of each of the stages. The Director proposes, however, to pay primary attention to the progression between stages rather than the end points of the progression (stages 4 and 5). Admitting that she is using very global, easily misunderstandable, nomenclature, the Director anchors her explanations in the statement that "stage 4" is the self-authoring position, while "stage 5" is the interindividual position. The progression toward and between these stages are as follows. When executives struggle to make a transition from stage 3 into stage 4 , they are struggling with gradually separating internalized points of view from their original sources in other individuals, and thus with establishing the self as a coherent system for the generation and correlation of such viewpoints. The Director contrasts this with the emphasis in the progression from stage 4 to stage 5, explaining that in stage 5, an individual is no longer ultimately invested in any one system or form (including the self) as it is, but in the interaction among forms and systems, and thus is invested in making him- or herself the context of transformation of self and others.

In order to facilitate her Assistant's grasp of this important information, the Director provides her with the following self-descriptions of executives that are ideal-typical for stages 3 to 5:

Stage 3 (held on to in 4(3))

I play my roles to be in harmony with what I think I am
viewed as being, making sure I have an accurate assessment
of others' view. To the extent that my own value system and
self-system emerges, I can get into conflict as to whether
what I do and how I do it will meet approval or sanctions,
which would endanger my link with others (and thus indirectly
my own system).

Stage 4 (as represented in 4, 4(5), 4/5, 5/4)

I play my roles as a self-possessed person who knows "what
he/she wants," and with limited concern toward what
others may view me as being. Since I am self-motivated
and self-possessed (and can be quite expansive), the upper-
most value I hold regards the integrity of my own self-

system, and all of my joys and pains derive from that.

Stage 5 (as foreshadowed, but not held through in 5/4)

I play my roles by transcending them, making myself the context of my own and others' transformation. I am being generative, realizing that my own self is best safeguarded by being open to others and their transformation, which begets my own.

In order to be more specific regarding the empirical findings of this study, and potential recommendations based on them, the Director points her Assistant to Table IV.1, below:

Table IV.1
Simplified Summary
of Adult-Developmental Positions
in Kegan's Subject/Object Framework (1994; 1982)

Adult-Developmental Position	Resilience/Vulnerability
4(3)	Individuals have nearly internalized and organized others' viewpoints and values into a coherent self system, but remain at risk for "slippage", where physical others and their self system cannot be clearly distinguished. Internalized points of view are no longer determinative of the self's organization but are mediated by the self's organization (Lahey et al., p. 69).
4	Individuals are identified with (subject to) the system which generates their values and goals. They cannot consult them selves or others about the system in ways that could leads to its modification or transformation because they cannot take its fundamental organizing principle as as an object of reflection (Lahey et al., p. 79).

4(5)	Individuals begin to be capable of letting go of their own value system generator, in the recognition that another system (person) has the right to be supported in realizing their own point of view. The co-operating 5-ish structure works toward dis-embedding individuals from an unreflected notion of their integrity, to the effect that they don't want "to lay their own stuff" on others. Instead, they are secure enough in themselves to take a perspective on their own limitations, and see the relativity of their own and others' agenda.
4/5	Individuals in this conflictual position are using the higher 5-ish structure more confidently, allowing themselves to be helped and transformed d by others, but are in conflict about how to safeguard their own integrity in the process. Being transformed by others serves the purpose of solidifying their own self system, and self-disclosure remains difficult.
5/4	Individuals in this conflictual position use the 5-ish structure confidently enough to take the risk of self-disclosure. They are able to let themselves be transformed and helped by others without excessive fears of losing themselves in the process.
5(4)	Individuals have gained a foothold in multiperspectival thinking, and are expert in making themselves the context of the transformation of self and others, without using this capability to solidify their own self system (whose limits they are fully aware of). The can distinguish between what another person is acting like, and what is their true potential, and therefore are able to mentor others.

The Director first issues a warning regarding certain interpretations of the above table. The subject/object system is often and easily misused, by turning it from a classificatory into an explanatory system. This happens when one mistakes the rough ideal-typical characterizations of individuals shown above for "character sketches." She urges the Assistant not to follow this tendency in the attempt to "nail down" executives' unique psychological organization. The Director explains that the stages are more teleologic than causal, in that they define the telos of developmental maturation, without thereby "explaining," in psychological or causal terms, why an executive acts the way she acts. (See my critique of Drath, 1990, in Appendix A3).

The Director points out, in addition, that there is a difference between "stage" and "style." Any of the stages can be instantiated (or their position held) in a "separate" and a "relational" style. Style is something close to "preferences" in the Myers-Briggs Type Indicator (Kegan, 1994, pp. 200 f.; see also the discussion of Hodgett's research in Appendix A3). She supports this statement by pointing to the fact that in the present group of executives, both S1 and S3 are holding a stage-4 position:

| STAGE | COGNITIVE-DEVELOPMENTAL |
| (TELOS) | FLEXIBILITY [m,f,r,t] |

_____

| S1 = 4 {2,9} | [6,3,5,5] |
| S3 = 4 {0,9} | [7,2,0,1] |

_____

but do so in a different way. As shown in chapter III, S1 holds that position in terms of a more relational style ([m,f, r=5,t]), while S3 holds it in a separate style ([m,f,r=0,t]). The Director warns not to mistake stage for style and vice versa, as much of the feminist and relational career theory literature have done. Since being relational means very different things in stages 3, 4, and 5, one cannot declare everything that faintly looks "relational" as being indicative of a particular ontic-developmental status quo. As the Director explains further, for structural reasons relationality in stage 4 (institutional self) is often not evident (Lahey, 1988, pp. 136-137):

> While the strength of the institutional self lies in its
> ability to generate and exercise values and standards,
> its limitation lies in its identification with the generator,
> or institution, which creates them ... The institutional
> self does not invite others to question the basic workings
> of the value generator.

As shown in chapter III, stage-4 executives, especially when holding the position in a "separate," rather than "relational," style (as is true for S2, S3, and S6), are not typically asking for help in finding out about their own limitations. Identified with the value generator of their own system, they are embedded in its limitations, rather than being able to take these limitations as object, thereby transcending them.

The Assistant remarks at this point that each stage seems to have its own strengths and weaknesses, and that strengths and weaknesses are inextricably intertwined with each other. The Director lauds the good observation, adding that there is no way to "push somebody out of his present status quo" simply by having them undergo some skills training, or expose them to some kind of experiential learning. This is so because the developmental status quo they instantiate determines what the respective individual is going to make out of the skills training and experiential learning opportunity, rather than the other way around. The Director states that in her view not realizing this insight constitutes the weakest aspect of contemporary executive development training, as well as coaching. As shown in more detail in chapter V (Discussion), "the right stuff" that makes executives optimally fulfil organizational requirements cannot be produced without ontic-developmental insight.

In order to understand better the meaning of a low potential for stage transcendence versus clarity of executives' developmental status quo, the Director proposes to elaborate on the progression from stage 4 to stage 5, i.e., from the

institutional to the interindividual balance Lahey, 1988, p. 137):

> The evolution from the institutional to the inter-
> individual balance involves a gradual differentiation
> from this embeddedness in, or identification with,
> the value generator itself (dominant in stage 4, O.L.).
> Competing systems, theories, or forms move gradually
> from a place completely outside the self (which is
> identified with its own system, theory, or form) to
> a place inside the (new) self which is now about the
> relation between forms and the process of form-creation.

Following (Lahey et al., 1988, pp. 153-154), she circumscribes the gist of a 5-ish, interindividual, balance as follows:

> This engaging another to evaluate and posibly transform the workings
> of its (i.e., the self's) own system demonstrates the workings of an
> interindividual structure. She (the executive, O.L.) is able to construct
> a psychological context which is the occasion not only for exercising
> one's theory, but reconstructing it; the self becomes a context which
> includes its present formation (as object) and the possibility or "space"
> for other formations; the self becomes about more than system-formation;
> it becomes about system-transformation. The inter-individual self takes
> a perspective on its own form, and other forms, and locates itself within
> the continuing interaction between and among forms.

In short, a stage-5 structure entails the capacity for self-transformation.

Referring to the compact results statement:

STAGE (TELOS)	COGNITIVE-DEVELOPMENTAL FLEXIBILITY [m,f,r,t]
S1 = 4 {2,9}	[6,3,5,5]
S2 = 4 {5,8}	[11,0,2,4]
S3 = 4 {0,9}	[7,2,0,1]
S4 = 4 [3,5]	[5,0,1,7]
S5 = 4(5) {7,4}	[0,0,6,12]
S6 = 4 {4,9}	[4,3,0,11]

the Director comments that evidently all of the executives hold at least a stage 4 position (institutional balance), and that one of the six (S5) is on his way to the

interindividual balance. She adds that, obviously, in regard to coaching, it is important to know where along the trajectory from stage 4 to stage 5 an executive is presently functioning, since an executive's ontic-developmental status quo influences not only how coaching should be approached (by the coach) and how it might be received by the coachee, but also what outcome it might yield.

The Director points out that according to the above results statement, all executives in the group have clearly accomplished the "stage 3 curriculum." They have fully internalized not only important-other's point of view, but also the source and continued generation of that point of view (Lahey et al., 1988, p. 51). Thereby, they have created a self-authoring system. Therefore, these executives feel whole without having to rely on other individuals (peers or superiors) "who must keep making that point of view known and remain psychologically present" in these executives (Lahey et al., 1988, p. 51). As the Director explains:

> It is not until the full development of stage 4 that the other is released from the responsibility to be the supplier of the other half of the single system. Evolution between stage 3 & 4 is the story of gradually separating internalized points of view from their original sources in others, and making the self itself a coherent system for their generation and correlation.

The Assistant wonders whether somebody who has not realized at least a stage-4 position could properly be called a "manager," since managing others would seem to presuppose that an individual can "manage" their own self system in the manner of a self-authoring system. The Director adds that under duress the capability to be self-authoring may be jeopardized, ($X \Rightarrow X-1$). This situation is associated with stage 4(3), where the self-authoring stage, not having been fully reached, is utilized by the executive as a means for hindering herself from "sliding back" into a more other-dependent, 3-ish position (by saying, e.g., "but I do have very good boundaries."). The regression is more pronounced when the move is from stage 4 to 4/3, where a 3-ish and 4-ish developmental structure are in conflict with each other, and the conflict is decided in favor of a more 3-ish than 4-ish point of view (as in 4(3)).

The 4(3) position, according to Appendix C8 fleetingly held by S1 (x3), S6 (x2), S3 (x1) and S5 (x1), has special valence in the coaching context, where feedback from others (third parties) is often crucially involved. The position entails that an executive remains at risk for slipping back into a more 3-ish position of

dependency on others' viewpoints and values. This position also has special importance in the context of 360-degree feedback, which is a cornerstone of contemporary "competency models" for managers. In light of the fact that executives who still rely on reports or co-workers as suppliers and generators of their

wholeness are still at a stage-3 position, such feedback, if not filtered adequately through the executive's value system, can potentially lead to a developmental arrest at a 3-ish position, rather than promoting developmental growth.

She suggests that to avoid the risk of developmental arrest at stages 3, 360-degree feedback has to be utilized in an ontic-developmentally constructive fashion. This entails a mandate of the coach, to assist the executive in question in reaching a stage-4 developmental level, or, if time and inner or outer circumstances prevent such a transformation, to at least engage the executive in a developmental intervention on his or her own behalf that may ultimately push the individual on a path of mental growth beyond mere adaptation. This might be done, e.g., by using the self-assessment option which is part and parcel of some of the existing 360-degree feedback tools. While such an intervention can in no way guarantee ontic-developmental growth, at least the executive's supervisors could become aware of the developmental risk the executive is experiencing. The Director concludes that the mandated feedback procedure poses an intriguing coaching problem: how to make 360-degree feedback fruitful for an executive without increasing his or her vulnerability to regression to a 3-ish position.

The Director summarizes that the transition from stage 3 to 4 is about an increasing letting-go of others as co-determiners of one's own self-coherence and meaning-making, while the transition from stage 4 to 5 is about differentiating oneself from the self-authoring process most of the time. In short, what differentiating from others' internalized points of view is in stage 3, differentiating oneself from one's own internalized points of view (and self-authoring process) is in stage 4 (regardless of whether one articulates one's ontic-developmental position in terms of a 'separate' or 'relational' style). In light of this, the empirical finding regarding the present group of executives is that all of them are, to different degrees, struggling with how to transcend their own self-authoring system "most of time," and that some of them are further along in this endeavor (S5) than others.

<div align="center">***</div>

Remembering that most of the executives of the group are at a stage-4 position, the Assistant wonders what might differentiate them as individuals. The Director suggests to look into the matter of potential versus clarity, mentioned above ($X\{p,c\}$). Pointing to the table below, of subjects' indexed stage scores (see Appendix C8):

Subject	Single overall stage score (SOS)	# Bits > 4 (Potential)	Clarity	Relation-ship p/c
S1	4	2	9	p < c
S2		5	8	p < c

S3	4	0	9	p < c
S4	4	3	5	p < c
S5	4(5)	7	4	p > c
S6	4	4	9	p < c

the Director concludes that, except for S5, in the present group of executives the potential indicated by the number of bits (interview segments) transcending stage 4 is typically lower than the clarity with which their ontic-developmental status (stage) is expressed, as articulated by the subject/object power (i.e., clarity) index. She points out that this result has two aspects. First, the clarity of the stage score speaks for the lack of ambiguity with which some present developmental status is held. However, where the clarity is higher than the potential, this could entail that the individual is fixated on the present status quo, without much of a potential to transcend it. In short, clarity over potential is both a positive and a potentially negative result. She points out that the same holds for a reversed relationship between potential and clarity, as demonstrated by executive S5. In his case, the potential for transcending the present developmental status quo (p=7) is higher than the clarity with which that status is held (c=4). This entails that although S5's potential to transcend his present developmental level is higher than that of his colleagues, this potential also "destabilizes" the clarity with which that level is presently held.

The Director then uses the relationship of potential and clarity of stage scores bring some ranking into the seemingly uniform stage-4 profile of the present group of executives. She maintains that, given the prognostic nature of assessments in the context of the DSPT ^{TM}, the potential expressed by stage-4-transcending interview segments is more highly relevant than the clarity with which the stage score is expressed. She therefore suggests that the relevant ranking of executives is as follows:

Subjects S1 to S6
Ranked in Order of Their Indexed Stage Score

Subject Ranking	Single overall stage score (SOS)	# Bits > stage 4 (Potential Index)	Clarity Index
S5	4(5)	7	4
S2	4	5	8
S6	4	4	9
S4	4	3	5
S1	4	2	9
S3	4	0	9

In this table, the executives are ranked in terms of potential rather than clarity, and on the basis of subject/object scores (structure assessment) alone, i.e., disregarding the outcome of their process assessment. S5 not only holds the highest stage score (4(5)); he also shows the greatest potential for transcending that stage score, with a concomitant lowering of the clarity by which his present stage score is expressed. By contrast, the lowest potential for transcending his present developmental status quo is

manifested by S3. This has two meanings. First, it means that S3's present structural developmental position is of high clarity (c=9), but that this is "paid for," so to speak, by a relatively poor potential for transcending the present developmental position (p=0). In other words, S3 may be caught in a developmental arrest at stage 4.

When ranked according to the clarity of their stage score, with potential acting as a secondary criterion, the resulting ranking is as follows:

Subject Ranking	Single Overall Stage Score (SOS)	Clarity Index	Potential Index
S6	4	9	4
S1	4	9	2
S3	4	9	0
S2	4	8	5
S4	4	5	3
S5	4(5)	4	7

According to this table, S6 is most unequivocally at the stage of an institutional self possessing, at the same time, a fair degree of potential for transcending his developmental status quo. In this, he is closely followed by S2, rather than S1 or S3 whose potential for stage-transcendence is rather limited by comparison. Next in line is S4, while the lowest degree of clarity of developmental status quo is manifested by

S5. However, S5 simultaneously holds the highest stage score of this group of executives, and embodies the greatest potential for stage transcendence of that already high score. Clearly, such comparisons between executives can be helpful in situations of succession planning and related organizational issues.

At this point, the Director summarizes that stage scores are teleological, not causal. This entails that they lend themselves to prognosis to some extent, since a stage score X is always situated in a range or neighborhood of lower and higher scores (X-1, X+1). In the group of executives here in question, there is a difference between those who can be said to have an agenda (S5=4(5)) and those who are, or are embedded in, their agenda (the remaining executives). Those who still are their professional agenda might in the future progress to having one, and those who have one might in the future increasingly open it to transformation by others. Therefore, changes to the professional agenda on account of coaching vary with the ontic-developmental position of the individual executive.

With regard to the ability to absorb feedback from others in the context of 360-degree feedback, executives at stage 4(3), or even stage 4, may be prone to regressing to a 3-ish dependency position if not helped by the coach to strengthen and trust their own self-authoring system. In such situations, absorbing feedback serves the function of strengthening the executive's self-authoring as much as doing justice to legitimate criticism by others. By contrast, in a more 5-ish position (4(5), 4/5, or 5/4), absorbing feedback

constructively tends to be a means of moving an executive forward in the direction of self-transformation, and of encouraging her to use her own self-system to help others transform, as, for instance, in mentoring.

<div align="center">***</div>

Having explained to her Assistant the overall thrust of the 'X' in 'X[m,f,r,t],' the Director proceeds to commenting on the second aspect of the description of ontic-developmental status, '[m,f,r,t].' She explains that while in the subject/object framework yielding the stage score, one might be inclined to distinguish a cognitive-affective from an intrapersonal and interpersonal line, in the dialectical-schemata framework the emphasis is more squarely on the cognitive line, with the presumption that the striving to adhere to "rationality," exemplified by an optimal instantiation of dialectical schemata, is typically the source of psychological conflict for individuals (Basseches, 1989). She adds that conflict is symptomatic, not of adherence to the schemata, but rather of the disequilibrium resulting from an incomplete instantiation of the schemata.

The Assistant requests an overview of the total system of schemata, called the dialectical-schemata framework. It is stated in Table IV.2, below (Basseches, 1984):

<div align="center">

Table IV.2
Simplified Summary
of the Four Classes of Dialectical Schemata
in Basseches' Dialectical-Schemata Framework (1984, pp. 72-77)

</div>

SCHEMA	PROPENSITY/ABILITY
MOTION	Ability to grasp to inner and outer change nd to facilitate, attend to, & describe motion, by focusing on mental movement as interaction, correlativity, relativity of what seems to be static within an overarching dynamic or process.
#1) Excluded Element	Relating a though to what is excluded from it, to achieve a synthesis
#2) Primacy of Motion	Affirming the primacy of motion and change
#3) Tripartite Thesis	Conceptualizing motion in terms of thesis/antithesis/synthesis
#4) Correlativity	Recognizing the correlativity of a things and its 'other'
#5) Ongoing Interaction	Interaction as a source of movement, with focus on common goals
#6) Active Knowledge	Interaction of ideas within & between t hinking beings; emphasis on interaction with new data
#7) Avoiding Reification	Insight into objectification, reification, injecting motion back into where it is denied
#8) Elements of Process	Grasping events and situations as moments in an ongoing process

FORM | Ability to grasp stability through motion, not of single elements, but their organization into a system; attention to organized & patterned wholes and conceptual contexts.

#9) Part of Whole | Grasping phenomena as organized into patterns and larger wholes that can be described as systems or forms

#10) Equilibrated System | Grasping systems and forms in structural, functional, or equilibrational terms

#11) Contextual Relativism | Seeing ideas & values as "frames of reference," part of a larger whole; relating elements to their context

RELATIONSHIP | Ability to grasp interactive and constitutive relationships that precede the elements they organize (i.e., make the parties to a relationship what they are).

#12) Limits of Separation | Asserting the existence of relationships and the value of relatedness

#13) Individual not Ultimate | Critique of unrelated multiples, aggregates of discretes, and the invididual person as source of evaluative judgment

#14) Interactive Relationships | Grasping that the parties of a relationship act upon each other; emphasis on reciprocal agency

#15) Constitutive Relationships | Assertion that relationships are constitutive of their elements

TRANSFORMATION / Meta-formal Thought | Ability to integrate the category of relationship with that of motion and form, thereby enabling one to grasp the limits of stability, developmental resolution of disequilibria, and the transformation of one form into another, leading to form construction.

#16) Embracing Negativity | Using contradiction as category of thought, thus as an element limiting stability and enforcing change

#17) Resolving Disequilibrium | Understanding the resolution of disequilibrium in the direction of developmental transformations

#18) Relating Form & Motion with Valuie | Valueing forms/systems and their conflicts as moments within an overall movement of which they are a part

#19) Comparison of Forms | Evaluative comparison of forms, implying rejection of unrelated multiples and discretes

#20) Coordination of Forms | Grasping the importance of coordinating forms, and facilitating such coordination

#21) Self-Transforming Systems | Grasping a form as an open, self-transforming system

#22) Quantity => Quality | Grasping qualitative change resulting from change in quantity

#23) Limits of Formalism | Grasping the interdependency of forms and their context; viewing form as constitutive of context

#24) Mulltiple Perspectives | Adopting multiple perspectives as a way to generate a set of new forms, and acknowledging the one-sidedness of any one perspective.

As Table IV.2, above, makes clear, the four categories comprise an uneven number of schemata (motion=8, form=3, relationship=4, metaformal=9, total=24). This fact (upon which I comment more extensively in chapter V.2) notwithstanding, the categories form a system in the sense that it is improper to single out one or two of them and treat them in isolation from each other, except to emphasize a strong or weak endorsement by a particular individual.

It is a legitimate request to have recourse to a definition for each of the categories from which its central meaning emerges. The best advice to the reader might be, to think in terms of category endorsements rather than categories, in order to focus on the endorser's ability, or propensity, to notice certain elements of ceaseless change in the world (thus of process). Perusing the definition of the categories in Table IV.2, above, it becomes clear that the term MOTION stands in for a variety of thought forms all of which have to do with dynamic interactions between entities (including persons) and elements leading to change. However, these entities are not shown to be in any particular configuration; they simply exist. For this reason, endorsement of a motion schema can be thought of as signaling an individual's sensitivity to interactions leading to change, without a concomittant deep understanding of the relationship of the interacting forces involved, or of their shape or form.

The term FORM, in turn, regards an individual's ability, to think in terms of equilibrated systems, whether the systems are seen in a structural, functional, or equilibrational perspective. While this capability is not identical with "systems theoretical thinking," since it is more complex, systems theoretical thinking is a good first approximation of the capability subsumed under the category of form since it provokes the thinker to take into account the environment or context in which single elements or entities are interacting with each other, and thus in a state of motion.. Alternatively, one might think of a person as a form, taking into account that a person is an organized and equilibrated whole that attempts to maintain equilibrium, and thereby maintain itself as stable across all change. In short, while MOTION pertains to the elements required for change to take place, FORM defines the environment in which the elements can be said to change.

Once the aspects of motion and form that characterize change have been defined, it is necessary to pay closer attention to the precise relationships in which the elements can be said to stand. Conceiving of RELATIONSHIP is emphatically different from conceiving of MOTION, although in the feminist and "relational" literatures, as well as in everyday discourse, these two categories consistently get mixed up with one another.

In terms of the dialectical-schemata framework, one can be very sensitive to interaction between existing elements, and apt at relating to other forms (such as persons), without thereby understanding that a relationship constitutes an intrinsic relatedness that is constitutive of the elements or entities it relates. An example might be the relationship of marriage which, as a relationship, makes the individuals it comprises into what they are as partners. In short, the relationship of marriage constitutes persons as partners who,

without this relationship, would not be what they are, however much they might be interacting with, or "relating to," each other, and in whatever context or system they might be found.

Finally, to conceive of elements or entities in transformational terms, of METAFORM, entails the capability of synthesizing interacting forms as being intrinsically and constitutively related to each other, and being in transition to becoming other, more complex and equilibrated forms that maintain their stability only by undergoing changes in some or all of their elements. In short, metaform endorsement indicates the capability to conceive of the process of constructing new out of old forms whose history is contained within themselves, thus to conceive of process in a developmental direction. To conceptualize of transformation in this sense requires a grasp of MOTION, FORM, and RELATIONSHIP along with the ability to "synthesize" their implications. Thus, when for instance a grasp of form and relationship is absent, or is minimal, the resulting transformation is "hollow," since it is predominantly based on ideas of interaction and relatedness in the non-dialectical sense of the term that excludes schemata of the category of relationship. As Basseches (1984) has shown empirically, the ability of bringing together schemata of all four categories is an achievement of the adult mind that is not attainable before the age of approximately 25, and often is not attained by an individual at all during his or her lifetime. This entails that cognitive-emotional development does not cease in early adulthood, but continues to the end of life. This is what is emphatically meant by the term adult development, which therefore is thought to comprise developmental markers as, for instance, defined by schemata endorsements. Therefore, how individuals conceive of their changing world, conceived of as a world of "systems in transformation" (Basseches, 1984, p. 182), is a procedural indicator of their ontic-developmental level (ego-level).

When mapping schemata endorsement into the organizational domain and the workplace, motion, form, relationship, and metaform take on specific connotations, since the forms dealt with are predominantly either persons, groups of individuals, organizational subsystems, or the organization as a whole. In order to remain stable across ceaseless change, an organization, just like as a person, is trying to maintain equilibrium of its element. To see the organization, or one's relationship to it, as either "always changing," or as unaffected by ceaseless change, or to fail to appreciate the myriad relationships which constitute the roles executives are "playing" in the organization as intrinsic and constitutive, does not prepare an individual to grasp transformational change in the organization. In short, schemata endorsements are the basis of organizational cognition. Simultaneously, they are markers of adult development in the workplace, providing the basis on which the "thinking organization" is based (Sims & Gioia, 1986). Any disequilibrium of schemata endorsement is therefore an indication that an executive is 'out of sync' with him- or herself, and that therefore their relationship with the organization is equally out of sync. This, however, is a necessary precondition for change to occur, both inside and outside of the executive. In terms of agentic executive development initiatives, it is crucial to know what kind of ontic disequilibrium exists, and where

among the categories to focus, in order to make personal change in a developmental direction possible for individuals.

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Returning to the logisitics of calibrating schemata endorsements, there are three ways of endorsing schemata comprised by each of the category (Basseches, 1984, p. 156):

1 = a possible manifestation of the schema

2 = several possible manifestations of the schema

3 = clear (i.e., unequivocal) manifestation of the schema.

In short, there are weak, moderate, and strong endorsements of a schema. Given the uneven number of schemata in each category, optimal endorsement of all schemata would yield the expression:

[m=8x3=24; f=3x3=9; r=4x3=12; t=9x3=27; total=72)

or

[24,9,12,27].

It must be kept in mind, however, that all classes of schemata are autonomous in the sense that they are considered as being of equal weight in their contribution to the overall index score (optimally=72), as well as to the configuration of endorsed

schemata that form the dialectical-schemata, or process profile of an executive. For instance, in the schemata analysis of the professional agenda interview, the index scores obtained by the executives is simply the sum of their schemata endorsements in all four categories:

STAGE	COGNITIVE-DEVELOPMENTAL FLEXIBILITY [m,f,r,t]	INDEX SCORE
S1 = 4 {2,9}	[6,3,5,5]	19 (out of 72)
S2 = 4 {5,8}	[11,0,2,4]	17
S3 = 4 {0,9}	[7,2,0,1]	10
S4 = 4 {3,5})	[5,0,1,7]	13
S5 = 4(5) {7,4}	[0,0,6,12]	18
S6 = 4 {4,9}	[4,3,0,11]	18

Given the narrow range, the index score is not very revealing as far as individual differences between executives are concerned. However, the range of index scores (10-19) compared to the optimum of 72 speaks more clearly to the level of cognitive-developmental flexibility of the executives in the group. Considering that the highest possible index score equals 72, the range of endorsements achieved by the executives (10 to 19) indicates a generally modest degree of cognitive-developmental flexibility. (In Basseches' 1984 study, index scores ranged between 15 and 62, Basseches, 1984, p. 158). Linking this finding to the idea of the stage score as a telos of mental growth, and of schemata endorsements as an indication of the resources for reaching the next higher telos (stage), the finding can be rendered by the statement that the present group of executives seems to possess a modest pool of resources for progressing to the next higher stage (telos).

The Assistant remarks that S1 seems to show a relative evenness of schemata endorsements in all four categories [6,3,5,5]. The Director reminds her that
 individual endorsement scores have to be read in terms of percentages of the optimum achievable in a particular category. Rewriting the compact results statement in this form yields the following:

STAGE (TELOS)	COGNITIVE-DEVELOPMENTAL FLEXIBILITY (PROCESS)	PERCENT OF OPTIMUM [24,9,12,27] [m,f,r,t]
S1 = 4 {2,9}	[6,3,5,5]	[25,33,42,19]
S2 = 4 {5,8}	[11,0,2,4]	[46,0,17,15]
S3 = 4 {0,9}	[7,2,0,1]	[29,22,0,0]
S4 = 4 {3,5}	[5,0,1,7]	[21,0,1,26]
S5 = 4(5) {7,4}	[0,0,6,12]	[0,0,50,44]
S6 = 4 {4,9}	[4,3,0,11]	[17,33,0,41]
Group average		[23,15,18,24]

Referring to the outer right of the table, the Assistant points out that the above result statement shows a great deal of scatter. However, certain patterns can be discerned.:

1. Except for S1, there is a rather uneven spread of endorsements of the four categories (m=motion, f=form, r=relationship, t=metaformal), the range extending from zero to 50%

2. Except for S1, there are some glaring deficits in endorsing certain categories marked by zero (S2: form; S3: relationship; S4: form; S5: motion & form; S6: relationship)

3. Except for S5, the category of motion is fairly consistently endorsed, especially in the first three subjects (S1=25%,S2=49%,S3=21%)

4. Except for S3, a rather high understanding of metaformal schemata seems to prevail among the subjects, especially the last three (S4=26%, S5=44%, S6=41%).

5. Along with relationship (mean endorsement=18%), form is the category least endorsed by the group (mean endorsement =15%)

6. Metaformal schemata constitute the most endorsed category, (=24%), closely followed by motion schemata (=23%)

7. There is considerable variability of endorsements, especially regarding metaformal (0-44%) and motion schemata (0-46%).

The Assistant wonders what these observations may amount to.

The Director suggests to have a look at the more explicit statement of dialectical

schemata scorings, of which the compact results statement, above, is but a summary.

The scorings are shown in the table below. Schemata endorsements refer to both executives' change story (CS) and their description of their 'present professional performance and functioning' (PPPF). Schemata endorsements pertinent to the change story alone are highlighted by underlining:

Table IV.3
Conjoint, Across-Cases View
of all Schemata Endorsed by Subjects
(Change-Story Specific Statements are Underlined)
(Weightings from 1 to 3 in '[]'

Subject, Stage	Motion	Form	Relation	Metaformal
S1, 4 {2,9}	#4[1], 5[2], 6[2], 8[1]	#11[3]	#12[3],13[1] 14[1]	#16[1],18[1] 20[1],22[1], 24[1]
	[=6 (=25%)	=3 (=33%)	=5 (=42%)	=5] (=19%)
S2, 4 {5,8}	#2[3],5[1], 6[1],7[3], 8[3]		#14[2]	#20[1],24[3]
	[=11 (=46%)	=0 (nil)	=2 (17%)	=4] (15%)
S3, 4 {0,9}	#1[3],5[2], 6[2]	#10[2]		#17[1]
	[=7 (=29%)	=2 (=22%)	=0 (nil)	=1] (nil)
S4, 4 {3,5}	#1[3],6[1] 7[1]		#13[1]	#16[1],17[2] 20[1],24[3]
	[=5 =21%)	=0 (nil)	=1 (=1%)	=7] (26%)
S5, 4(5) {7,4}			#12[3],15[3]	#16[3],18[3] 19[1],29[1], 21[3],24[1]
	[=0 (nil)	=0 (nil)	=6 (50%)	=12] (=44%)

S6, 4 {4,9}	#2[3],7[1]	#11[3]		#16[3],17[2] 18[2], 19[3], 20[1]
	[=4 (=17%)	=3 (=33%)	=0 (nil)	=11] (=41%)

Totals, PPPF	23	5	6	18
Totals, CS	10	3	8	22
Grand Total	23%	15%	18%	24%
		least endorsed		

The Director explains that the above table is a listing of all schemata endorsed by the

executives. In the table, each schema has been associated with the level of endorsement it have been given by the executives. (For instance, S1 endorses schema #4 weakly (4[1]) but #5 more strongly (5[2]), accruing a subsidiary motion index score of 6). Pointing out that the totals stated at the end of the table are equally relevant, the Director adds the following observations:

8. In describing their 'present professional functioning and performance' (PPPF; see chapter III), executives collectively endorse motion (=23%) over metaform (=18%)

9. In telling their change story (CS: chapter III), executives collectively mainly endorse metaform (=22%) followed, at some distance, by motion (=10%)

10. The ranking of mean endorsements of categories in terms of the optimal endorsement of [24,9,12,27=72] is: (1) metaformal=24%; (2) motion=23%; (3) relationship=18%; (4) form=15%.

In order to confirm these observations, the Director suggests to have a look at the following partial table listing only the schemata optimally endorsed by executives:

Table IV.4
Most Highly Endorsed Schemata

Subject	Motion	Form	Relation	Metaformal
S1		#11	#12	
S2	#2,7,8			#24
S3	#2			
S4	#1			#24
S5			#12,15	#16,18,21
S6	#2	#11		
Totals	6	2	3	7

As can be seen, a listing of the most highly endorsed schemata confirms observation no. 10 made by the Assistant, viz., that the ranking of endorsements of categories in terms of the optimum endorsement of [24,9,12,27] is: (1) metaformal; (2) motion; (3) relationship; (4) form. The Director concludes that the results table could be described as a donut, given that it has a big hole in the middle that reflects the absence of an endorsement of schemata grouped under the form and relationship categories.

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The Director remarks that the interpretation of Table IV.3, above (which subsumes Table IV.4) is basically a matter of understanding link #3, viz., how the components of the expression in square brackets (i.e., the process assessment) relate to each other. She finds it important to reinforce the notion that the components making up the process assessment of executives are seen in the spirit of Basseches' work. This means to grasp the four categories of schemata as interrelated ASPECTS of any holistic and developmental change description, which together form a system of their own and thus cannot be dealt with in isolation. A group process assessment such as [23,15,18,24(%)] is thus profiling systemically an entire group of executives with regard to its members' cognitive-developmental flexibility and vulnerability, respectively. Keeping in mind the other links of importance, stated above,

1. the two components of the expression (X and '[]')
2. the individual components of the expression '[]'
3. the individual components of the expression 'X{}'
4. the most highly endorsed elements of '[]' and X
5. the least highly endorsed elements of '[]' and X.
6. the process component '[]' and regressive or progressive

      movement within the range of neighboring stage scores.

it should be clear that executives' process assessment is only one part of the total developmental assessment, which equally includes the stage or structure assessment indicated by 'X' (and its neighborhood of stage scores, X-1 & X+1).

Given the complexity of the findings, the Director opts for getting all the help she can get from precedents in the literature, rather than to venture into premature conclusions. She remarks that despite its apparent complexity, Basseches dialectical-schemata framework is not only highly consistent, but also highly intuitive. As briefly outlined in chapter II, the framework is geared to eliciting conceptualizations of change regarding the aspects of motion, form, relationship, and transformation ("metaformal" schemata). Given that ceaseless change is what constantly confronts human beings, and
certainly executives in "turbulent" organizational environments, how executives actually conceptualize change at various developmental positions along their lifespan trajectory is a major facet of their cognitive-developmental resilience.

The Director reminds her Assistant that Table IV.2 is the foundation of Table IV.3 and that, as discussed in chapter II, there are two conceivable interpretations of

the schemata listed in the table.: first, a behavioristic, and second, an ontic-developmental, one. The first interpretation sees schemata as mere "thought-forms," and the process of schemata acquisition as "learning," or "experiential learning" (McCall, 1998). The second interpretation sees schemata as schemata in the ontic-developmental tradition deriving from Kohlberg and Piaget. This interpretation entails that schemata are not simply "thought forms," but are equally body-based and emotionally anchored procedures that have been programmed into an individual's brain and mind over a lifetime. Consequently, the process of schemata acquisition as well as refinement is not "learning," but (adult) development. In fact, according to the second interpretation, what an individual can learn, "experientially" or not, is limited by his or her ontic-developmental status quo, regardless of whether this status quo is understood and assessed in structure (stage) or non-stage (process) terms.

In the second perspective, the empirical findings regarding executives' schemata endorsements (configurations) bespeak a particular kind of developmental disequilibrium or, as the Director puts it, a position of vulnerability based on the partial realization of interrelated aspects of change. According to her, incomplete schemata configurations assembled from Table IV.2 designate forms of incomplete adult development (Basseches, 1984, pp. 204-205):

> The notion of "development" is probably the keystone
> of integration in the coordinated organization of
> dialectical schemata ... The notion of development
> integrates within itself connotations of value--
> development is progress; of motion--development is
> change; and of form--development is differentiation
> and integration.

The first statement in the quote refers both to the development of individuals endorsing schemata, and what it is they are endorsing, i.e, aspects of developmental change. As can be seen in Table IV.2, above, the notion of development also integrates within itself

connotations of relationship. The Director suggests to her Assistant that a partial development of the dialectical schemata shown in Table IV.3 (empirical findings of this study) "can be understood in terms of the relatively incomplete elaboration of some component of this integrative motion of (human) development" involving motion, form, relationships, and implying value (Basseches, 1984, p. 205). She endorses Basseches' definition of equilibrated thinking that states (Basseches, 1984, p. 64):

> Dialectical (i.e., schemata-based, O.L.) thinking refers
> to a non-conservative mode of cognitive functioning organized
> by (a) a set of assumptions about the pervasiveness of change
> [motion], and (b) ways of conceptualizing moments of structural
> stability [form], moments of radical transformation [metaform],
> and constitutive and interactive relationships [relationship] which
> both define and transform structures (my emphasis, O.L.)

Of these four interrelated aspects of change, "moments of structural stability" (i.e., form) and "constitutive and interactive relationships" (i.e., relationship) are underendorsed by the present group of executives. Following Basseches in viewing the 24 schemata as "components of a coordinated form of cognitive organization (called dialectical thinking)" (Basseches, 1984, p. 162), the Director asks (Basseches, 1984, p. 214):

> What, then, does the individual using these (partial)
> patterns (i.e., configurations, O.L.) experience?

In answering this question, the Director suggests that incomplete schemata configurations are pointing to the limits of developmental equilibrium in an individual. Just as an executive manifesting a certain subject/object stage, such as 4/5, finds herself in cognitive-developmental disequilibrium regarding her self-authoring, 4-ish, and her interindividual, 5-ish balance, so an executive who manifests an incomplete realization of the 24 schemata conceptualizing change finds herself in a disequilibrium. In the latter case, however, the disequilibrium is not one of developmental structures at work in an individual, but rather one of the process of conceptualization by which the individual attempts to capture aspects of ceaseless change. In other words, the executive is adhering to a particular procedural WORLD VIEW that sheds light on her strengths and limitations, and perhaps on her suffering as well. Asked by her Assistant how she means that, the Director answers (Basseches, 1984, p. 214):

> If life events are confronting individuals with
> precisely those problems that would pose difficulty
> for their forms of reasoning, then they will
> experience disequilibrium.   As long as these events
> do not occur, these patterns might well remain
> comfortably stable.

The term 'disequilibrium,' above, refers to a vulnerability that only specific

circumstances may make apparent. Wiith regard to executives, one might speak of a vulnerability of their executive potential. Changes within and without the organization may trigger such vulnerabilities into erupting into a full derailment (Kaplan, 1989; Drath, 1990). Put differently, the set of fully instantiated schemata X[24,9,12,27] represents a telos of mental growth. This telos is informed by a standard of rationality in the sense of adaptability as well as optimal self-realization (Basseches, 1989).

To further the discussion of specifics in Table IV.3, the Director reminds her Assistant that fifteen years ago, Basseches, researching an adolescent and early-adulthood college group (including academicians), found three "forms of incomplete development" of schemata endorsement (Basseches, 1984, p. 188). He called these forms patterns:

(1) the nonformalist pattern

(2) the formalist pattern

(3) the (value-) relativist pattern.

Basseches considered these patterns as incomplete since certain of the schemata that could resolve the disequilibrium and conflict they lead to in people's experience are absent from the configuration. As previously stated, he suggested that these patterns form "incomplete elaboration(s) of some component of this integrative motion of development" (Basseches, 1984, p. 205). Basseches considered the patterns to be alternative developmental pathways to fully realized system-transformational ("developmental") thought. He pointed out that a particular kind of incompleteness of change conceptualizations is specific to each of the three patterns. W hile he was careful not to equate the interviewee with the interview, and spoke of "nonformalist" etc. interviews, it was nevertheless his hypothesis that the interview points to the developmental status quo of the individual concerned. In sum, Basseches suggested that where change is not dialectically either grasped or enacted, developmental disequilibrium occurs, and that this disequilibrium manifests as an individual's ontic-developmental vulnerability and proneness to conflict (Basseches, 1984; 1989).

Given this historical precedent, the Director suggests to take a closer look at Basseches' finding regarding incomplete configurations as alternative developmental pathways. If incomplete endorsement of schemata in the four categories leads to disequilibrium, then what we see in Table IV.3 and its associated compact summary statement is the presence of "alternative developmental pathways" executives have chosen to arrive at the telos of mental growth defined by a higher-than-stage-4 structural score, as well as the peculiar nature of their chosen pathway. Returning to

the ten observations about Table IV.3, above, what does it MEAN that the executive group here studied collectively endorses motion and metaform schemata over form and relationship schemata, as reflected in the donut-shaped Table IV.3 (as well as IV.4)?

The Director proposes inspecting Basseches' discussion of the three alternative pathways. She hopes that these findings might assist her in understanding the vulnerability and potential lack of resilience in the group of executives she is in charge of, as well as in answering the above question. In his research, Basseches came upon the following three kinds of disequilibrium:

1) endorsements of motion and relationship over form and transformation (metaform), =non-formalist pattern (Basseches, 1984, pp. 188-189)

2) endorsements of schemata in which the focus on motion (change) or relationship is either equivocal or inconsistent, = formalist pattern (Basseches, 1984, p. 195)

3. endorsements of motion and form associated with an absence of the ability to relate forms, =relativist (Basseches, 1984, p. 204).

The Director surmises that although Basseches' findings do not include a pattern of endorsement favoring motion and metaform over form and relationship, as found in the present study, it would be highly instructive to understand better how, what Basseches found, might shed light on Table IV.3.

**

According to Basseches (1984, pp. 188-189), interview material characterized by a nonformalist configuration of schemata emphasizes motion and relationship over form and transformation. The notion in such interviews is that "everything is (always) changing," or that "everything is connected with everything else." Such a configuration is "the most incompatible with formalism" in that "the schemata relating to the recognition of form and its integration with the focus on motion do not seem to be well developed" (Basseches, 1984, pp. 188-189). As Basseches explains (Basseches, 1984, p. 189):

> This may be due to a complete rejection of formalism, or
> due to a lack of appropriate experience with "systems"
> thinking. W hatever the reason, the effect is that the
> critical   tools are not accompanied by comparable

> constructive   tools. It is in this respect that the
> organization of dialectical (i.e., transformational,
> O.L.) schemata among these subjects contains a significant
> gap. The dialectical concept of transformation is reduced
> to change, since transformation implies structure and
> structure is not recognized well by this group of subjects
> (my emphasis, O.L.)

Looking back to table IV.2, specifically the section on form:

FORM	Ability to grasp stability through motion, not of single elements, but their organization into a system; attention to organized & patterned wholes and conceptual contexts.
#9) Part of whole	Grasping phenomena as organized into patterns and larger wholes that can be described as systems or forms
#10) Equilibrated system	Grasping systems and forms in structural, functional, or equilibrational terms
#11) Contextual relativism	Seeing ideas & values as "frames of reference," part of a larger whole; relating elements to their context

the lack of "structure" in non-formalist process assessments referred to by Basseches, can be operationalized as manifesting in a lack of grasping phenomena as organized into patterns and larger wholes (schema #9), seeing structures (such as organizations or subunits thereof) as dis-equilibrated (schema #10), and grasping ideas as frames of reference relating elements to their context. More concisely, lack of form endorsement

can be rendered as a lack of constructive , in contrast to a critical, tools for form construction, since form schemata enable an individual to construct equilibrated wholes composed of elements that function as moments of an ongoing process. In terms of Table IV.3, individuals evidencing a lack of form endorsement (especially S2, S4, & S5) evidence difficulty in seeing stability issue from the ceaseless change of patterned wholes, since attention is fixated on the changing elements in favor of the entire form that maintains identity with itself (only) through change. The lack of form endorsements also strengthens a "hypervigilant" attitude (Moncata, 1999) that is based on high motion endorsements, reflecting an individual's constant vigilance for change, whether inside or outside.

In terms of effects on an executive's professional agenda, this kind of pattern presages a conceptualization of change in terms of which coaching interventions are

seen as having moved the executive from one vantage point or attitude to another, without that the systemic aspect of the motion has been clearly grasped by the executive. That is, the executive finds it difficult to realize that changes occurring in coaching could amount to more than "changes" in certain psychological traits, rather than implicating the form, or system, of self that gives rise to organizational functioning in the first place. For this reason, "constructive form-oriented and meta-formal schemata" (schemata #10, 17, 19, 20, and 21) are absent from the interview material (Basseches, 1984, p. 189), as can also be seen in Table IV.3. In sum, the findings of Table IV.3 largely reflect a non-formalist tendency, except that relationship schemata are as little endorsed as form schemata. For this reason, the label "non-formalist" takes on an added emphasis (viz., the absence of form endorsement, rather than only the preponderance of motion and relationship over form endorsements). Thus, motion holds sway over both form and relationship. For this reason, a better label for the pattern manifest in IV.3 might be "motionist," rather than non-formalist (especially for S1, S2, & S3).

The Director remarks that the second incomplete schemata configuration commented upon by Basseches, the formalist pattern, is entirely absent from the present group of executives. (As was shown, the mean endorsement of form in the executive group is the lowest of all categories, viz., only 15%). However, the Director finds it useful to take note of this configuration for the purpose of putting the findings into relief. In formalist interviews, "the focus on motion (change) or relationship is either equivocal or inconsistent" (Basseches, 1984, p. 195). Interview material characterized by a formalist configuration of schemata "builds directly on formal operations, adding metaformal schemata for dealing with multiple systems, and relations of systems." Although there are intimations of the limits of closed systems (Basseches, 1984, p. 186), there is an absence of the ability of conceiving of systems as being composed of interrelated elements whose equilibrium is challenged by ceaseless change, with the concomitant absence of the ability to conceive of one's own person as a context for promoting systemic transformations in one's immediate or enlarged task environment.

The Director points out that in the context of the professional agenda Interview, a formalist configuration is primarily focused on the self, parts of the self, co-workers, or subdivisions of the organization as systems with inviolate boundaries, and a more or less keen apperception of the limits of such closed systems in developments over time. As a consequence, coaching interventions are seen as playing out within   the
irm and seemingly safe boundaries of one's self system or, if they should change such boundaries, as bringing about changes rather than deep transformations of the system involved. For this reason, motion and relationship, although acknowledged, are thought to remain contained within systemic boundaries conceptualized in terms of stable forms. However, since formalists tend to conceive of forms as per se stable, rather than as stable by way of ceaseless change, their stability is rather precarious or "defensive." In accordance with a formalist configuration, the negotiation of boundaries either between the self-system and other, non-self systems, or between parts of the self, remains limited and inflexible.

The Director summarizes that none of the executives in the present group can be considered as a true formalist. (The endorsement of form by S1 (total=3) and S6 (total=3) is a weak one at best). Rather, we are dealing with a group of non-formalists either because their preferred endorsement is one of motion ("motionists" S1, S2, & S3), and/or because they lack form endorsements entirely (S2, S4, & S5). In short, in the present group of executives, the focus on form is either minimal or non-existent.

A third configuration of schemata singled out by Basseches is the relativist configuration which he encountered predominantly in regard to valuations, and therefore referred to as "value-relativist" (Basseches, 1989, p. 204). This form of a partial development of dialectical change conceptualization is seen by Basseches as a hybrid of the formalist and nonformalist patterns discussed previously. As shown by the case of S6 ([17,33,0,41(%)]); see Appendix C8 of chapter III), a relativist may be strongly focused on form secondary to motion. However, while able to conceptualize forms, he or she may fail to relate forms to each other. The individual is thus is unaware of constitutive and interactive relationships between forms, including subsystems of the self, and self and others (Basseches, 1984, p. 204):

> With the nonformalist, the value-relativist seems to
> share the focus on motion. ... W here the nonformalist's
> limits seem related to the unavailability of tools for
> structural conceptualization of aspects of processes
> or wholes, the value-relativist's limits seem to be
> not so much with respect to the process of conceptualization
> of form as in the relating of forms ... to one another.

In the axiological domain, relativist deficits of transformational thought have to do "with conceptualizing progress, with its value-laden connotations" (Basseches, 1989, p. 204). In the context of the professional agenda Interview, a relativist configuration
 of schemata entails the awareness that coaching interventions bring about change, but the change is not clearly directional and focused, but more "tactical" (S3=[29,22,0,0(%)]). Therefore, progress is considered

relative and purely subjective, rather than self-systemic. As a result, changes in the self-system are also not seen are carrying over into the larger organizational surround, and changes in role behavior do not carry over into changes of self, nor does the value of such changes have more than merely subjective relevance for the individual (see change story, Vignette S3, chapter III).

The Assistant remarks that the present group of executives seems to include two near-relativists of a different kind, S3 ([29,22,0,0(%)]) and S6 ([17,33,0,41(%)]). Both are relativists because constitutive relationships seem to escape them. However, while S3 shows minimal metaformal endorsements, S6 is, next to S5, one of the outstanding "metaformalists" of the group. The Director voices doubt that S6 can be truly characterized as a relativist. Although S6 finds it difficult to relate forms (such as his inner and outer functioning, or his subjective self and the organization) to each other (relationship endorsement=0), due to the high endorsement of metaformal schemata (=11), S6 is able to conceive of change in the direction of systemic transformation, an ability he shares with S5 ([0,0,50,44(%)]). However, in contrast to S5, who forcefully endorses the category of relationship (although associated with a perplexing absence of motion and form), S6 has a more intuitive than analytical understanding of interactive and constitutive relationship.

The Assistant remarks that perhaps recourse to the stage score of the executive group could shed some light on these paradoxical findings. However, the Director first wants to summarize her conclusions about the group purely on the grounds of schemata endorsement (link no. 2). She proposes the following interpretative summary of Table IV.3:

Finding #1: in its conceptualization of change, the executive group manifests a deficit in grasping stability through change (form schemata) and constitutive relationships (relationship schemata). This marks the executives as "non-formalists," with a tendency towards being "motionists."

Finding #2: collectively, executives' description of their present professional functioning and performance (PPPF) is "hypervigilant" (Moncata, 1999), i.e., weighted toward the conceptualization of motion. Their refined sense of change tends to thwart their effort to understand change as development, for which purpose they lack the constructive tools that form and relationship schemata provide.

Finding #3: collectively, executives' change stories (CSs) demonstrate systemic-transformational insight which is, however, not backed up by solid constructive tools provided by form and relationship endorsements. Executives appear as somewhat "hollow" metaformalists, as the donut-shape of Table IV.3 suggests. This suggests that the executives may be in the process of absorbing the lessons of coaching without having made them fully their own.

Finding #4: given that motion/metaform endorsements prevail over form/relationship endorsements, the overall indicators of cognitive-developmental flexibility and resilience of the executive group, as articulated by their metaformal endorsements, are to some extent suspect of "faking good" or of "therapeutic posture." By this is not meant that they are in any way consciously misleading anybody. What is rather meant is that their self-report verbalizations show a high degree of "speaking as the coach does,"

or "doing as the coach does," thus indicating a strong, but still unreflected, bond to the coaching alliance (Moncata, 1999). This finding will be taken up in the section on validity threats.

Finding #5: in terms of its overall cognitive-developmental flexibility and resilience, the group is at an entry level of optimal change conceptualizations. On account of its lack of constructive tools, especially form and relationship endorsements, the group is at risk for misconstruing development as mere change. Partly, the group is also at risk for a hypervigilant sensing of change, since the stability of form largely escapes it. The group shares this propensity which the coaching and executive development literature as well as the public-relations language spoken by human-resource services organizations, which is equally caught up in non-developmental practices, whether they are behavioristic or spiritualistic. As the Director remarks, between these two poles, there extends a vast non- or a-developmental no-man's land.

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Taking her cue from the Assistant, who wants to investigate links other than that between the components of executives' process assessment, the Director returns to the links remaining to be explored:

1. the two components of the expression (X and '[]')
2. the individual components of the expression '[]'

Now that we have discussed link no. 2, it is time to have at least a furtive look at link #1.

One hypothesis the Director finds suggestive is that process and structure assessment are linked in such a way that 'X' describes the telos of development, and '[m,f,r,t]' describes the resources or means available for reaching the telos, or reasons for losing the telos. In this linkage between structure and process, the process would be one for reaching a higher, or avoiding regression back to a lower, structure. Executives' cognitive-developmental resilience or vulnerability would thus have to do less with the developmental position obtained (X) than with the teleological surround of that position (X-1, X+1). For instance, S1 and S3:

_____

S1 = 4 {2,9}   [25,33,42,19]
S3 = 4 {0,9}   [29,22,0,0]

_____

while at present sharing the stage score, would on account of their different schemata endorsements have different vulnerabilities and strengths in regard to either slipping back to 4(3) or progressing to 4(5). This is the case although when taking into account link #3 ({}), both of them show a dominance of clarity over potential in their structural assessment. However, their potential for transcending stage-4 is weak (S1:p=2; S3: p=0).

The Assistant surmises that the capability of conceptualizing change in terms of the four categories of schemata is most likely the same as the capability to avoid stage regression or boost stage progression. After all, not regressing from a stage once reached, and progressing to a next higher stage, respectively, are processes of developmental change not unlike the change executives have conceptualized in their interviews. In order to progress from stage 4 to stage 4(5), thus "disidentifying" with one's self-authoring system at least for part of the time, an individual needs to be able to have insight into their own personality as a form. This entails conceptualizing one's own self-authoring system as having limited stability and thus benefitting from fluent boundaries that allow for interactive and constitutive relationship. Once one can conceive of being sustained by relationships that are logically prior to what one is related to inside or outside of oneself, one can not possibly remain embedded in one's own self system. However, should one not understand either form or relationship, one is

at a true risk for regressing to a lower stage (e.g., 4(3)). This risk shows up in the permeability of the boundaries an individual sets up between ME and NOT-ME, to the effect that internalized viewpoints, instead of being firmly distinct from their carriers in the social world, become weakened to the point where third parties are again needed to supply wholeness and value to one's own self system. One then has to protest, as does S4, that one has indeed "good boundaries," thereby indicating that one is using the institutional balance of stage 4 as a defense to remain where one is, rather than as a bridge to higher elaborations of the self, such as 4(5). In the attempt either not to

regress or to progress, the ability of endorsing motion, i.e., to grasp the interactive nature of mind and to restore movement where it is being denied, are crucial capabilities for an individual. In other words, only when motion, form, and relationship are all being grasped to some extent, can the individual function in a truly metaformal manner thereby grasping the limits of self-stability and resolving disequilibrium in the direction of making oneself the context of transformation of self and others. In this regard, the difference between:

_____

S1 = 4 {2,9}   [25,33,42,19]

S3 = 4 {0,9}   [29,22,0,0]

_____

may lie in the higher capacity of S1 to conceptualize form and relationship (33%,42%), compared to S3 (22%,0%). This could entail stronger resilience against slippage back to 4(3) as well stronger chances to advance to 4(5). Equally, in the case of:

_____

S2 = 4 {5,8}   [46,0,17,15]

S3 = 4 {0,9}   [29,22,0,0]

S6 = 4 {4,9}   [17,33,0,41]

_____

the higher ability of S2 to focus on the mental movement of interaction and sense correlativity (motion=46%) could give him the upper hand in avoiding regression to 4(3) or boosting progression to 4(5), when compared to S6 (17%). On the other hand, S6 might prevail for reasons having to do with his higher endorsement of metaform

(41%), at least as far as it is not due to some therapeutic posture. Another developmental advantage S6 might have over S2 developmentally lies in his higher capacity to conceptualize form (33% vs. 0%), which entails that S6 is closer to grasping his self-system as an equilibrated one that has certain limits of stability. Given that both S3 and S6 are equally bereft of a grasp of interactive and constitutive relationship, they both have a vulnerability that regards relating forms to each other. The "relativistic" burden they carry could, under certain circumstances, become a liability.

The Director summarizes that process assessments of executives tell something about the resources they have to avoid regression to lower, or boost progression to higher, stages. In short, the link between 'X' and '[m,f,r,t]' is not one between the process assessment and the stage score in the structure assessment (X), but one between the process statement and the teleological surround of the stage score, which entails either stage regression (X-1) or stage progression (X+1). In that sense, the process assessment [m,f,r,t] is a true 'risk and prevention,' or 'vulnerability,' measure of a prognostic nature.

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With insight into the links between the two assessment components now further advanced, and mindful of the remaining links:

4. the most highly endorsed elements of '[]' and X

5. the least highly endorsed elements of '[]' and X.

6. the process component '[]' and regressive or progressive

movement within the range of neighboring stage scores

we can briefly re-scrutinize Table IV.3 for indications of collective tendencies toward stage regression or progression in the present group of executives. The Assistant makes the following observations:

```
STAGE                  PERCENT OF
(TELOS)         OPTIMUM
                       [m=24,f=9,r=12,t=27]
_____
S1 = 4 {2,9}       [25,33,42,19]
S2 = 4 {5,8}       [46,0,17,15]
S3 = 4 {0,9}       [29,22,0,0]
S4 = 4 {3,5}       [21,0,1,26]
S5 = 4(5) {7,4}    [0,0,50,44]
S6 = 4 {4,9}       [17,33,0,41]
Group average    [23,15,18,24]
_____
```

Observation #1 : S2, S4, & S5 are vulnerable to stage

> regression or delay in stage progression on account of
> their lack of endorsing FORM, which is exacerbated
> in S2 by his being hypervigilant regarding motion

Observation #2 : S3 & S6 are vulnerable to stage regression

> or delay in stage progression on account of their
> lack of endorsing RELATIONSHIP, which is exacerbated
> in S3 by his failure to endorse metaform (generativity)

Observation #3 : S1, due to a relatively even endorsement of

> schemata (range=19-42%), is at risk for stasis at
> his present stage position. This prognosis is reinforced
> by S1's {potential, clarity} index, according to which
> the clarity of his stage score (c=9) overshadows his
> teleological potential (p=2).

Observation #4 : on account of the lack of form and

relationship endorsements in their process
assessment, the members of the present executive
group are all handicapped in making themselves
the context of the transformation of self and others.
The 'donut' shape of these executives' process
profile indicates their collective tendency, to be
hypervigilant regarding motion (change), and to

supplant authentic constructivism via form and
relationship endorsements by (unconscious and
unintended) 'faking good' regarding their
transformational capacity. This presages a
relationship to their coach that is not free of
'following,' rather than self-generated outcomes.
This fact legitimates warnings to the coaches, to
improve both transference and counter-transference
aspects in the coaching alliance in all cases concerned.

The Director lauds the Assistant for her impressive understanding of the methodology used to produce the empirical findings of this study.

2. Patterns Relating the Structure and Process Aspects of Executives' Developmental Status Quo

Let us continue to research link #1, between process and structure assessments of executives. In formulaic terms, this entails inquiring into the relationship between a stage score X associated with a potential/clarity index {p,c}, on one hand, and a process assessment [m,f,r,t], on the other. In regard to this relationship, three main questions arise:

(1) is there a privileged relationship between stage scores and dialectical-schemata endorsements, and if so, what is its nature

(2) is there a privileged relationship between stage scores and specific categories of dialectical-schemata endorsements, such as motion and metaform, and if so, what is its nature

(3) is scoring for purposes of the structure assessment of individuals different when carried out in the subject/object framework taken by itself, as against when carried out in the context of the DSPT ^{TM}.

The Director points out that the first question has already been broached in the previous section (IV.1). There, it was hypothesized that process assessments in the DSPT ^{TM} are not predictive of a specific stage score but of the travails and successes an individual experienced in moving within the teleological range (X-1, X, X+1) of a particular stage score. In short, process statements prognosticate the degree of cognitive-developmental flexibility, or lack thereof, needed for an individual to maintain, regress from, or transcend, a specific stage score (ontic-developmental level). When, in light of this hypothesis, we inspect Table IV.5a, which ranks executives in terms of their ontic-developmental level, and secondarily according to their potential (rather than their clarity) index associated with that level:

Table IV.5a
Subjects S1 to S6
Ranked in Order of "Bits Beyond Stage 4"
(Potential Index) & Clarity Index

Subject Ranking	Single Overall Stage Score	# Bits > stage 4 (Potential Index)	Clarity Index
S5	4(5)	7	4
S2	4	5	8
S6	4	4	9
S4	4	3	5
S1	4	2	9
S3	4	0	9

we find that the implicit ranking of executives is as follows: (1) S5, (2) S2, (3) S6, (4) S4, (5) S1, and (6) S3. This entails that 5 of the 6 executives in the group who have been assigned an outwardly identical stage score, not only are articulating it in different ways, as shown by their process assessment; they can also be ranked according to their potential for transcending their present ontic-developmental level (potential).

Regarding the second question, of whether specific categories of dialectical-schemata endorsements (e.g., motion, form, relationship, or metaform) have a privileged relationship to stage scores, we have to remember the fact, shown in Table IV.3, above, that executives' change stories (CS) show a

preponderance of metaform endorsements, while their accounts of their present professional performance and functioning (PPPF) are weighted in favor of the schemata in the category of motion. W hen we now consider Table IV.5b, in which the total endorsements by executives of motion and metaform schemata in change stories are tabulated:

Table IV.5b
Summary of Structural Indices
of Executives' Change Story
(Schemata Assessments Specific
to Statements about Coaching)

Executive	Motion	Form	Relation	Metaform	S/O Stage Score for Change Story	Single Overall Stage Score
S1	#4[1] total=1	#11[3]	#12[3], #14[[1]	#24[1] total=1	n.a.	4 {2,9}
S2	#5[1], #8[3] total=4		#15[3]	#24[3] total=3	n.a.	4 {5,8}
S3	#6[2] total=2			total=0	n.a.	4 {0,9}
S4	#1[3] total=3		#13[1]	#16[1] #24[3] total=4	n.a.	4 {3,5}

S5	total=0		#15[3]	#16,18, 21[3]; #24[1] total=10	n.a.	4(5) {7,4}
S6	total=0			#17[2] #18[2] total=4	4x6 4(5)x2 4/5x1	4 {4,9}
Totals	10	3	11	22	(9)	

we do not, at first sight, find any obvious pattern between the stage score on the outer right, and the second (motion endorsements) or fifth columns of the table (metaform endorsements). (The sixth column accounts for the special case, of S6, where change story statements were made in the context of the subject/object interview.) However, when we then rank-order executives in terms of their stage score indexed by their associated potential/clarity index (X{}), as shown in Table IV.5c, below, and associate the stage scores, first, with the patterns of schemata endorsements in the metaform, and then with the pattern of schemata endorsements in the motion, category, we do indeed find some interesting patterns.

Table IV.5c
Summary of Schemata Endorsements
in Executives' Change Story
Following the Ranking of Subjects
in Terms of their Indexed Stage Score

Subject	Motion	Form	Relation	Metaform	S/O Stage Score for Change Story	Single Overall Stage Score
S5	total=0		#15[3]	#16,18, 21[3]; #24[1] total=10		4(5) {7,4}
S6	total=0			#17[2] #18[2] total=4	4(5)x5 4/5x4 5/4x1	4 {4,9}
S2	#5[1], #8[3] total=4		#15[3]	#24[3] total=3	n.a.	4 {5,8}
S4	#1[3] total=3		#13[1]	#16[1] #24[3] total=4		4 {3,5}
S1	#4[1] total=1	#11[3]	#12[3], #14[[1]	#24[1] total=1	n.a.	4 {2,9}

S3	#6[2]			total=0		4 {0,9}
	total=2					
Totals	10	3	11	22	(10)	
%	25%			50%		

As seen in Table IV.5c (which combines Tables IV.5a and IV.5b), the rank-ordering of executives in terms of their structure assessment (indexed stage scores) shows an obivous association with the total metaform endorsements (5th column from left), but not with the total motion endorsements of executives (2nd column from left). When we inspect the association of subject ranking and total metaform endorsements, shown in Table IV.5d, more closely:

Table IV.5d
Association of Indexed Stage Scores
with Metaform and Motion Endorsements
in the Change Story

Subject Ranking	Single Overall Stage Score	Total Metaform Endorsements	Total Motion Rndorsements
S5	4(5) {7,4}	10	0
S6	4 {4,9}	4 (+ 9 S/O scores)	0
S2	4 {5,8}	3	4
S4	4 {3,5}	4	3
S1	4 {2,9}	1	2
S3	4 {0,9}	0	2

we notice that as we descend toward lower indexed stage scores (i.e., from S5 to S3), the total number of metaform endorsements declines regularly (from 10 to zero), except for a slight irregularity in the sequence of S2 (metaform=3) and S4 (metaform=4). When we search for similar associations between subject ranking and total motion endorsements (which in change stories occupy second place; see Tables IV.3 and IV.5b), we do find that the latter half of the sequence of motion endorsements declines with the associated subject ranking, but that this diminishing set of total change-story related motion endorsements is not as unequivocal as is the case for total change-story related metaform endorsements.

Since it is executives' change story that constitute primary evidence for "transformative effects of coaching on executives' professional agenda," and since executives primarily conceptualize such effects in terms of their total metaform, rather than motion, endorsements, the finding regarding the association of subject rankings (according to indexed stage scores) and totals for metaform endorsement in the change stories indicates that there is a relationship between the ontic-developmental level of executives, as indicated by indexed stage scores, on one hand, and the transformative effects of coaching on their agenda, as expressed by the totals of metaform endorsements, on the other.

The Director remarks that the best way to articulate the above relationship is to formulate that the strongest effect of coaching on his/her professional

agenda is reported by the subject with the highest stage score (S5; metaform total=10), while the lowest effect is reported by the subject with the lowest stage score (S3; metaform total=0). In fact, there is a

near-perfect alignment of decreasing stage scores (when indexed by

potential vs. clarity), on one hand, with decreasing endorsements of metaform, on the other. When inspecting the association between subject ranking and motion endorsements in Table IV.5d (outer right), we find a much less compelling association between structure and process assessments, in that at the level of the highest stage score, motion endorsements do not occur, while they do appear later in the hierarchy of stage scores.

When we continue to search for associations between structure and process assessments (Table IV.5c), we do not find any further clues as to the relationship between the two assessments, as substantiated in Table IV.5e:

Table IV.5e
Association of Indexed Stage Scores
with Form and Relationship Endorsements
in the Change Story
(Source: Table IV.3)

Subject Ranking	Single Overall Stage Score	Total Form Endorsements	Total Relationship Endorsements
S5	4(5) {7,4}	0	3
S6	4 {4,9}	0	0
S2	4 {5,8}	0	3
S4	4 {3,5}	0	1
S1	4 {2,9}	3	4
S3	4 {0.9}	0	0

In answer to the second question, above, the Director concludes from these findings that one can speak of a privileged link existing between the ranking of subject's structural-developmental assessment in terms of indexed stage scores, on one hand, and subjects' metaform endorsements in the change story, thus of transformative effects of coaching on their professional agenda, on the other. As we proceed from associations with motion to form and relationship endorsements, these associations appear less and less lawful and compelling. The Director proposes to substantiate this finding further by researching the associations between subject rankings in terms of indexed stage scores and metaform and motion endorsements in executives' description of their present professional performance and functioning (PPPF), as well as total (CS+PPPF) motion, form, and relationship endorsements (see Table IV.3).

Selecting for inspection just the motion and metaform endorsements associated with executives' present professional performance and functioning and their total

schemata endorsements, tabulated in Table IV.5f:

Table IV.5f
Association of Indexed Stage Scores
with Metaform and Motion Endorsements
in Executives' PPPF and CS/PPPF Totals

Subject Ranking	PPPF motion	PPPF Metaform	Total CS/PPPF	Total CS/PPPF
S5	0	2	12	0
S6	4	7	11	4
S2	7	1	4	11
S4	2	3	7	5
S1	5	4	5	6
S3	5	1	1	7

we find, as expected, a near-perfect association between indexed stage scores and total metaform

endorsements in column 4 of the above table. However, no associative patterns of the same clarity linking

structure and process assessments exist for other associations. Although, given the fact that motion

endorsements predominate in executives' description of their PPPF (present professional performance and

functioning), we would expect to find a pattern of association between their PPPF totals for motion, or their

CS/PPPF grand totals for motion, on one hand, and indexed stage scores, on the other, such is not the

case. The total findings pertinent to answering question (2), above, are summarized in Table IV.5.g, below:

Table IV.5g
Equivalence of Schemata Endorsements
with Indexed Stage Scores
in Change Story, Professional Agenda Description,

and   CS/PPPF Totals

Schemata Endorsement Within Executive Group	Equivalence of Schemata Endorsements with Indexed Stage Scores	
Change story metaform	Yes	<==
Change story motion	No	
Change story form	No	
Change story relationship	No	
PPPF metaform	No	
PPPF motion	No	
PPPF form	No	
PPPF relationship	No	
Total CS/PPPF metaform	Yes	<==
Total CS/PPPF motion	No	
Total CS/PPPF form	No	
Total CS/PPPF relationship	No	

In short, while there exist patterns of association between metaform endorsements and indexed stage scores, both for the change story, and total CS/PPPF schemata endorsements of executives, no such patterns are in existence for other associations between executives' structure assessment and their process assessment. The Director therefore concludes that her previous statement regarding the existence of a privileged link between indexed stage scores (i.e., structural-developmental level) and metaform endorsements in change stories is valid, and is moreover substantiated by the equivalent associations between indexed stage scores and total metaform endorsements for the professional-agenda interview with executives (total of CS & PPPF endorsements) as a whole.

The Director summarizes that effects on executives' professional agenda,

articulated in terms of metaform endorsements, are aligned with their respective (indexed) stage scores, while those articulated in terms of motion are not. This outcome, which links together the two DSPT ^{TM} components, permits the conclusion that executives' reports of transformational effects of coaching on their professional agenda (whose privileged articulation is that in terms of metaform endorsements (see Table IV.5) is a reflection of their developmental position (calibrated in terms of an indexed stage score), it being impossible to tell whether this position preceded or followed the coaching.

As a result, whether ontic-developmental status determines transformational effect, or transformational effect determines ontic-developmental status quo, remains undecidable. (That is,

transformative effects are either a reflection of executives' developmental status quo, or they are factors in the emergence of that status quo.) The conclusion thus is that highly developed individuals may report transformational effects of coaching due to their being highly developed, i.e., due to being receptive to changes coaching provides, and sensitive to transformational effects when they occur, while less mature individuals, even if they "undergo" transformative coaching effects, fail to be sensitive to them, or unable to report them.

In short, the alignment of stage scores (structure assessment) with metaform endorsements (process assessments) appears to be a special case of process/structure equivalence. No other than stage-score/metaform endorsement associations have been found in this study. The fact that metaform endorsements alone show a pattern associated with indexed stage scores indirectly corroborates the finding that schemata endorsements generally are not predictive of stage scores, but rather point to vulnerability (X-1) and resilience issues (X+1) in the teleological range a stage score is by definition embedded in, which comprises the immediately neighboring stage scores (e.g., for stage 4, 4(3) and 4(5)). To the extent that this finding is valid, it can be said that the DSPT ^{TM} is primarily a prognostic, not merely a diagnostic, tool.

Given this complex answer to the central question of this study, whether there exist "transformative effects of coaching on executives' professional agenda," the conclusion has to be that the question itself is equivocal. The question is naive, since it does not distinguish between coaching effects that are generated, and the ability of coachees to sense and/or articulate them. Put differently, the answer to the question depends on how highly developed the individual is that answers the question. Consequently, the answer does not regard some absolute effect that is independent of the meaning-making of the coachee (which, we assume, depends on his or her ontic-developmental position), but depends on the coachee's ability to make meaning of coaching effects as transformative of his or her professional agenda.

As initially and naively posed, the question (whether there are transformative, i.e., developmental, coaching effects) presupposes answers to the following, more precise, questions:

a. are executives of a certain developmental status prepared to experience
        transformative effects in coaching?

b. are executives able to be sensitive to transformative effects in
        coaching when they occur?

c. are executives able to report transformative effects in coaching
        given their developmental status quo?

<center>***</center>

The Assistant remarks that links #1 to #3 have been well researched in the previous. However, we are still unclear about the relevance of links #4 to #6 mentioned above. These links are the following:

4. the most highly endorsed elements of '[]' and X{}

5. the least highly endorsed elements of '[]' and X{}.

6. the process component '[]' and regressive or progressive

movement within the range of neighboring stage scores.

The fourth and fifth links together regard the question whether there are patterns linking the indexed stage score, on one hand, and the most or least highly endorsed schemata, on the other. The sixth link refers to the issue of whether depending on the nature of the cognitive disequilibrium expressed by the process profile of an executive, one can predict regressive or progressive movement within his or her teleological range surrounding the indexed stage score. To answer these questions, the Director points to the following table:

Table IV.5h
Association of Indexed Stage Scores
with Subjects' Process Profile
in Terms of Least and Most Endorsed Schemata Categories

Subject	Stage	Least Endorsed Link #4	Most Endorsed Link #5	{p,c}	Dialectical Schemata Endorsements	Resilience (+) or Vulner- ability (-) Link #6
S5	4(5) {7,4}	Motion, Form	Metaform	$p > c$	Uneven	+
S6	4 {4,9}	Relation	Metaform	$p < c$	Uneven	-
S2	4 {5,8}	Form	Motion	$p < c$	Uneven	-

S4	4 {3,5}	Form, Relation	Motion	p < c	Uneven	·
S1	4 {2,9}	Metaform	Motion	p < c	Even	·
S3	4 {0,9}	Relation	Motion	p < c	Uneven	·

As can be seen, when we link the ranking provided by indexed stage scores (in terms of potential > clarity) with the least and most endorsed classes of dialectical schemata underlying the process profile of executives, taking into consideration (1) the stage index {p,c} and (2) the evenness (or lack thereof) of schemata endorsements, we can prognosticate the likelihood of vulnerability versus resilience in these individuals' future course of ontic development. We might hypothesize that S5, given that in his stage score potential dominates clarity ({7,4}), has the best chance of advancing toward a more mature level of ontic development. In the remaining cases, the distinction between regression to a lower stage position (4(3) under circumstances of hardship and stress, or alternatively, developmental arrest at the stage now attained, cannot easily be made. Clearly, in a succession planning situation, this prognosis could be helpful in selecting from a group those executives with the best cognitive-developmental potential for mental growth.

<div align="center">***</div>

According to the Director, we have answered two of the three questions topical in this section. She reminds us that the third question regards a methodological finding made in this study. The question regards the process by which structure assessments are formulated in a subject/object framework that is separate from the DSPT ^{TM}, versus assessments formulated in the context of the DSPT ^{TM}. Findings regarding this topic shed light on the specificity of the developmental structure/process tool, viewed in contrast to the two independent methodologies it conjoins.

As shown by the structural summaries in chapter III, as well as the recommendations to coaches below (chapter V, subsection 3.4, & Appendix D1), scoring as well as interpreting subject/object stages undergoes a subtle shift within the DSPT ^{TM} framework. W hen comparing my own scorings to those of a second rater, I noticed that in assessing the strength of executives' self-authoring stance, she paid primary attention to 3-ish residuals, while I consistently tended to favor indications of a 5-ish transcendence of stage 4, and therefore scored higher (and at times too high) under the influence of strong metaform endorsements in executives' dialectical-schemata framework. Aside from the fact that my interrater, who is an experienced subject/object interview administrator as well as scorer, did not have available to her the second, professional-agenda interview, nor, of course, the dialectical-schemata scorings deriving therefrom (and also had not met the executives in person, which for scoring interviews accurately could

actually work to one's advantage), the interrater's notion of stage seemed to be closer to that of "position," while mine seemed closer to that of "transitory level" or "telos." Since I had scored the dialectical-schemata interviews first, I found myself giving interviewees the benefit of the doubt regarding 5-ish tendencies wherever their metaform endorsements seemed to warrant such action, and not only out of lack of experience with subject/object scoring. This way of scoring derived from my understanding that to endorse schemata in the metaformal category requires linking motion, form, and relationship schemata even where those were not always explicit in the respective dialectical-schemata configuration of the individual. (For instance, there might be a lack of form and relationship endorsements in the presence of high metaform endorsements, as is the case for all executives with the exception of S1.)

Procedurally, the growing insight that the processes underlying an individual's dialectical-schemata configuration are identical with those that make an individual attain, regress from, or transcend, a stage position, became the foundation for my interpretation of the DSPT ^{TM} as not only an assessment and monitoring, but also a

prognostic, tool. While I found it hard to relate stage positions to the processes underlying the concrete organizational functioning of individuals without turning these positions, in my view illegitimately (see Appendix A3), into psychological or personality sketches, the information contained in executives' dialectical-schemata configuration, especially when seen as intrinsically linked to individuals' stage-teleological range, seemed a far more promising way of discerning strengths and vulnerability in a particular profile.

In fact, I found it felicitous that stage scores, as defined by subject/object theory, only make sense in relationship to, and thus in dependency upon, each other, and that ultimately what matters in Kegan's stage framework is not an absolute stage score attained (X), but the individual's "teleological range," thus the tendencies of the individual to either regress from (X-1), persist at, or transcend a particular stage (X+1). Thus, while the dialectical-schemata configuration of an executive, when linked to the subject/object framework, is in no way predictive of the absolute stage score the individual may attain, it is indeed highly predictive of the travails and successes the individual might encounter in trying to transcend, or hold on to, their present stage. In short, the dialectical-schemata configuration is a prognostic device regarding developmental strengths and vulnerabilities, and is simultaneously associated with concrete issues of organizational functioning, while the stage score defines a developmental telos more than a static position.

To summarize, within the framework of the DSPT ^{TM}, dialectical-schemata and stage scoring as well as scores (i.e., the procedure as well as its outcome) stand in a dynamic relationship, in the dialectical sense of partial systems that are intrinsically and constitutively related to the developmental telos both of them strive to specify. Accordingly, it is my conclusion that there is no merit in keeping dialectical-schemata and subject/object scorings watertightly separate in the name of some abstract (and moreover undialectical) "interrater reliability" that refers to these assessment methods as separate tools, in contrast to DSPT ^{TM} ingredients. As a result, one can utilize both of these methods'

strengths and limitations in the service of a more dynamic, as well as a prognostically relevant, assessment procedure, in terms of which the dialectical-schemata score is a process score that defines how a developmental structure (or stage) score is either maintained, regressed from, or transcended. In my view, this merger of the two adult-developmental methods gives the DSPT ^{TM} a subtlety and relevance for organizational assessments that is absent from both methods taken separately.

This concludes chapter IV.

Chapter V

Discussion

Observation by itself will never yield a concept
such as ego development nor distinguish signs of
ego development from signs of intellectual
development, or psychosexual development, or even
adjustment. Ego development is an abstraction,
and the essence of science is that abstract ideas
guide observations, and observations in turn
alter abstract ideas. ...
If one depends entirely on empirical methods, one
is at the mercy of confounded variance; so theory
must always temper reliance on data, even more so
because our data inevitably contain gaps.

Lê Xûan Hy, J. Loevinger (1996, pp. 3, 7)

In this concluding chapter, it is my intention to present the meaning and relevance of the most important results of this study, and to entertain some thoughts on the limitations as well as possible extensions of the new methodology put in place. I have three main goals.

First, I want to remind the reader of the purpose of this study, putting in perspective what the research questions have yielded, and how the methodology used to answer them has worked out. This entails also putting in perspective the threats to validity of the findings. Second, I want to define more clearly the specific nature, limitations, and extensions of the new methodology that have emerged in this research. This entails outlining more precisely in what way the DSPT^{TM} goes beyond its constitutive subject/object and dialectical-schemata components, respectively; what makes the instrument a promising organizational assessment tool, especially when brought on-line; and what is its discriminant validity compared to existing tools, both for work with individuals and groups. Third, I want to link the study and its findings back to the conceptual context from which it arose, formulated in chapter I and its Appendices (A1 to A4), thereby shedding light on the implications of the DSPT^{TM} as well as the empirical findings for issues of adult development in the workplace, executive development, and executive coaching. Given these intentions, the chapter has the following four sections:

1. Elucidation of the Empirical Findings

    1. Purpose, Research Questions, and Conjoint Methodology

    2. Discussion of the Empirical Fndings

    3. Validity of the Findings and Validity Threats

2. The DSPT^{TM} : A Tool for Monitoring Executive Development
with Regard to Cognitive Fexibility and Developmental Vulnerability

1. Review of Empirical Fndings

       1.1. Purpose, Research Questions, and Conjoint Methodology

       This study has been undertaken in order to find out whether executive coaching could be said to result in adult-developmental changes beyond having adaptational or learning effects. Changes of particular interest have been those in, and of, executives' professional agenda, a term used to indicate the set of basic assumptions (Schein, 1992) executives make in defining and exhibiting their self-developmental mandate, role functioning, approach to tasks, performance, and self/role integration (see

Fig. 1). The notion has been that these aspects of executives' organizational functioning ultimately determine their relationship to work. It has been thought that as a set, these assumptions could be seen as a "theory in use" directing executives' observable behavior and learning. I have hypothesized that if one could show that executives participating in coaching experience adult-developmental effects, and not just learning effects, one might be able to utilize coaching in furthering executives' adult-developmental maturity along with their professional career, knowing full well that these aspects of their life are strictly inseparable.

It has been the purpose of this study, to clarify the distinction between two interrelated, but not often linked, notions of human development. The first notion is that of development brought about by human effort. I have referred to it as "agentic." The second notion is that of development as it manifests in lifespan maturation. This notion has been called "ontic." The distinction between the two aspects of human development calls up the dialectic of nurture and nature, especially in a change effort such as coaching which is explicitly geared to promoting development. Over and above the individuals to be "developed," the individuals doing the developing (here coaches) and designing the mechanisms and catalysts used in the change effort (e.g., the human-resources service firms) are equally involved. In light of the complexity of developmental issues, it has been a further purpose of this study, to elaborate a methodology which can make adult-developmental effects of agentic change efforts such as coaching, empirically evident. Towards this end, I have suggested in chapter II, to conjoin two previously independent adult-developmental assessment methods, that informed by Kegan's (1982; 1994) and by Basseches' theories (1984; 1989), respectively. The methodology has been designed to link a determination of ego level (stage) to the formulation of a prognostic change profile, and to yield a combined structure and process description of an individual's developmental status quo.

The conjoining of the two developmental descriptions has indeed given rise to a new adult-developmental assessment tool. The new tool reinforces Kegan's notion that the transitions between stages are of a relevance equal to that of the stages, or equilibria, linked together themselves, while simultaneously reinforcing Basseches' perception that reaching a new equilibrium entails dealing with conflict and disorganization, and may take place via developmental pathways that differ between individuals (or groups) (Basseches, 1984, p. 194). As I initially surmised, the methodology's twofold focus-- of determining the telos of adult development, and of specifying the processes leading to, or away from, that telos,--can indeed achieve greater specificity and applicability than each of the two assessment methods employed separately, especially with regard to developmental prognosis. In my judgment, the DSPT^{TM} is apt to show its true relevance when used at different time points, i.e., longitudinally.

While the general conception of such a conjoint methodology was already available in chapter II, the author could not fully foresee the peculiar nature of the synthetic methodology that would emerge

without undergoing the discipline imposed by having to elaborate the findings the conjoint methodology produces, outlined in chapters III and IV. For this reason, it is to the point to speak of two kinds of findings this study has yielded, first, the empirical findings yielded by the DSPT ^{TM}, and second, the DSPT ^{TM} as a methodology in its own right.

I can report in this chapter that the conjoint methodology envisoned has done more than keep its promise. The methodology describes not only the ontic-developmental level of an individual, understood as a telos striven for, but also a specifies the processes engaged by the individual in either attaining, regressing from, or transcending that telos. The first description has been referred to as a structure assessment, while the second, complementary one, has been called a process assessment. The idea behind these labels is that any developmental structure, beyond serving as a platform for articulating some present cognitive equilibrium, requires, for its complete specification, an associated description of the mental processes that enable the platform to emerge, maintain itself, or give way to a more differentiated and comprehensive platform. While Kegan's subject/object methodology is highly apt in describing developmental teloi as "stages," it is weak in regard to the second requirement named above, to elucidate the actual processes that bring specific stages into being, whether

one wants to understand them as dialectical schemata, "thought-tactics," skills, or otherwise. It is in regard to the need of a developmental process specification that Basseches' "non-stage" dialectical-schemata framework is most effective. The newly created methodology, created for this study, owes its name to the fact it combines structure and process descriptions of developmental status quo. Thereby, the methodology acquires the additional feature that its statements are to a great extent prognostic, rather than merely diagnostic. In short, the new methodology combines an end-state analysis with a process analysis.

A critic might say that the distinction between a structure and a process assessment is a relative rather than an absolute one, in the sense that what is seen as an explication of structure, and is thus process, could always be driven further by taking the process on as a structure to be deconstructed into further processes. This argument has to be granted. For instance, if one were interested in refining the process analysis of developmental stage structures further than the dialectical-schemata framework permits, by inquiring, e.g., into the "processes" needed to "endorse metaformal schema #21," then indeed what is now called a process assessment would become a structure assessment, and the description of mental skills needed to endorse schemata would become the new process description. Since, however, organizational uses of the present methodology would not foreseeably benefit from a mental-skills analysis in the sense of developmental psychology (Fischer, 1980; Fischer & Pipp, 1984), it is sufficient to remain at the level of analysis chosen for the DSPT ^{TM}.

When applying these ideas and outcomes to adult development in the workplace, their salience is boosted. Organizational and management psychologists are not typically interested in diagnostic findings

per se, but only in findings that also have a prognostic dimension. In other words, the power of an assessment tool lies in its ability to predict future outcome (Moncata, 1999). In contrast to practitioners of clinical psychology, whose primary purpose is largely "repair work," practitioners of organizational and management psychology are searching for ways to instigate and direct agentic change efforts that lead beyond a given status quo. These practitioners need tools that go beyond producing merely diagnostic statements, and enable them to predict the resilience and

vulnerability of individuals striving to reach more comprehensive developmental teloi.

Seeking insight into the outcome of agentic executive-developmental efforts is an important example of trying to prognosticate future development. Turning away from the by now over-emphasized question of HOW TO DO coaching to the more important

question of W HAT DEVELOPMENTALLY HAPPENS IN COACHING, this study has wanted to do a kind of "knowledge acquisition" that is rich enough to probe what mental processes executives employ to make sense of their personal experience in the work place, and to articulate in the real world the "theories in use" (Argyris, 1987) they instantiate. With this goal in mind, I have formulated two main research questions:

1. What changes to their organizational performance and functioning do executives report as a result of participating in coaching?

2. Are some or all of the reported changes ontic-developmental, or are they all merely adaptive, i.e., based on learning?

Chapter III has been devoted to answering the first research question, in the form of six individual vignettes. The vignettes comprise content statements that make it clear what the effects experienced by executives-in-coaching typically are. However, chapter III also comprises two kinds of structural analysis of these content statements that probe the teleological and processual underpinnings of the contents reported by executives. This distinction between content and structure, which is everyday fare in cognitive science, has been made in order to achieve a deeper understanding of what the contents elicited by the interviews MEAN to the individual describing them, --the term "meaning" understood in the sense of ontic-developmental theory (rather than of "subjective meaning"). The first kind of structural analysis, called a subject/object analysis, looks at what an individual's present WORLD VIEW is, on the basis of which the contents are reported. The second kind of structural analysis, called a dialectical-schemata analysis, looks at what might be the MENTAL PROCESSES that actually undergird, support, and bring about, that world view.

In chapter IV, I have proceeded, in good cognitive science fashion, from reporting and inspecting content statements to asking whether there are structural patterns that underlly individual executives' reports presented in chapter III. This step away from surface and content has entailed moving from

findings about individual executives to collective findings of the executives considered as a group. This abstraction from individual findings has provided more than a single benefit. First, it has made it possible to discover commonalities between the executives interviewed. Second, it has made it possible to compare executives to each other, and to compare their functioning to the average level of group performance and functioning. Third, it

has sensitized the researcher, and hopefully also the reader, to the links between structure and process assessments to an extent that the study of single executives would not have supported. In this way, it has been found that there is indeed an equivalence relationship between structure and process assessments of executives.

These three benefits together have accrued to a fourth, essential one: they answer the second research question, to what extent changes effected by coaching are ontic-developmental. The rough answer to the question, further elucidated below, is that the changes executives report are at least in part ontic-developmental, in contrast to adaptational, changes. Although it is not conclusive, the study has put in place a methodology by which the second research question, above, can be answered with certainty once a longitudinal approach to the question is taken. For this to happen, the methodology needs to be employed at two separate time points (with an adequate distance of 6 months to a year between them), to judge ontic-developmental progress reliably. This time span is a minimum for measuring ontic-developmental changes.

***

1.2 Discussion of the Empirical Findings

The findings of this study are of two kinds: empirical and methodological. Although these two types of findings are closely linked, in that the former are a product of the latter, it makes sense to separate them artificially for the purpose of further discussion.

As the reader may recall, the material for this study is provided by two interviews. The first interview is called the subject/object interview, the second, and professional-agenda interview, or more generally, the dialectical-schemata interview. The first interview elicits reflections on experiences in the workplace, while the second prompts for reflections regarding executives' professional agenda. In chapter III, reflections on the professional agenda have been partitioned into two parts: those regarding executives' present professional performance and functioning, and those regarding his or her change story.

In light of the second research question, regarding developmental effects of coaching, one would expect executives' change story to be most revealing. However, when one peruses the summary of executives' individual change stories in the six vignettes of chapter III, one finds that they constitute no more than the typical laundry

list of benefits that executives typically name when asked about effects of coaching. To demonstrate this, the reader is invited to consider the change story mini-statements listed below:

S1
01. more reflective
02. improved communication upwards
03. better able to get 'big picture' of organization
04. more aware of how perceived by others
05. has more empathy, not only professionally
S2
06. ability to act presidential
07. able to take others' perspective
S3
08. largely tactical, skill-focused
S4
09. is less defensive
10. has learned to ask for help
11. more sensitive to nonverbal communication
12. better balance of life and work
S5
13. better able to handle critical feedback & knowing its psychological entailments
14. learned that he is co-constructing the perception of him by others
15. less defensive: better scrutinized values of one's own
16. developmental changes in regard to values of leadership
S6
17. reduction of internal criticism
18. greater self-reconciliation and self-ease
19. better listener and communicator, including nonverbally
20. more effective as a leader
21. more empowering of others (generative).

When scrutinizing these formulaic summaries, one is hard-pressed to find ontic-developmentally revealing content. This is the case because a benefit of coaching such as "more reflective" can have a multitude of meanings depending on the stage position and process profile of the individual who has formulated the benefit. Except for the following statements:

4. more aware of how perceived by others

10. has learned to ask for help

16. developmental changes in regard to values

   of leadership

21. more empowering of others

that have a somewhat developmental flavor in the sense of subject/object analysis, nothing of ontic-developmental interest can be found in the list. Even the above four statements are, out of context with the subject/object interview, no more than possible pointers to how the executive formulating them may construct his or her

world.

This is not astonishing for several reasons. First, lack of context aside (which could be supplied by returning to the interview fragment from which the mini-statements are taken), clearly an executive will be able to report ontic-developmental changes only when he or she is at a developmental level where such changes can be, first, experienced, and second, reported. (For instance, an executive who reports that the effects of coaching have been mostly "tactical," like S3, is expressing the fact that for him, no ontic-developmental changes have occured through coaching, or else that he has "undergone" such effects but is unable to report them; see Vignette S3, change story, chapter III). Second, even if developmental effects were reported, it remains unknown until further probing what such effects "mean" to the person reporting them (i.e., how the person construes them), and thus whether such effects can be considered to be of ontic-developmental relevance. Third, even if one submitted all change stories of executives to a subject/object (i.e., stage score) analysis, which in this study has only been done for S6 (since he carried reflections about coaching effects into the second interview), one could not be sure on account of that analysis alone that the specific effects of coaching reported would by themselves constitute evidence of ontic-developmental advances. However, as shown by the subject/object scorings of change story statements made by S6 (see Table IV.5b, chapter IV), metaform endorsements such as #17[2] and #18[2] roughly correspond to a predominant stage score of 4.

Given the evidence of this structure/process correspondence, one might consider it a limitation of this study, that I did not scrutinize all change stories, contained in the first interview, from a subject/object-point of view (which, in harmony with chapter II, I have applied solely to the second interview). Regardless of this potential limitation, the important finding of this study is that the question of whether ontic-developmental changes occur in coaching is not differentiated enough to be fully answered. This is the case since the second research question as formulated does not take into account that transformative (developmental) effects of coaching are what they are only for the individual at a particular ontic-developmental position. In chapter IV, this

finding has been substantiated by the further, related finding that there exists a privileged association between indexed stage scores (X {p,c}), --where X is the stage score, and {p} is the potential for transcending that stage score, while {c} is the clarity with which it is expressed,--on one hand, and endorsements of schemata of the category

metaform, on the other. This association between structure assessment and process assessment for the group of executives interviewed is shown in the two middle columns of Table IV.5d, below. As can be seen, the ranking of subjects in terms of the indexed stage score corresponds to the ranking of the sums of total metaform endorsements the subjects in question have made. (For details on schemata of category metaform, and the meaning of schemata endorsement more generally, see chapter IV.2):

Table IV.5d

Association of Indexed Stage Scores
with Metaform and Motion Endorsements
in the Change Story

Subject Ranking	Indexed Stage Score	Total Metaform Endorsements	Total Motion Endorsements
S5	4(5) {7,4}	10	0
S6	4 {4,9}	4 (+ 9 S/O scores)	0
S2	4 {5,8}	3	4
S4	4 {3,5}	4	3
S1	4 {2,9}	1	2
S3	4 {0,9}	0	2

Considering that such an association of structure and process findings only occurs in the case of metaform endorsements (i.e., not in the case of motion, form, or relationship endorsements), and moreover only for change stories, not situation descriptions, as shown in bold and marked by arrows in Table IV.5g:

Table IV.5g
Equivalence of Schemata Endorsements and Indexed
Stage Scores in Change Story, Professional Agenda
Description, and CS+PPPF Totals

_____

Schemata Endorsement Within Executive Group	Equivalence of Schemata Endorsements with Indexed Stage Scores	

_____

Change story metaform	Yes	<==
Change story motion		No
Change story form		No
Change story relationship	No	
PPPF metaform	No	<==
PPPF motion		No
PPPF form		No
PPPF relationship		No

Total CS/PPPF	metaform	Yes	<==
Total CS/PPPF	motion	No	
Total CS/PPPF	form	No	
Total CS/PPPF	relationship	No	

one can draw the conclusion that there exists an equivalence relationship between structure and process assessments in regard to endorsed schemata of category metaform, both in change stories taken by themselves (Table IV.5d, chapter IV), and in change stories in combination with situation descriptions (Table IV.5f, chapter IV). Since metaform endorsements regard the ability of an individual, to describe change effects by synthesizing motion, form, and relationship schemata for the sake of grasping transformative change and the developmental resolution of disequilibria, this finding entails that for the executives interviewed in this study change stories have been the preferred context for articulating transformative coaching effects on their professional agend. W hen submitting executives change stories in their entirety to a dialectical-

schemata analysis (as has been done throughout), and taking into account the context in which utterances about coaching effects are placed by them, it is found that executives at a

higher developmental level in terms of their stage score (derived from the subject/object analysis of their second interview) report coaching effects by endorsing schemata in the category of metaform to a higher extent than executives at a lower developmental level. For example, an executive holding a stage score of 4(5) {potential=7, clarity=4}, like S5, is more likely to report transformative effects of coaching on his or her agenda than an executive instantiating a stage score of 4 {potential=0, clarity=9}, like S3 (see Table IV.5d, above). This finding suggests two straightforward, and two less straightforward but nevertheless reasonable, hypotheses:

Hypothesis I:

Transformative (ontic-developmental) effects of
coaching are experienced by individuals who are
ready for them in terms of their developmental
status quo. These effects do not depend as much on
the coach or even the coaching, as they depend on
the readiness of the coachee to be transformed by
coaching.

Hypothesis II:

It is conceivable that coaching has transformative
(ontic-developmental) effects, but never independently
of the developmental status quo of the coachee .
Transformative effects occur to the extent that the
coachee has sufficient potential for transcending
his or her present stage position. Therefore, not
even the best coaching can bring about
transformative effects if these effects are not
co-generated by the coachee in the coaching alliance.

The two hypotheses, above, give rise to the following two meta-hypotheses regarding the nature of
coaching-effect hypotheses:

Meta-hypothesis I :
Hypotheses about transformative effects of
coaching are primarily hypotheses about the
ontic-developmental status of the coachee ,
which in the DSPT ^{TM} is expressed by an equivalence
relationship between an individual's structure
assessment (stage score) and process assessment
(metaform endorsement).

Meta-hypothesis II:
Hypotheses about transformative effects of
coaching are secondarily hypotheses about
the ontic-developmental status of the coach ,
to the extent that such effects have been
engendered in the coaching alliance.

The first hypothesis says that in a non-longitudinal study as the present one, it is impossible to
separate transformative coaching effects from other developmental influences on the executives that
may equally have had transformative effects, as well as from the conditions in effect when coaching
was begun. Such effects thus depend on the readiness of the coachee to be transformed by
coaching on account of his or her advanced developmental level and its associated potential/clarity

index. The second hypothesis says that statements about transformative effects of coaching can not authentically be made without taking into account the developmental status quo of the coachee to whom they are ascribed, and that not even optimal coaching can bring about transformative effects if the coachee does not have a potential for transcending his or her developmental level, and thus is not able to co-generate transformative effects in the coaching alliance. In short, whether transformative coaching effects are experienced by executives or not, depends on the ontic-developmental preconditions that the executive brings to the coaching.

The first and second meta-hypothesis say that transformative coaching effects are primarily hypotheses about the ontic-developmental status of the coachee , whether assessed by a structure and/or a process assessment, and may secondarily be hypotheses about the ontic-developmental status of the coach . Considering the fact that transformative coaching effects are always co-generated by the two members of the coaching alliance, i.e., coach and coachee, it may be impossible to separate the transformative effects of coaching experienced and reported by executives from the transformative effects of coaching on the professional agenda of the coach, as well as the coach's own ontic-developmental position.

In short, the basis of transformative effects in coaching is the alliance established between coach and coachee, and not the ontic-developmental position of coach and/or coachee taken separately. This entails that when speaking of transformative effects of coaching on executives' professional agenda one is implicitly dealing with the issue of the ontic-developmental compatibility of coach and coachee.

***

In light of the previous discussion, I would summarize the crucial empirical findings generated by the present research in terms of nine determinations:

1. In contrast to descriptions of their present professional performance and functioning (PPPF) , which are focused around the category of motion, executives' descriptions of changes of their professional agenda due to coaching (CS) are focused around metaformal change (see Table IV.3, chapter IV). The relevance of this finding might be that while in their daily professional functioning, executives pay primary attention to the occurrence of inner and outer change, in the coaching alliance they tend to benefit from notions having to do with constructing new forms and systems (including their own personal system) out of old ones. However, it remains unclear why these two schemata (i.e., process) endorsements remain separate, as if a transfer between daily functioning, on one hand, and work in the coaching alliance, on the other, were not achievable by executives. This might point to a delay in manifesting effects of coaching in daily functioning, and would explain why executives' high metaform endorsements have a hollow ring of "talking like the

coach" around them. Motion-focused schemata, preponderant in executives' description of their present professional performance and functioning, are an inadequate basis for moving toward increased metaform endorsements. What is, rather, required are constructive tools that are embodied by form and relationship endorsements.

2. Changes reported by executives in their change stories as being a result of coaching, when assessed by a dialectical schemata, or process, analysis appear to be of a metaformal nature, and thus articulate developmental transformation, in contrast to mere change (motion).

3. The extent to which executives report metaformal, i.e., developmental, transformations in their change story, is correlated with their own ontic-developmental status quo, as articulated by the indexed single overall stage score explicating the developmental position they presently hold. As a consequence, reports by executives of transformational effects of coaching on their professional agenda, are a reflection of their own ontic-developmental status more than anything else.

4. The fact that there exists an equivalence relationship between ontic-developmental level (stage scores), on one hand, and processes hypothesized as making that developmental level possible (process scores), on the other, makes it legitimate to assume that the mental processes categorized in terms of dialectical-schemata analysis constitute the very processes that make attaining, maintaining, regressing from, and transcending, a particular ontic-developmental level possible. This equivalence relationship also confirms the methodological irrelevance of the distinction between "stage" and "non-stage" scores once it is understood that "non-stage" is just another name for process, and that stage scores not specified by the processes that undergird them remain vacuous, or in any case represent only the structural dimension of the developmental story.

5. The burden of supporting the mapping of ontic-developmental scores into a particular empirical domain, whether organizational or clinical, largely falls on the dialectical-schemata configuration, thus the process assessment, of an individual. This is the case since ontic-developmental levels defined by a teleological stage score have even less of a straightforward behavioral connotation than do the thought-forms or schemata individuals employ for making sense of the empirical world.

6. Taken by themselves, process assessments are merely diagnostic, as holds for structure assessments. W hat makes process statements prognostic of the ontic-developmental future of an individual is the fact that they describe cognitive-developmental dis-equilibria that undergird findings expressed by structure assessments. Therefore, the prognosis regards the light that the process assessment "throws on" the structure assessment. While taken separately, the two

assessments are "blind," when brought to bear on each other, one of them acquires prognostic capabilities that regard the future stability or instability of the other. In short, the "prognosis" resides in their intrinsic and constitutive relationship.

7. Cognitive-developmental disequilibrium, whether expressed by a stage score or an imbalance of schemata endorsements describing inner and outer change, is an indispensable transitional occurrence that underlies executives' continued adult development. This entails that cognitive disequilibrium, as expressed by the process statement [m,f,r,t], is not by itself a "deficit," but is the condition under which individuals suffer through their experiences on their path to an ontic-developmentally "higher" telos. Reaching higher developmental teloi cannot be forced by agentic change efforts. Rather, where along the lifespan trajectory an individual finds him- or herself ontic-developmentally, determines the effect on them of any agentic change efforts undertaken. Nevertheless, some change efforts, such as coaching, can, under the right conditions, especially of ontic-developmental compatibility with a coach, lead to transformative effects that facilitate reaching a higher ontic-developmental telos.

8. Since the conjointly structural and processual DSPT ^{TM} assessment of executives' ontic-developmental status quo is based on self-reports whose veracity cannot be guaranteed, it is conceivable that the findings of this study, however suggestive, are invalid. To provide sufficient evidence for transformative effects of coaching as being metaformal in nature and associated with executives' developmental status quo, a longitudinal study (using the present methodology) is required.

9. The fact that stories of transformative change told by executives depend on executives' ontic-developmental status quo, puts in doubt many of the assumed truths of the theory and practice of executive development, in particular, of executive coaching. This finding is made more explicit below, in sections 2 and 3 of this chapter.

***

1.3 Validity of the Findings and Validity Threats

As outlined in chapter II, there are three kinds of validity threat a study like the present one has to guard against: threats to (1) concurrent validity, (2) construct validity, and (3) predictive validity. In the present context, concurrent validity has two different meanings answering to two different questions, first, what is the mutually

supportive and reinforcing relationship between structural and process assessments within the DSPT ^{TM}, and second, what are supportive and reinforcing relationships linking the DSPT ^{TM} with other adult-developmental or executive-development assessment tools. The second meaning is dealt with in section 2, below, on the DSPT ^{TM}.

Regarding the first meaning, as shown in Table IV.5d of chapter IV, there exists a tendency for executives, to instantiate higher (indexed) stage scores wherever higher endorsements of metaformal schemata are also in place. To the extent that this metaformal capacity of executives is genuine, and not

an artifact of either a therapeutic posture in the coaching alliance or the interview process, the two DSPT^{TM} assessments are conceptually linked by a concurrency of endorsing a higher developmental potential. It stands to reason that an executive who shows the ability to transcend his or her embeddedness in the self-system (as indicated, e.g., in S5's 4(5) {potential=7, clarity=4}), would by the same token manifest an ability for endorsing metaformal schemata, whereas an executive with little or no such ability would have a low metaform endorsement count (as indicated, e.g., in S3's 4{potential=0, clarity=9}) This is so because when one considers an indexed stage score as a developmental telos (X), rather than as a level, it appears that the processes manifesting as metaform endorsements, are those that maintain the élan for higher teloi (X+1), or, in the absence of metaform endorsements, fail to maintain such an élan, thereby leading to stage slippage (X-1), or developmental stasis (X). In other words, schemata-endorsement processes are resources available to an individual for maintaining or transcending an ontic-developmental status quo (indicated by a stage score).

Another piece of evidence regarding the concurrent validity of structure and process assessments can be gleaned from the fact that, as shown in Table IV.5b, chapter IV, case of S6, moderate (rather than optimal) endorsements of metaform (i.e., #17[2]; #18[2]) are equivalent to a subject/object score of stage 4. However, this particular evidence regarding concurrent validity is slim, and further research in this direction is certainly indicated.

Issues of construct validity regard the question of whether the theoretical variables used in this study, i.e., stage and dialectical schemata assessments, correspond in some demonstrable way to empirically observable types of organizational functioning. The question here is what is meant by organizational functioning: either what is observable, or what is thought to underly observable behavior in terms of a professional agenda. In the first case, since deep-structure developmental markers have a multitude of ways to manifest in observable behavior, there is no one-to-one

correspondence between any of the markers used in this study and an anecdotal piece of behavior that one might observe, or claim to have observed, in an executive. In fact, mental dispositions as assessed by the developmental markers, cannot be observed at all, but only their observational sequelae (see the motto of this chapter). For this reason, the notion of concurrent validity, when referring to observables, is not to the point in this context. A more apt meaning of construct validity can be found in the supposition that a deep-structure developmental marker such as "stage 4" or "form endorsement=15%." describes mental dispositions of executives having to do with items of their professional agenda (e.g., how they will approach their task, set goals, see their self-developmental mandate, etc.). Section 3.4 and Appendix D1 of this chapter are full of evidence that there exists a relationship between structural and/or processual developmental markers, on one hand, and the cognitive-developmental flexibility of executives that is manifest in their behavior, on the other.

A note regarding predictive valildity is in order at this point. This kind of validity has to do with the ability to "predict" or "prognosticate" executives' adult development and/or organizational behavior on the basis of developmental markers represented in structure or process assessments. As shown in section 2, below, the prognostic power of the DSPT ^{TM} is entirely based on, or identical with, the predictive validity of its outcomes.

Despite considerable support in favor of the concurrent, construct, and predictive validity of the outcomes of this study, it is important to acknowledge one overriding validity threat that can neither be avoided nor ruled out. This threat, which equally touches predictive and construct validity, follows from the fact that the study is based on executive self-reports whose veracity the study cannot substantiate. In fact, despite the use of coaches as informants to the study, confidentiality requirements preclude the use of corroboration through coaches for the purpose of substantiating the "truth" of self reports. W hat is at issue is not lack of truth due to distortion, lying, or other unethical means. Rather, at issue are the clinically unavoidable ways in which individuals distort what they report about themselves due to limitations of memory, limits of self-insight, defensive posture, involvement in coaching or therapy alliances, etc., in essence, because of self-protective manoevers engaged in largely unconsciously. It is in regard to self report veracity that the clinician deems the developmentalist who follows every word of his subjects at least a tad naive. Although there is probing in the subject/object interview as well as the professional agenda Interview, such probing on the side of the interviewer does not truly diminish the nebula of self-reports. As a consequence, the validity threat stemming from the nature of self reports has to be fully acknowledged.

It is interesting to consider how the developmental position of an executive, whether assessed in structure or process terms, might influence self-report veracity. Is a stage-5 self-report, or one based on metaformal schemata, any less at risk for lack of validity than a self-report of a stage-4 or motionist individual? As a case in point, do the self reports of the developmentally more advanced subjects in this study, viz., S5, have greater veracity than the reports by other subjects? The answer is clearly NO, since no matter what the developmental status of an individual, disembeddedness from self and degree of self-awareness in terms of schemata endorsement in no way preclude
unconscious strategic, thus adaptive, distortion.

To conclude, as has been intimated in finding #4 of chapter IV, section 1, the 'faking good' in demonstrating metaformal capacity, caused by assuming a "therapeutic posture," is striking enough for the validity threat mentioned to be a reality:

Finding #4 : given that (in Table IV.3), motion/metaform endorsements prevail over form/relationship endorsements, the overall indicators of cognitive-developmental flexibility and resilience of the executive group, as articulated by their metaformal endorsements, are to some extent suspect of "faking good" or therapeutic posture." By this is not meant that they are in any way consciously misleading anybody. What is rather meant is that their self-report verbalizations show a high degree of "speaking as the coach does," or "doing as the coach does," thus indicating a strong, but still unreflected, bond to the coaching alliance (Moncata, 1999).

2. The DSPT ^{TM} : A Tool for Monitoring Executive Development with Regard to Cognitive Flexibility and Developmental Vulnerability and Resilience

> The power of any assessment tool is
> to predict the future outcome.
>
> Samuel Moncata
> (private communication, 1999)

2.1 Introduction

The DSPT ^{TM} is an interview-based developmental assessment tool for gauging and monitoring executives' developmental potential, vulnerability, and resilience, and to prognosticate their chances, both as a group and individually, to reach a level of cognitive flexibility and maturation that is of strategic relevance to the company. The tool is not focused on executives' technical expertises, "skill profile" or "work personality," but on their adult-developmental level and their meta-competences (Hall, 1996) in the sense of an ability "to learn how to learn." It therefore is congenial with the present sociological career contract according to which career development is the matter of employees, and cannot be separated from their total life history and lifespan trajectory. The tool's realism derives from a deep-structure perspective in which how individuals behave and/or speak is determined by a set of basic assumptions (Schein, 1992; Kegan, 1994) they make about their position in the world, especially about what for them is ME and what is NOT-ME. This worldview determines, in the organizational context, how individuals generally, and executives in particular, formulate their professional agenda. That is, it determines how they use their formal status, approach tasks, set goals, perform, and conceive of their self-developmental mandate.

In procedural terms, the DSPT ^{TM} is an interview-based assessment tool that presupposes the participation of coaches as informants, and of executives as subjects proper of the assessment. This arrangement has the advantage that the coaching alliance ongoing between the two parties is treated as an important testing ground for agentic human-resource initiatives. As all assessment instruments, the administration of the DSPT ^{TM} , and the interpretation of its findings, require clinical expertise as well as adherence to appropriate ethical standards. Concretely, the interview process on which the DSPT ^{TM} is based comprises two interviews called the professional-agenda and the subject/object interview. The professional-agenda interview is administered first, followed by the subject/object interview in close temporal proximity. The two interviews

have a different focus, but are inextricably linked. The professional-agenda interview is focused on how an executive constructs his or her present professional agenda. This entails how they describe their organizational function, make sense of its associated responsibilities, plan and execute their performance and, last but not least, experience their coaching.

The first interview results in a situation description referred to as the "present professional performance and functioning," and a description of changes effected by coaching, or change story. In the

change story, executives convey to the interviewer what for them has changed in the way they conduct business on account of the coaching. The interview is a dialectical-schemata interview in that it sheds light on the mental processes by which executives manage changes in their professional performance and functioning, and on how they make meaning of (i.e., experience) such changes. Results of the interview, especially when viewed in terms of a group of executives, makes possible a prognosis regarding executives resilience and vulnerability in light of challenging organizational change situations.

The first interview is followed by a second interview, called the subject/object interview. As its name indicates, the subject/object interview is focused on the way in which executives are embedded in, or subject to, their present ontic-developmental position, and on how far they can "throw themselves from," or make an object of, and thereby transcend, their embeddedness in that position. Translated into the organizational context, the interview regards the way in which an individual makes sense of his or her personal experiences in the workplace. The interview is projective in nature, in that it gives the executive a chance to choose what associations and concerns she wants to follow in the interview process. In terms of administration, the subject/object interview differs from the professional-agenda interview in that it requires the interviewer to wear two hats at once: first, that of hypothesis formulator who directs the interview in terms of his or her interpretation of the interviewee's present ontic-developmental position, and second, that of a facilitator and prober, who assists the interviewee in co-constructing his or her experiences in the workplace.
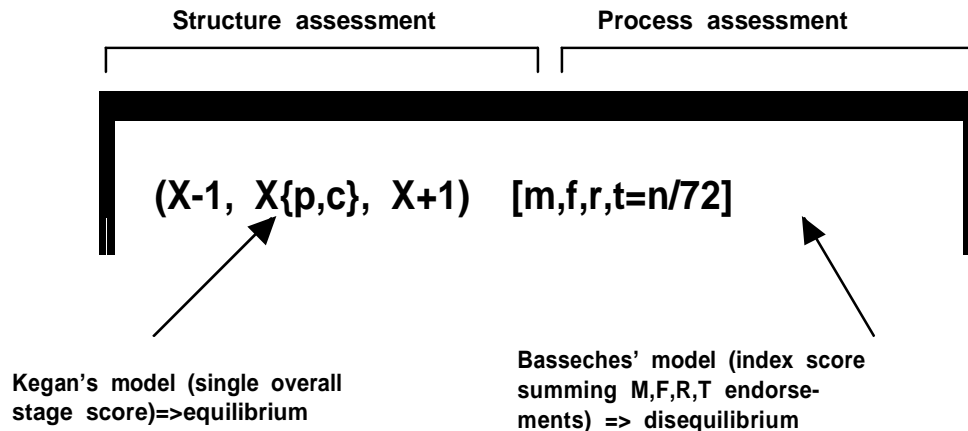
Both interviews are transcribed and analyzed. Analysis of the first, dialectical-schemata interview focuses on the developmental disequilibrium of an individual as it manifests in terms of four aspects of transformational change, referred to as motion, form, relationship, and metaform. Analysis of the second, subject/object interview is focused on the developmental equilibrium , called a stage, instantiated by the interviewee. The two interviews complement each other. The first, disequilibrium-focused interview

probes the processes by which a developmental status quo is attained and maintained (or not), while the second, equilibrium-focused interview probes the structure that is attained or maintained (or regressed from). In terms of their different content focus, the first interview targets an individual's professional agenda, while the second interview targets an individual's personal experiences in the workplace. In their togetherness, the two interviews render a holistic picture of an individual's ontic-developmental resilience and vulnerability.

2.2 DSPT^{TM} Innovations

In order to judge whether and how the DSPT TM fits into the organizational task environment, it is important for the reader to understand what specific contributions the instrument makes to assessments in the field of executive development, and to adult development generally. Such a judgment presupposes an understanding of the methodological innovations the DSPT TM introduces over and above the two assessment tools on which it is based.

As shown in the figure below, there are a number of new concepts that transcend notions implied by the subject/object and the dialectical-schemata assessment on which DSPT ^{TM} assessments are based. These innovations have to be viewed in light of the original assessment outcome binding a structure assessment, X, to a process assessment [m,r,f,t]. Fundamentally, what is new is the fact that these two assessments are linked to each other, with a concomitant refinement of structure assessments, such as "stage 4," in terms of the cognitive-developmental flexibility of processes the developmental level (stage score) is associated with. In addition to linking the two assessments in order to establish a prognostic base from which movements of developmental level can be gauged, the DSPT ^{TM} introduces further refinements, each of which I discuss in the order in which they are listed in the figure below.

Structure assessment   **Process assessment**

(X-1, X{p,c}, X+1)   [m,f,r,t=n/72]

**Kegan's model (single overall
stage score)=>equilibrium**

**Basseches' model (index score
summing M,F,R,T endorse-
ments) => disequilibrium**

DSPT ^{TM} Innovations

1. **Linkage of structure and process assessment, where
   "process" is the set of mental processes associated
   with a developmental "structure" (stage)**
2. **The "potential/clarity" index for the stage score {p,c}**
3. **The notion of "potential/clarity" (dis-) equilibrium of
   the stage score (i.e., p<c; p>c)**
4. **The notion of "teleological range" (X-1, X, X+1) for
   movements of the stage score**
5. **The notion of "relative endorsement of schemata
   by process category," (M=motion, F=form,
   R=relationship, T=transformation/metaform), ex-
   pressed in percent, e.g. [0,0,50,41]**
6. **Process categories as systemic, such that categories
   form a hierarchical system, with metaform being
   a synthesis of motion, form, and relationship**
7. **Structural prognosis   : the relationship of potential to
   clarity as prognostic of the stability or vulnerability
   of the developmental level (stage score).**
8. **Procedural prognosis   : the process profile [M,F,R,T]
   as prognostic of the movement of the level of
   development within the teleological range (X-1,X,X+1)**

.

First, the DSPT ^{TM} introduces a potential/clarity index {p,c}, that indicates the relationship between the clarity with which a developmental level is instantiated by an executive, and the potential the executive is showing for transcending his or her present developmental level. When relating the two subindices to each other, a prognostic determination can be made as to whether potential outweighs clarity (p > c) or vice versa (p < c). In the context of the assessment as a whole, and taking into consideration the executive's "present professional performance and functioning" as well as change story, a judgment can then be made as to the meaning of the {p,c} index

that describes an individual's potential, or lack thereof, for transcending a given ontic-developmental level (stage score). The certainty of such a prognosis depends on taking into account the additional information provided by the individual's process assessment. For instance, if clarity outweighs potential (c > p), and the process assessment [m,f,r,t] shows considerable disequilibrium (e.g., [0,0,50,41]), then the potential for transcending the present stage score is considered as being small. By contrast, if potential outweighs clarity (p > c) under the same process assessment conditions, the disequilibrium implied by the latter is considered a sign of resources available in the domains of relationship [r] and metaform [t] that might propel the individual beyond the present developmental level. To realize this prognosis, agentic change efforts such as coaching can be used to assist the individual in diminishing the disequilibrium shown by the process assessment.

The concept that developmental levels are not static but can be regressed from or transcended, depending on the processes that undergird them (or fail to do so), would make no sense without the related second notion introduced in the DSPT ^{TM}, that of the movement of a stage score within an implied teleological range. As this term indicates, each developmental level is by definition preceded and followed by two adjacent levels, the lower of which is one an individual may "regress to," while the higher one is the level toward which an individual may "transcend" his or her present stage score. (A third possibility is statis, or arrest, at a specific developmental level.) The teleological range opens another window to the future development of an executive. It is conceptually linked both to the notion of the potential/clarity index of the stage score, and the disequilibrium [m,f,r,t] implied by the process assessment. Movement within the teleological range entails that stages, while they are "positions" or "levels," are equally points of transition between a "lower" and a "higher" stage score. In short, the stage score defines a telos toward which developmental movement is oriented.

A third important innovation introduced in the DSPT ^{TM} is the notion of the relative endorsement of schemata by category (or change aspect). This entails a view of epistemological process as articulated by the endorsement of 24 schemata grouped into

four categories ([m=motion, f=form, r=relationship, and t=metaform, or transformation), such that the percentage of endorsement of schemata comprised by each category becomes a measure of process disequilibrium. This is in contrast to the orthodox notion, introduced by Basseches (1984), that the mere sum of endorsements (optimally 24x3=72) can be taken as indicative of the level of dialectical thinking instantiated by an individual. As a result, it becomes possible to ascertain a multitude of different disequilibria that define different "pathways" toward the (successive) stage score telos. For instance, a process assessment such as [m=0, f=0, r=50, t=44] indicates a relative lack of cognitive-developmental flexibility in the domains of motion (m) and form (f), leading to a disequilibrium that, depending on the potential/clarity index of the stage score and other collateral information (PPPF, CS), either makes transcendence of the present developmental level conceivable (p > c) or not (p < c). This determination is a difficult one since it makes no sense to isolate any one or another category [m,f,r,t] for

carrying the burden of the prognosis. Rather, all categories together need to be considered in their relationship to the stage score and its {p,c} index, to make a reasonable prediction. This fact reflects the idea that the four categories form a hierarchical system in which motion, form, and relationship are the basis of metaform endorsement, and thus cannot be isolated from each other, but presuppose each other. The three novel concepts of potential/clarity index, teleological range, and category-specific, relative schemata endorsement, leads to a twofold prognosis, structural and procedural. The structural prognosis regards the stability or vulnerability of the developmental level in relation to the potential/clarity index of the stage score, while the procedural (processual) prognosis regards the direction of the movement of the stage score within the teleological range. Since the structure assessment is primarily focused on balance and equilibrium, and the process assessment on disequilibrium, a dialectic ensues that makes the DSPT^{TM} diagnosis the natural basis of a prognosis:

Diagnosis

Equilibrium   Disequilibrium
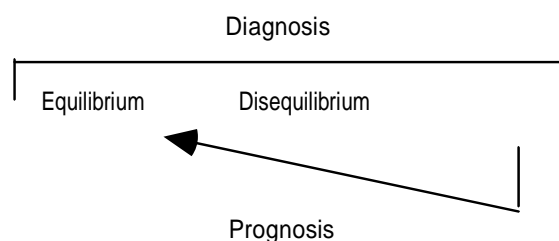
Prognosis

As any prognosis, a DSPT ^{TM} prognosis is only as good as is the scope and quality of the data that inform it. Data of choice for formulating a diagnosis or prognosis, in addition to the developmental scores themselves, consists of all information about an executive's "present professional performance and functioning" and, if available, his/her change story, that pertains to the formulation. In addition, other behavioral data, e.g., derived from 360-degree feedback tools, psychological assessment instruments, and executive self-assessments, as well as information about the

executive's immediate and larger task environment, and about present business strategy, can fruitfully be used in the formulation. The crucial step, as well as the art, in formulating a diagnosis as well as prognosis lies in mapping the ontic-developmental findings into an organizational domain of foremost interest. This fact is diagrammatically shown in Fig. 5 , below.

Insert Fig. 5 here

As shown, once the mapping has been incorporated into the formulation, the latter can serve to advise coaches, and assist Development Officers in assessing and monitoring corporate coaching and developmental programs. As an additional benefit, behavioral data regarding executives' skill profiles,

workplace personality assessments, and other "trait-based" conceptualizations of human resources can be understood in greater depth.

2.3 Present Limitations of the DSPT [TM]

The question of where an individual is developmentally is of the greatest importance for any agentic change effort, not only in the organizational domain. While the DSPT [TM] is clearly a very fine-grained instrument for answering that question (Hall, 1999), there are several important aspects of the tool that would benefit from further research, both with regard to adult development and executive development. Among these, the following four stand out:

(1) strengthening concurrent validity

(2) determining the "value added" by the DSPT [TM] in the sense of discriminant validity

(3) broadening the range of data on the organizational domain into which to map

developmental scores

(4) strengthening the well-definedness of DSPT [TM] process assessments.

The first item regards the integration of the DSPT [TM] with other assessment tools, and is dealt with in the following subsection, below (2.4). The second item has to do with becoming more specific as to the value DSPT[TM] assessments are adding to that of other extant tools when used in combination with them. This can be ascertained by asking what other tools do that the DSPT [TM] cannot do, and thus what is the specific contribution of the DSPT [TM]. This question, too, is discussed below, in section 2.4. A third issue of relevance to future uses of the DSPT [TM] regards broadening the scope of data on the organizational domain into which DSPT[TM] scores are "mapped" to arrive at realistic prognoses for executives. In

the recommendations to the coach formulated for the six executives in this study (see section 3.4 and Appendix D1), the data used for mappings is restricted to information provided by the executive in the form of his or her "present professional performance and functioning" (PPPF) and change story (CS). It is clear, however, that more ample information about the organizational task environment, the company's business strategy, and information typically taken into account by "competency models" could be of great benefit in sharpening DSPT [TM] prognoses. As is true for making a DSPT [TM] prognosis in the first place, the more relevant data are available for making sense of ontic-developmental scores, the better. In short, there is presently a need to better contextualize DSPT [TM] findings.

Among the limitations that intrinscially restrict the accuracy of DSPT [TM] prognoses,--lack of schooled users of the DSPT [TM] instrument apart--, is the way in which process assessments are presently formulated. I am referring to the fact that the dialectical-schemata framework comprises an uneven number of schemata per category (motion=8, form=3, relationship=4, metaform=9). As a consequence, an even weighting of schemata under the four categories is presently lacking. The unevenness of the number of schemata is a historical accident. It does not imply that three form endorsements developmentally have less power than eight

motion endorsements. Rather, the underlying idea in the process assessment is that each of the 24 schemata and all four categories comprising them are of equal weight, and that the uneven number of schemata under each category is of no consequence. This assumption makes good sense as long as only the total index score (sum of schemata endorsements, e.g., 20/72) is taken into account in formulating an process assessment (procedural prognosis), as is the case in Basseches' research. However, once one begins to scrutinize the relative endorsement of schemata "under" each category, as has been done in this study for prognostic purposes, the uneven number of schemata works out to one's disadvantage since it remains uncertain whether a particular form or relationship endorsement (schemata #9-11; #12-15) is truly compatible in its "power" with schemata endorsements in the motion and metaform categories. This is the case since an individual has less of a chance to score comparably high on form and relationship schemata, as compared with motion and metaform endorsements.

To remedy this situation, it would be beneficial to augment the number of schemata comprised by the form and relationship categories. This could perhaps be done by making schemata under these two categories more specific than they presently are, in order to increase their number to 8 or 9, approximately. While it is important to remember that the categories underlying a process assessment are systemic, and thus cannot be isolated without peril, a more even distribution of schemata under each of the categories would enhance the accuracy of DSPT ^{TM} prognoses.

A further limitation of the process assessment based on dialectical schemata is the fact that most, if not all, schemata are located in what Santostefano calls the "equivalence range," i.e., the linguistic medium of "moves of (verbalized) thought." (Santostefano, 1978). While the category of motion, for instance, has a certain degree of "sensori-motor" or "body-based" implications, this meaning is absent from the remaining three categories. However, the fact that grasping motion, form, and relationship is a precondition for endorsing metaformal schemata suggests developmentally that the categories form a hierarchic system. However, this system has never been spelled out by Basseches, with the result that the categories used to calibrate adult development are not themselves conceived developmentally, but only historically and conceptually. W hen used in the organizational environment, this limitation hinders DSPT ^{TM} process assessments from referring to other than purely conceptual processes, and accounts for the fact that such processes give no clue as to their body-based grounding in pre-conceptual schemata, as referred to by K. Lewin (Benne, 1984).

In addition to these limitations specific to the DSPT ^{TM}, there exist a number of generic methodological difficulties that apply to using any epistemological assessment tool. Some of these difficulties are briefly stated and commented upon in Appendix D3.

2.4 The DSPT ^{TM} as an Enhancement of Existing Executive-Development Tools

Given the multitude of existing organizational tools used in the field of executive development, it is important to clarify the specific focus and emphasis of the DSPT ^{TM}, both as a basis for integrating it with other

tools, and for becoming more specific about the particular value DSPT ^{TM} assessments add to the output of other tools. In this context, it is useful to distinguish three different types of tools:

(1) tools for formulating executive development plans for executives,

both off- and on-line

(2) 360-degree feedback tools

(3) psychological assessment tools.

(Not included here are company- and strategy-specific competency models and success profiles often used in coaching.)

In regard to the first type of tool, the DSPT ^{TM} can be used to assist an individual as well as his/her supervisor, in understanding the ontic-developmental underpinnings of whatever is thought to be amiss in a particular executive's performance and functioning. Given the warning I have issued, to not distort ontic-developmental findings by translating them into superficial "character sketches," it is clear that this pertains to making the objectives of agentic-developmental work not so much "sharper," as more realistic. Taking into account that learning, experiential or not, has ontic-developmental limits, it seems crucial to be aware of where an executive presently is ontic-developmentally, before endorsing self-developmental objectives for that executive. This deliberation includes the issue of whether a particular executive might benefit from coaching (or some other agentic developmental "mechanism" (McCall, 1998)), and what kind of coach might be optimal for the person concerned. Just as one cannot "speed up" the development of children (without long-term peril), but only support it, so one cannot speed up adult development without peril. In short, by utilizing the DSPT ^{TM} in the context of formulating individual development plans, one can support a long-term and comprehensive view of a person's present and future ontic-developmental position in the sense of the combined process/structure assessment that is the hallmark of the DSPT ^{TM}.

DSPT^{TM} assessments have a slightly different relevance in the context of 360-degree feedback tools. To be concrete, I choose PDI's PROFILOR as an example. The instrument is defined as follows (Personnel Decisions International, 1991, p. 1):

> The PROFILOR^{R} is an instrument developed to provide feedback and development focus and recommendations to individuals about their management skill strengths and development needs. It should not be used as the sole source of information concerning selection, promotion, salary review and adjustment, dehiring (firing), and/or deselection decisions.

PROFILOR gives the following summary information about an individual:

1. Importance summary: summary of the importance of specific skill areas for a particular job, as rated by the executive and his/her supervisor

2. Skills overview: skill ratings of the executive in the context of skill ratings of his/her respondent and "all other managers who have previously used The PROFILOR" (PDI, 1991, p. 2)

3. Perspective comparisons: ratings the executive received from his respondents "compared to the large norm group of managers who have previously responded to The PROFILOR questionnaire" (PDI, 1991, p. 2)

4. Detailed information: further performance ratings of an executive

5. Developmental highlights: information about key strengths and development needs as seen by others, as well as "development suggestions" (PDI, 1991, p. 3).

As can be inferred, PROFILOR is based on the notion that learning, not level of ontic development (ego level), is the basis of an executive's improved future performance and functioning. In accepting this assumption, the question arises what are the ontic-developmental preconditions of the skills the executive presently believes to possess or is believed to possess by others. In this context, a DSPT ^{TM} assessment can be beneficial, since it points to the developmental level on which the skills in question are exercised, and further, because it engenders prognostic insights regarding the extent to which such skills can presently and in the future be improved by the executive, and under what conditions. A DSPT ^{TM} assessment of the executive in question also highlights why certain skills may be underdeveloped or overdeveloped for ontic-developmental reasons, being rooted as they are in schemata endorsements making up the process assessment of the DSPT ^{TM}, and more generally, the ontic-developmental level of the individual. In short, the DSPT ^{TM} can pinpoint the developmental level which gives rise to the particular skills profile of an executive, and simultaneously put into perspective the risk of the executive for ontic-developmental slippage, given the person's indexed stage score and process profile. As a consequence, the behavioral assessment of the executive gains in accuracy and realism, especially since in longitudinal uses of the DSPT ^{TM}, adaptation (learning) and ontic-developmental maturation can be separated out. Looked at from a different angle, an executive, in making use of the self-assessment option of many 360-degree feedback tools, can engage in a self-developmental intervention on his or her own behalf, and thereby deliver an agentic development effort that longitudinally speaking may contribute to the individual's ontic-developmental maturation in the long run (Hall, 1999). In sum, on account of DSPT ^{TM} assessments, skill and performance profiles of individuals can be grounded in insight into these individuals' ontic-developmental level, and thereby acquire predictive validity.

***

The DSPT [TM] has still another relevance when used in the context of a psychological assessment tool. To be concrete, I choose the on-line expert system ASSESS, designed to model "the judgments of psychologists in the interpretation of an assessment test battery

and in the writing of reports based on these judgments" (Bigby, Havis & Associates, Inc., 1997, p. 1). As the PROFILOR, ASSESS is a diagnostic, not a prognostic, tool, although due to the relative constancy of personality traits over time it could be called mildly predictive. ASSESS judges a person along several "personality dimensions" (Bigby et al., 1997, p. 49), viz., intelligence, personality, and interpersonal style, which are further detailed in terms of intellectual ability, thinking style, work style, need for freedom/attention, emotional style, interpersonal style, cultural conformity, and faking potential. Individuals are rated on the mentioned dimensions from low to average (25-75%) to high. As can be inferred from the nomenclature used, these determinations regard an individual's style, and not their ontic-developmental level. In contrast to the PROFILOR, ASSESS judgments, similar to DSPT [TM] prognoses, are entirely based on self-reports, which are compared to norms both for a general and professional population. To refine comparisons with a target population, ASSESS uses "templates" specific to particular job groups (e.g., "executive template," Bigby et al., 1997, p. 67), employing a rule base of 18 different scales. The "intelligence" of ASSESS consists of being able to take two to five of these scales into account simultaneously when evaluating an individual. ASSESS has been validated in several studies, by adopting a concurrent (rather than predictive) approach. As the PROFILOR, ASSESS is a behavioral tool focused on "job behaviors." Most of its uses lie in screening incoming personnel, although tracking the strategic professional development of individuals inside of an organization, which is the focus of PROFILOR, also occurs.

In terms of DSPT [TM] assessments, I would consider the behavioral dimensions ASSESS evaluates as centered on style in contrast to developmental level. Since one and the same style or trait can be adopted by individuals at different ontic-developmental levels, to different effect, the question arises as to what is the true differentia specifica of an individual so evaluated, in contrast to a "type" of person, or a role. ASSESS ratings provide a fine-grained analysis of behavioral and personality aspects of a variety of personnel groups. They are focused on the role individuals play, not their self. Used in conjunction with the DSPT [TM], the predictive validity of ASSESS judgments and reports can be greatly enhanced. Findings on the stylistic dimensions of ASSESS (such as "thinking," "work," "emotional," and "interpersonal"), when linked to DSPT [TM] assessments, can be more prognostically evaluated. They can also be clarified with regard to their meaning for the person evaluated, i.e., the reasons why individuals use cognitive-emotional resources the way they do. As a result, the characterological, "defensive" quality of traits individuals are said to have could be better understood, and the person's professional future can be planned with more certainty, both for the person and the organization concerned. (See the comments on an on-line version of the DSPT [TM], below.)

In toto, the "added value" provided by DSPT [TM] assessments in both cases (PROFILOR, ASSESS) lies in the fact that the instrument assesses the ontic-developmental level (ego-level) of an individual, thereby

specifying "where the person is developmentally" along the lifespan trajectory. While this determination may matter less for "sub-executive" positions, professional functioning cannot be comprehensively assessed without it. Due to the fact the the DSPT ^{TM} does not separate "work" from "life" as rigidly as most behavioral tools do, and is based on an individual's world view (structure assessment) and change conceptualization equilibrium (process assessment), the window to the future opened by the DSPT ^{TM} is not only wider, but also better placed. In linking behavioral with ontic-developmental assessments, the functionality of "traits," "styles," and "workplace personalities" can be more succinctly evaluated in terms of individuals' potential to transform to higher ontic-developmental levels. This, in turn, strengthens the validity of behavioral insights into the individual at his or her present ontic-developmental position.

2.5 The DSPT ^{TM} On Line

In light of the fact that organizational assessment tools increasingly tend to be used on-line, and tend to be embedded in assessment expert systems (e.g., ASSESS, Bigby Havis Associates, 1997), it is useful briefly to consider a general requirements specification for bringing the DSPT ^{TM} on line.

In the form of an on-line assessment expert system, the DSPT ^{TM} would be designed to simulate the judgment of the human user of the DSPT ^{TM} to whatever degree artificial intelligence constructs presently make such a simulation feasible. In most general terms, the DSPT ^{TM} expert system would comprise the modules depicted in Fig. 6 :

Insert Fig. 6 here

Initially, the taped interview text is transformed into an on-line text via a voice-to-text transducer. Once available in binary form, the text is parsed for the purpose of creating two individual data bases: first, a PPPF data base comprising statements about an executive's present professional performance and functioning, and second, a CS data base, containing his or her change story. In a subsequent processing step, the output from the

parser is submitted to a conceptual structure analysis which comprises two parts: first, a dialectical-schemata analysis of material from the first interview, and second, a subject/object analysis of material from the second interview. To build the two required analyzers, one needs to engage in knowledge acquisition with experts using these two modes of interview analysis, and needs to model their competence (e.g., conceptual knowledge) as well as "performance" (actual procedures), in order to arrive at a comprehensive knowledge model (Laske, 1991). Once a knowledge model of the DSPT ^{TM} user exists, one can design the two scoring "engines," one for formulating the indexed stage score ($X\{p,c\}$), and one for assessing the dialectical-schemata configuration ($[m,f,r,t]$). When one combines the PPPF- and CS- data base material with the output score ($X-1,X\{p,c\},X+1$) $[mf,r,t]$, one arrives at a results statement such as:

$$Sx = ((4(3), \ 4 \ \{2,9\}, \ 4(5)); \ [25,33,42,19]),$$

where the first part (before the ";") comprises the teleological range of the subject's structure profile, and where the second part (after the ";") comprises the associated schemata configuration, or process profile.

With the aid of a teachable on-line score interpreter specialized in recognizing patterns, one can then, assisted or not by a human DSPT [TM] expert, arrive at progressively better mappings of the score pattern above into the specific organizational context of the individual in question, in order to formulate an adult-developmental assessment report. Different conclusions can be drawn for different organizational purposes and circumstances (as happens in ASSESS). In the eventuality that the translation of score data into the targeted organizational realm transcends the artificial intelligence of the DSPT [TM] expert system, a human interpreter can be used to co-construct the mapping. This requires a sophisticated human-program interface that enables the DSPT [TM] user to employ all of his or her competential and performance (procedural) knowledge brought to bear on DSPT [TM] assessments. To augment the precision of output from the DSPT [TM] expert system, other, more behavioral data and data regarding the organizational task environment of the individual may also be taken into account and integrated into the report. Again, what distinguishes a DSPT [TM] assessment report from the majority of the reports presently written about executives are its prognostic features.

It is not an exaggeration to say that understanding the way in which the DSPT [TM] functions can assist one in clarifying how to think prognostically about executive development at large. When viewed in the context

of Fig. 2, which represents the "circles of influence" on an individual's professional agenda., the DSPT [TM] prognosticates how an executive's self manages the psychological processes required to function optimally in an organizational environment. This entails that the DSPT [TM] can aid human resources personnel and consultants, to optimize those "mechanisms" and "catalysts" (McCall, 1998) that are available within an organization for the benefit of executives' experiential learning. Given that the DSPT [TM] takes individuals' ontic-developmental dimension, i.e., their potential, into account, notions of executive development can be formulated that are more subtle and far-reaching than is the case when using strictly behavioral assessment tools. Since organizational functioning is inseparably linked to how an individual manages self/other boundaries, and thereby arrives at a specific professional agenda and solidity of self/role integration, a DSPT[TM] assessment goes to the heart of what might be the vulnerabilities and the resilience of an executive seen in terms of the individual's future.

Geared as it is to understanding what gives rise to behavioral manifestations in the first place, a DSPT[TM] assessment is more fine-grained than an assessment deriving from a behavioral tool, i.e., that of a individual's "role," "work personality," or "style." Since the assessment is centrally about the individual's epistemological frame of reference, on one hand, and about the processes (schemata endorsements) that support that frame of reference, on the other, the assessment is prognostic of how an individual will benefit

from opportunities of experiential learning, will be able to transmute organizational into personal imperatives, etc. Conversely, this entails that the broader the data base available for integration into DSPT ^{TM} assessments, the more of the organizational context (circle no. 4) can be integrated into a DSPT ^{TM} evaluation, without hypostatizing that context, as happens in "competence models" and "success profiles" that leave the executive's self out of the picture (Kaplan, 1991).

3. The DSPT ^{TM} in Action

Having outlined the empirical findings (section V.1) and methodological innovations of this research (section V.2), it is now in order to demonstrate how the DSPT ^{TM} actually functions as an organizational assessment tool. Given the many aspects of such a tool, the problems it poses, and the fact that organizational assessment is in and by itself an intervention into the culture of an organization, I propose to discuss the following topics:

1. Four Aspects of an Organizational Assessment Tool
2. Goals and Objectives of the DSPT ^{TM}
3. Developmental Prognosis
4. Giving Advice to Coaches based on DSPT ^{TM} Findings
5. Coaching for Skills, Performance, and Agenda
6. Monitoring Corporate Coaching Programs
7. Increasing the Accountability of Coaches
8. The DSPT ^{TM} as a Culture Transformation Tool
9. Uses of the DSPT ^{TM} in Succession Planning.

3.1 Four Aspects of an Organizational Assessment Tool

In outlining barriers to the effective assessment in organizational consultation, Fuqua, Newman, & Dickman (1999) point to four main challenges encountered by assessment experts working in organizations:

a. theoretical/conceptual issues
b. empirical issues
c. practical issues
d. ethical issues.

The authors see conceptual issues as centered around the lack of common constructs and the need for a systemic perspective in organizational assessment. Quoting Beer and Spector (1993, p. 643), they state: (Fuqua et al., 1999, p. 16):

> The critical insight of systems thinking lies in its emphasis on interactivity and interdependence. Effectiveness resides not in any one independent component of the organization, but rather at the interface between many factors. Accordingly, when guided by a system view of organizations, one will not look at discrete units or issues. Rather, one will focus on the "joints" of an organization, the places where the organizational processes come together.

This quote poses the question of whether the DSPT ^{TM} can be said to get at the "joints" of an organization.

The second issue Fuqua et al. see regarding organizational assessment is an empirical one, having to do with the aggregation of data. In this regard, they distinguish five levels of potential focus: "(a) individuals,

(b) dyads/triads, (c) teams and groups, (d) intergroup relations, and (e) the total organization" (Fuqua et al., 1999, p. 16). They cite the "ecological fallacy" that occurs when group-level data is used to draw conclusions about individuals, as well as the "reverse fallacy" (where data regarding individuals is used to draw conclusions about higher-order units). Quoting Kurpius (1985, p. 385), they argue that there is (Fuqua et al., 1999, p. 17):

> a dilemma between intervening at the micro level, with greater
> control over certain intervening variables useful for research
> purposes, and moving toward the macro systems level which attends
> to the interdependent nature of things but causes havoc in regard to
> controlling important research variables. (my emphasis).

Thirdly, Fuqua et al. cite practical issues that arise "as a function of specific features of an organization (e.g., size and complexity) and/or the nature of the consulting contract and relationship" (Fuqua et al., 1999, p. 18), especially "organizational reactivity" (reaction of the organization to the data, including systemic resistance), and the fact that any assessment is in fact an intervention (which they call "data use demands"):

> The data that result from assessment procedures and instruments
> can help improve the quality of employee work only when they
> are effectively applied in light of the existing organizational
> context.

Finally, Fuqua et al. name familiar ethical issues, e.g., "limitations on the consultant's ability to ensure the confidentiality of data collected" (Fuqua et al., 1999, p. 20), and consultant competence in using the instruments they employ. In their view, these four factors together determine the effectiveness of the techniques used in organizational
assessment.

It is relevant to point out that the conjointness of micro- and macro-factors is much to the point in the context of using the DSPT ^{TM}. Thinking of Kegan's interpretation of stages as demands made upon the mind by contemporary (Western) culture (Kegan, 1994, p. 134), it is evident that the assessment of executives' developmental level is always also an assessment of the culture of the organization in which they function. For that reason,

the finding that executives as a group tend to show cognitive disequilibrium anchored in a lack of form and relationship endorsements, says at least as much about the culture they are part of as about themselves as individuals. Since the DSPT ^{TM} "sees" organizational reality as based on individuals' epistemological position, and as reflected in individuals' and groups' professional agendas, issues pertaining to an organization as a whole are conceptualized as being those of a "thinking organization" (Sims & Gioia, 1986). These issues spring forth from the assumptions, theories, and schemata members of an organization utilize to make sense of their experiences in the workplace. In the DSPT ^{TM} framework, the "joints" mentioned by Fuqua, whether

micro- or macrolevel, are actually joints in organization members' thinking, and not something floating in a space called "organizational reality."

The otherwise highly perceptive arguments of Fuqua et al. (1999) regarding the interdependent nature of organizational factors, and the fact that the joints between them tend to be missed, gives evidence that their own system-theoretical perspective is rather weak on metaformal thinking. Were they to conceive of "joints" dialectically, they could not artificially separate micro- and macro-level, except as a logistic expediency in quantifying certain "research variables." As it is, their discussion of conceptual issues shows that there exists a pervasive organizational culture that shares with them the kind of cognitive disequilibrium that has become evident in this study in the preponderance of motion/ metaform over form/relationship endorsements of executives (which precisely indicates the absence of system-transformational ("dialectical") thought in the sense of Basseches (1984)).

With regard to empirical issues of organizational assessment, especially data aggregation and appropriate units of analysis, the DSPT ^{TM} clearly poses its own peculiar problems. For instance, can the procedure employed in chapter IV, of proceeding from individual findings to collective ones (of executives as a group), be criticized as based on the "reverse ecological fallacy," or the ecological fallacy itself (using the group mean to draw conclusions about individuals)? Is the systemic perspective the DSPT ^{TM} claims to adhere to identical with the "systems theoretical perspective"? W ill DSPT ^{TM} prognoses encounter "systemic resistance," given the dominating organizational culture? How can the ethical use of the DSPT ^{TM} be guaranteed, given that it requires a collaboration between coaches and Directors of coaching? In order to appreciate these questions, more specific information about the DSPT ^{TM} as a tool for use in organizational settings is required.

3.2 Goals and Objectives of the DSPT ^{TM}

Briefly, the immediate goal of using the DSPT ^{TM} is to assist in assessing the cognitive flexibility and ontic-developmental vulnerability and resilience of individuals in the workplace. Such an assessment is thought to go to the core of the "skills profile," "workplace personality," and "success profile" conceptualizations of behavioral assessments of individuals in organizations. Since behavior is seen as the outcome of underlying adult-developmental processes that per se cannot be observed, but only interpretatively assessed on the basis of behavioral manifestations (including speech behavior), the task of assessing developmental level requires a mapping of abstract developmental markers into a specific organizational domain. The more diverse the behavioral, psychodynamic, developmental, and organizational data available for this mapping, the more realistic the prognostic assessment of individuals tends to be.

When assessing an individual's or group's developmental level (as an equilibrium) and associated cognitive flexibilty (as a disequilibrium), the main idea is to track maturational progress over time. In order to

monitor ontic-developmental effects, whether of coaching or other agentic "mechanisms" (McCall, 1998), one needs first to establish a realistic developmental base line defining where along their lifespan trajectory individuals presently are. This is seen as defining their ontic-developmental status quo. One also needs to proceed from this base line, and make at least a second assessment six months or a year later, to gauge progress "longitudinally," i.e., across time. By comparing base line findings with those obtained at a later time point, developmental progress, stasis, or regression can be demonstrated, and a prognosis regarding executives' future development and potential (pertinent to the organizational setting and specific to present objectives of business strategy) can be formulated.

In the ontic-developmental framework outlined in chapter II and in section 2, above, the DSPT ^{TM} perspective on agentic change efforts, including coaching, derives from the notion that at any time, individuals strive to reach a developmental telos, and that this telos can be described by a STRUCTURE (often referred to as a "stage") as defined by constructive-developmental psychology. The second pertinent notion is that for an individual to reach a developmental telos such as a stage, certain mental processes as well as an associated cognitive-developmental flexibility for using these processes, must be in place. It is thought that this flexibility, addressed by Hall (1996) as the "meta-competence" of learning to learn, has to do with individuals' self- and other-awareness (or subject/object stance) that in large part determines, more teleologically than causally (Basseches, 1984), how individuals conduct themselves, integrate self and workplace role, and to what extent they can take new and multiple perspectives on organizational matters (Laske, 1999). This component of individuals' functioning is referred to as the
PROCESS component of the DSPT ^{TM} assessment.

In the context of the DSPT ^{TM}, the mental processes involved in developmentally relevant cognitive flexibility are thought to pertain to the way in which executives conceptualize four aspects of ceaseless change, called motion, form, relationship, and metaform (i.e., transformation). Each of these aspects is associated with a variable number of thought forms, or "schemata," by which developmental change is grasped. In order to assess the capacity for conceptualizing motion, the DSPT ^{TM} tracks endorsements of motions schemata that represent executives' sensitivity to, or vigilance for inner and/or outer change. In order to assess the capacity to conceptualize form, the DSPT ^{TM} tracks executives' endorsement of schemata representing their propensity for conceptualizing their own form (personality) and that of their organizational environment in terms of equilibrium, whether functional or structural. The DSPT ^{TM} further assesses executives' capacity for grasping relationships that are interactive and constitutive, and therefore logically precede the elements they relate. Finally, the DSPT ^{TM} assesses how executives synthesize the previously mentioned three aspects of change (i.e., motion, form, and relationship) in a higher-order transformational fashion. The ability to do so is called a metaformal capability, which has to do with conceptualizing multiple systems and relations between systems in ceaseless transformation. Importantly, the mental capacities needed for grasping developmental change ("process") are identical with the capacities required for reaching, maintaining, or transcending a particular developmental position or stage ("structure"). As a consequence,

predictive goals and objectives involved in the DSPT ^{TM} assessment process have to do with the issue of WHAT developmental telos is to be reached, and W HETHER the cognitive-developmental processes required to reach it are in place, or if they are not, how they can be put in place through agentic change efforts such as executive coaching.

3.3 Developmental Prognosis

Developmental prognosis regards executives' resilience vis à vis conflict and change, and their vulnerability in situations of conflict and change. By extension, it regards the repercussions of conflict and change on executives' potential for self- & other-awareness, self & role integration, and multiperspectival perspective-taking as required for integrated leadership (Fig. 3 ; Bolman & Deal, 1991). Procedurally, a DSPT ^{TM} prognosis is based on an ontic-developmental analysis process that relies on a distinction between structure and content. Content is considered anecdotal, while structure is seen as either teleological (subject/object analysis) or determinative of process (dialectical-schemata analysis). Concretely, interviews are segmented into structurally relevant portions called bits. Each structurally relevant interview segment is scrutinized from either a teleological or process-oriented point of view. The result of the analysis process is a ranking of executives in terms of their stage score modified by a potential/clarity {p,c} index, where the stage score is intrinsically associated with a symbolic specification of the mental processes that are thought to make continued development possible. The index explicates the potential (p) of an executive for transcending his or her present stage score, and the clarity (c) with which the present stage is articulated by the executive, while the associated mental processes explicate the particular cognitive disequilibrium that characterizes an individual's present developmental status quo.

In order to demonstrate typical DSPT ^{TM} results, and illustrate the scope of the task of mapping them into some organizational domain, I refer back to the empirical findings of this study as an example (see Appendix C8, Table III.17):

```
_____

STAGE                 PERCENT OF
(TELOS)          OPTIMUM
                      [m,f,r,t]

_____

S5 = 4(5) {7,4}    [0,0,50,44]
S6 = 4 {4,9}       [17,33,0,41]
S2 = 4 {5,8}       [46,0,17,15]
S4 = 4 {3,5}       [21,0,1,26]
S1 = 4 {2,9}       [25,33,42,19]
S3 = 4 {0,9}       [29,22,0,0]
```

Group average   [23,15,18,24]
_____

The table above shows developmental base line results for a group of six executives (S1 to S6) ranked in the order of their stage-transcendence potential (on the left). The stage score, or ontic-developmental level, is associated on the right with the specification of the cognitive disequilibrium, formulated in terms of the four dialectical-schemata

categories of form, motion, relationship, and metaform [m,f,r,t] that characterizes the processes undergirding executives' developmental status quo and, by extension, their present organizational functioning. Thus, equilibrium on the left is associated with disequilibrium on the right, from which arises the "prognostic" character of DSPT ^{TM} findings.

Regarding conclusions about a group, Fuqua warns that one might commit the "ecological fallacy" or its reverse (Fuqua et al., 1999, p. 16), the former when one uses group-level data to draw conclusions about individuals (e.g., by referring to the group mean), the latter when one uses individual-level data to draw conclusions about the group. The statistical limitations of the group mean are well known and easily understood. They lie in the fact that the group mean levels the specificity of individual data, in particular outliers, and thus sacrifices specificity to generality. The opposite "fallacy," concluding from individuals to the group, is a fallacy because one is treating two different units of organizational analysis (group & individual) as if they resided on an identical level of social reality and complexity.

My argument in this "fallacious" environment would be that as long as one is aware of the potential fallacy lurking in linking different analytical levels, one can speculate that the group mean [23,15,18,24(%)] indeed indicates a higher-order systemic feature of the organizational culture in which the six executives are finding themselves (if one assumes, for the sake of argument, that the executives interviewed for this study are part of the same organization, which they actually are not.) The group mean then indicates that the executive group, as constituted, is weakest in its form and relationship endorsements (15% & 18%, respectively, compared to 23% & 24% for motion and metaform endorsements). That is, the group of executives is weak in its ability, to conceptualize inner and outer change affecting organized and patterned wholes and the contexts in which they are embedded (form), on one hand, and the dense interactive and constitutive relatedness of organizational factors that is based on the logical priority of relationships over elements they relate (relationship), on the other. While one clearly needs "a larger sample" to satisfy statistical requirements, in the present context, of organizational meaning-making, it is interesting to assume that group-to-individual comparisons permit a DSPT ^{TM} user, to draw at least guarded conclusions from the group-developmental level of the executive team to the cultural climate of the organization in which the adult development of individual executives actually takes place. As for the opposite "fallacy," or rather, hypothesis (extrapolating from individuals to the group), the compact developmental results statement, above, at least suggests the following generalizations

(for more details, see the end of IV.2):

      a. the group of executives investigated collectively

           resides at an entry level of sophisticated change conceptualization

      b. in their change conceptualizations, thus their ability to

           reach higher developmental teloi, the group most

           emphatically endorses metaform and motion at the

           expense of form and relationship

      c. due to the imbalance of schemata endorsements in the

           four categories determining cognitive-developmental

           flexibility, the present executive group can be said

           to be at risk for missing issues requiring systems

           thinking and grasping stability through change, on

           one hand, and for missing issues of dense interrelated-

           ness which requires sensibility to interactive effects,

           on the other

      d. in summary, the group is characterized by ontic-

           developmental disequilibrium that can be improved

           by executive coaching and other "catalytic" growth

           opportunities that not only effect learning but

           ontic-developmental level.

Of course, to gain full organizational specificity, these generalizations have to be mapped in the peculiar organizational context from which the data analyzed by the DSPT ^{TM} has originally been taken.

3.4 Giving Advice to Coaches Based on DSPT ^{TM} Findings

      Given the reader's understanding of the developmental scores yielded by the DSPT ^{TM}, and the notion of developmental prognosis, the reader will be prepared to appreciate the fact that DSPT ^{TM} prognoses are naturally associated with recommendations, or advice, to the coach, whether regarding individual executives or a group of executives. After all, prognoses made regarding executives' cognitive flexibility, vulnerability, and resilience would be pointless if they could not be used to assist in the adjustment, refinement, or re-strategizing of agentic change efforts thought to bring about ontic development. The prognosis enables the coach, even if he

does not formulate his own developmental assessments (as he might in the future), to monitor the coaching alliance with the executive concerned. In addition, the coach can become more accountable for progress in the coaching work, since such progress can be assessed longitudinally. Coaches can be helped in understanding where their individual clients' roadblocks may be located, where the resistance to change may be coming from, and what are the crucial strengths and weaknesses of an executive in terms of his or her cognitive-developmental flexibility. In addition, the coach is assisted by a DSPT ^{TM} assessment in stepping back from his or her own work, and reflecting upon the coaching alliance from a more objective point of view, and thus retool his performance.

Furthermore, a prognostic assessment also has significant benefits for the Corporate Development Officer whose task it is to be concerned about the quality of the development program of the whole, including the company's "mechanisms" (experiential opportunities for in-house learning) and "catalysts" such as coaching and mentoring (McCall, 1998). Given the ability of the DSPT ^{TM}, to gauge the developmental level of groups of executives, longitudinal follow-up can show what progress a particular group is making over a 6-months or one-year period, and how group performance is related to the individuals who do the coaching. As a consequence, the Corporate Development Officer can work more closely with individual coaches, discuss with them their progress with specific clients, and assist them in reshaping their coaching strategy in dependence not only of changing business objectives, but also of residual deficiencies of executives.

Below, I give a mini-demonstration of the utility of a DSPT ^{TM} prognosis in formulating advice for the coach of the executive whose prognosis has been formulated. In the spirit of chapter III of this study, I formulate what precisely can be prognosticated about an executive, given the conjoint structure/process assessment of his or her ontic-developmental status represented by the statement (x-1, X{p,c}, x+1) [m,f,r,t]. In order not to overwhelm the reader with data, I state only a minimum of salient structural findings. Moreover, I restrict myself to discussing two of the six executives, S1 and S5, presenting advice for the remaining four (S2, S3, S4, S6) in Appendix D1. In short, I show how the DSPT ^{TM} potentially works in practice, following the short-hand description of prognosis formulation stated above:

Diagnosis

Equilibrium   Disequilibrium

Prognosis

***
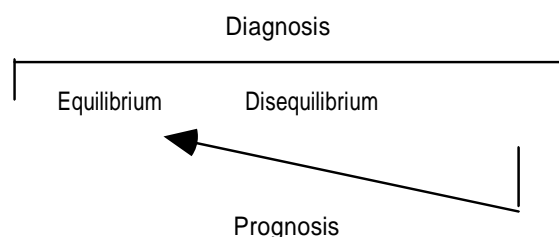
As holds for assessments generally, the user of the DSPT ^{TM} will benefit from a device that ties together all of the findings on a particular individual in an easy to peruse form. The reader will find a sketch of a DSPT ^{TM} Summary Form in Appendix D2. In Appendix D3, one finds reflections about some generic difficulties in making epistemological assessments. These reflections are in the form of comments on Loevinger's Sentence Completion Test (Lê Xuân Hy et al., 1996). Presently, some brief comments regarding the DSPT ^{TM} Summary Form are in order.

Following the identification of the case, which assures confidentiality, the symmary form lists the outcome of the structure followed by that of the process assessment, leading to a total score entitled "ontic-developmental position." In the process assessment section, group mean or longitudinal follow-up scores are stated, which enable a differential score (positive for progress, negative for slippage) to be computed. Also, the particular schemata strongly to weakly endorsed are noted, and the categories absent are shown. The total score is followed by an evaluation section in which the risk for stage slippage, stasis, and resilience (i.e., stage transcendence) is rated on a scale from 1 to 10. Subsequently, information pertaining to the organizational environment, including strategic objectives, can be listed, as well as collateral information about the individual, such as intelligence measures, features of workplace personality, and 360-degree feedback findings. The inclusion of these additional, more behavioral, data, enables the DSPT ^{TM} user to build bridges, or "mappings," into the organizational (or other) task environment of the individual assessed. On account of this ample set of data, the assessment expert can then formulate, first Impressions, and second, Recommendations. Impressions are typically summaries of findings succinctly formulated at a high conceptual level (see the structural summaries in chapter III). In the sample given in Appendix D2, I have suggested to base the writing of Impressions on three dimensions of leadership that have been briefly touched upon in Appendix A4, when introducing the "integrated developmental model of coaching" (Laske, 1999).

There are good reasons for gearing DSPT ^{TM} prognoses to issues of leadership. In the end, as remarked by S2 (Vignette S2, chapter III), all technical knowledge is fleeting, and is quickly superceded by new knowledge. The "right stuff" of executives is ultimately not one of knowledge or experience, but of leadership. In harmony with my model of coaching, in Appendix D2, I conceive of leadership as based on three dimensions: (1) self- & other-awareness, (2) self & role integration, and what I call, with Bolman et al. (19991), (3) "integrated leadership." The first dimension refers to the extent to which an executive has insight into his or her own boundaries and limits, and correspondingly is aware of the boundaries of others. This kind of insight differs between ontic-developmental stages, and in fact is a hallmark of a person's ontic-developmental position. This applies especially when it is taken into account that in Kegan's framework, the term "other" means "object," and is thus not restricted to persons, but refers to anything that is not-me.

The second dimensions of leadership, from an organizational point of view, has to do with the extent to which a person's self, and the roles he or she plays in the workplace, are integrated to form a

medium in which organizational imperatives can be transmuted into personal ones without sacrificing mental growth and integrity. This is typically the dimension in which effective executives excel, being "totally dedicated" to their function. However, an overinvestment in technical functions disturbs the balance in which the three dimensions of leadership ought to relate to each other. As a consequence, self & role integration on merely technical grounds is developmentally more arresting than promoting of epistemological advances (stage transcendence). In the present group of executives, a good example for this observation is found in the DSPT ^{TM} profiles of S3 and S1.

The third dimension of leadership, as here conceived, is best circumscribed by what Basseches refers to as metaformal thinking. Such thinking is profoundly multiperspectival and disembedded from self. It is based on a degree of self- and other-awareness that takes into account the limits of stability both of self and other (e.g., the organization), and the fact that transformational outcome of ceaseless change must be contained by an organization's culture. Since leaders are culture bearers (Schein, 1992), they must be able to represent stability through change both in their person and their actions, and simultaneously give ceaseless change its due. They must integrate multiple perspectives on one and the same organizational matter, and be able to "see"

the consequences of adopting one or the other perspective, associated as each perspective is with a different action scenario (Bolman et al., 1991). Therefore, leaders are experts at what Basseches calls "form construction in a developmental direction."

In short, DSPT ^{TM} outcomes can be formulated in the Impressions Section with regard to dimensions of leadership. The thrust of the Impressions formulation will depend on the strategic purpose of the assessment. Below, I give two examples of the Recommendations Section of the assessment summary.

***

Taking as an example the DSPT ^{TM} profile of executive S1, what can one say in terms of a prognosis, considering both the group average and S1's "resilience/ vulnerability index" (see Table III.17, Appendix C):

```
STAGE                 PERCENT
(TELOS)        OF OPTIMUM
                        [m,f,r,t]
_____
S1= 4 {p=2,c=9}  [25,33,42,19]
Group average    [23,15,18,24]
_____
```

S1= 4{2,9} [m=-2,f=+18, r=+24,t=-5]?

It can be said with confidence that in comparison with the group as a whole, S1 nearly reaches the present baseline level of motion and metaform endorsements [m=+2%; t=-5%], but exceeds the group's mean capacity for conceptualizing form and relationship [f=18%; r=+24%]. In order to refine this diagnosis, one can rely on the fact that despite his weak metaform and motion endorsements, S1's overall schemata endorsements, compared to other executives in the group, are rather even. This fact signals an ambiguity, especially in the context of the potential/clarity index of {2,9} in which the clarity with which the stage score is instantiated exceeds the potential to transcend it. The relative evenness of S1's schemata endorsements could equally be an advantage and an obstacle. It would become a hindrance, if a lack of disequilibrium stalled his ability to bring about personal change, bringing him to a point of developmental arrest or stasis. The evenness of the process equilibrium would facilitate change in a developmental direction if it were to function as a "safe haven" for further personal change initiatives.

The positive interpretation of S1's processual evenness is held in check by the fact that the potential/clarity relationship is presently {2,9}, meaning that only two segments of his subject/object interview are pointing to a transcendence of his present stage position, while there are 9 corroborations of that position. Although the two numbers are not strictly comparable in quantitative terms, theirrelative magnitude in an approximate group range of {p=0 to 10; c=0-10}, indicates that S1 is presently heavily ensconced in stage 4 (4{p=2 < c=9}). This could either entail that he is solidly secure in his self-authoring stance, holding it with no risk of slippage into 4(3) or 4/3, or that he is at risk for getting stuck in that stance, with little chance (p=2) compared to other members of the group, to progress toward a higher developmental status quo. A positive interpretation of S1's processual evenness is corroborated by the fact that S1 presently exceeds the mean endorsement of form and relationship in the group, thus partaking of the group's overall cognitive-developmental deficit less than anybody else. However, his starkest deficit appears to lie in the domain of metaformal schemata endorsements ([t=-5]), which points to a potential vulnerability in grasping and enacting transformational change in a developmental direction. As a result, S1's developmental prognosis has to be a guarded one. Evidently, this prognosis needs to be tested in a subsequent, "longitudinal" assessment due in 6 months to a year.

One way to sharpen this prognostic statement is to take into account the specific organizational task environment in which S1 is functioning, as he describes it in his "present professional performance and functioning" (PPPF) section (see below). Looking at his own change story, its mere content, reported without the benefit of a structural analysis, does not give much of a clue as to his actual developmental prognosis. S1 states the following effects of coaching on his professional agenda (see Vignette S1, chapter III):

1. more reflective

2. improved communication upwards

3. better able to get 'the big picture" of the organization

4. more aware of how he co-constructs others' perception of him

5. has more empathy, not only professionally.

All of these self-perceptions have a very different meaning and ontic-developmental relevance at different stage positions, and thus cannot be taken literally. Aside from the fact that they carry the burden of being self-reports, and thus could have a defensive
purpose or embody a therapeutic posture mimicing the coach, they are also in part
stylistic (preferential), not ontic-developmental. W hen seen as generated from a stage-4 position, only the fourth one (more self-aware) gives an inkling of a possible movement out of the present stage toward 4(5), since it implies meaning-making experience regarding the limitations of the self system in its intrinsic relationship
with other self systems.

In short, laundry lists of (positive or negative) coaching effects cannot be made the basis of an ontic-developmental prognosis, although in an "agentic" perspective they are often taken very seriously. Without understanding what such effects MEAN to the executive concerned, not much, if anything, can be prognosticated on the basis of them. Even the ontic-developmental scores elicited by the DSPT ^{TM} do not "speak for themselves." Rather, using them to full effectiveness requires a mapping of the scores into the specific organizational domain the executive is functioning in, and the set of circumstances he or she is working under. To come up with a reliable and effective recommendation, all available data must be taken into account, just as in writing a comprehensive clinical report. The art of prognosticating ontic development on the basis of DSPT ^{TM} scores largely depends on the ability to accomplish such a mapping.

***

On account of the foregoing reflections and information about S1's strongest schemata endorsements (Appendix C7, Table C7.1), and his knowledge of the executive's "present professional performance and functioning" (PPPF) as well as change story (CS), an executive-development assessment expert might formulate the following recommendation, addressed to the coach and/or the Corporate Development Officer:

S1 is presently ensconced in a solid self-authoring stance which shows some potential for his moving into a position of greater insight into the limitations of his self system. This move is dependent on

his ability to strengthen his transformational systems thinking (metaform endorsements), i.e., his ability to "understand particular phenomena in the context of larger organizing forms, and to describe ways of relating these forms to each other" (Basseches, 1984, p. 151). Transcending his present stage position is also dependent on increasing his grasp of ongoing interactions, especially outside of his unit (motion schemata #5 & 6), and a strengthening of his beginning sense of the correlativity of his own behavior and self-perception with that of others, especially superiors (motion schema #4).

It is recommended that S1's increasing grasp of interindividual dynamics be promoted through continued coaching, with an emphasis on interpersonal role functioning and self/role integration. Opportunities for taking multiple perspectives on organizational matters (presuming metaformal capacities) will be of particular benefit. This can be accomplished by relying on S1's well developed ability, to see situations and states of mind relative to the context in which they arise (contextual relativism; form schema #11), and to grasp, although with some effort, the limits of separateness in his organizational functioning (relationship schema #12). Secondarily, his fine grasp of interactivity, especially in working with his peers, can be harnessed to the task of teaching him how to transcend the boundaries of his own unit, and applying a more interactive approach to his dealings with outside stakeholders. By way of such teaching, S1's ability to increase the endorsement of a broad range of schemata from weak to strong, and thereby preparing him to assume a 4(5) position, may bear fruit within a foreseeable future.

Since S1's process profile conveys considerable evenness of the processes undergirding his developmental position, a fact that can be both an obstacle and a spur for developmental change to occur, the coach should pay particular attention to S1's tendency "to move in place," in order to assist him in avoiding developmental arrest. This holds in particular since S1's potential/clarity index ($\{p=2 < c=9\}$) conveys that he may be ensconced in his present developmental position, with little incentive to move beyond it ("One thing I am not changing is me. You don't change people. ... Nobody is going to change me.," see Vignette S1, chapter III).

As all clinical assessments, this statement about S1 is highly confidential. It derives its realism from the conjunction of the structure and process assessment, thus the ability to make DSPT [TM] diagnoses the basis of prognoses. The assessment is based on the assessment expert's intimate knowledge of the coachee's functioning and change story. The accuracy of the prognosis can be further enhanced by including in the S1 data base additional information about present business strategy as far as it effects his unit, explicit 360-degree feedback, and information on the organizational context within which his unit is operating. Clearly, a piece of advice like the above brings the DSPT [TM] to life, not just as an assessment instrument for purposes of developmental psychology, but equally as an effective tool in an organizational context.

In order to put the above prognosis into perspective, and to show the specificity the DSPT [TM] is capable of given different data, below, I discuss a second profile, that of S5.

```
STAGE                   PERCENT
(TELOS)                 OF  OPTIMUM
                            [m,f,r,t]

_____

S5 = 4(5) {p=7,c=4}     [0,0,50,44]
Group  average          [23,15,18,24]

_____
```

S5= 4(5) {7,4} [m=-23,f=-15,r=+32,t=+20].

Taking into account the available structural and processual information on S5 (potential/clarity index; strongest and weakest schemata endorsements), as well as PPPF and CS content information from the interviews with S5, the DSPT ^{TM} assessment expert would point out that in comparison with the group as a whole, S5 significantly exceeds the group mean for both relationship (r=+32%) and metaform endorsements (t=+20%), but shows significantly lower than group-expectable performance in his motion (m=-23%) and form endorsements (f=-15%). S5 is moreover the only executive in the group with a stage score higher than 4 and, in addition to that, a potential/clarity index that in its potential exceeds the clarity with which the present structural developmental level is held (4(5) {7,4}). This structural profile points to a vulnerability in maintaining a structural-developmental status quo in the presence of a high potential for transcending it, thus a kind of ontic-developmental "jitter" that cries out for assistance through executive coaching. Simultaneously, there can be no doubt that S5 embodies the group's strongest insight into interactive and constitutive relationships (r=50%), as well as the highest metaformal capacity (t=44%). Despite the cognitive disequilibrium expressed in his process assessment ([0,0,50,44]), it is undisputable that S5 has a potential for integrated leadership that outdoes that of the remaining members of the executive group. In light of this diagnostic statement, an assessment expert might formulate the following recommendations to the coach and the Corporate Developmental Officer:

S5 dramatically departs from the average and expectable structural profile of

the group. On one hand, he falls below the group mean in his motion and form endorsements, while he far exceeds that mean in his relationship and metaform endorsements. Consequently, his cognitive-developmental flexibility is characterized by a superb grasp of constitutive relationships linked to an almost equally good grasp of

systems in transformation and form construction. However, the fact that he partially excels in system-transformational thought cannot disguise a considerable disequilibrium, as shown by his deficient grasp of motion and form which indicates a lack of constructive means that can support metaformal insight. For this

reason, it is recommended that S5 be given continued support for strengthening his ability to model leadership, beyond the limited period of coaching he has been granted. This may not only benefit his own unit, but may have beneficial repercussions beyond his immediate work environment, including the entire organization.

Making the assumption that a partial instantiation of the dialectical-schemata framework points to a vulnerability to developmental disequilibrium (Basseches, 1984, pp. 157 f.), one can surmise that the absence of motion and form schemata in S5's profile presents a processual vulnerabilty of some kind. The vulnerability seems to have to do with his ability to deal with change and grasp stability of forms through change, especially when the change is personal. Seen in the context of his structural scoring of 4(5), this vulnerability pertains not just to an absence of certain categorical endorsements, but to his ability to transcend his self-system without risk of regression (to 4 or even 4/3) under conditions of adversity. S5's report that for a long time he was unable to take a strong stand, and has felt emasculated and ready to give up on his values, points to a regressive experience of this kind (although one should not mistake structural scorings for causal factors apt to explain an individual's unique psychological organization, see chapter II., section 3).

In contrast to this vulnerability, S5's developmental status quo is characterized by high resilience in the processual domains of relationship and metaform endorsements, on one hand, and a potential for stage transendence ({7,4}), on the other. Specifically, the latter is shown by the fact (1) that he exceeds group norms in repeatedly articulating an epistemologic world view of 5/4, although without a commensurate intermediate endorsement of a 4/5 epistemologic, and (2) that the clarity of his stage position (c=4) is not very pronounced (Appendix C8, Table III.10):

_____

S5 stage scores of subject/object interview bits:

4(3)	4	4(5)	4/5	5/4	
1	2	4	0	3	=10

On the process side, resilience is shown by S5's strong endorsement of the existence of relationships (schemata #12 & 15), his acceptance of contradiction and negativity as promoting of development (metaform schema #16), his high valuation of form in motion, i.e., developmental progression (metaform schema #18), and his grasp of the nature of open, self-transforming systems (metaform schema #21; see Table C7.5, Appendix C7). Given both his vulnerability and resilience measures, a case can be made for

strong organizational support for a rare and fragile ability of leadership. It is presumably here that a coach could advocate for S5, especially by being in touch with the Corporate Development Officer.

In terms of the "rehabilitation" of S5's cognitive-developmental flexibility, the coach is advised to assist S5 by modeling, in the coaching interaction itself, the psychological aspects of an endorsement of motion and form. This entails a focus on the primacy of motion taking place between coach and coachee (transference & countertransference), the correlativity of both parties, and on the interactive nature of the knowledge they co-construct in sessions. With regard to increasing endorsements of the category of form, the coach could put increased emphasis (1) on coaching situations as elements of an ongoing developmental process through which the stability of S5's personality as a form increasingly emerges, (2) on the coaching alliance as an equilibrated whole, and (3) on the contextual embedding of the coaching in the organizational culture of the company (contextual relativism). In short, in order to solidify S5's stage position (4(5)) in the presence of risks for regression, increased motion and form endorsements are crucial. Since S5 is, in many ways far ahead of the group in terms of relationship and metaform endorsements, he is a resource the company cannot afford to lose. Therefore, the quality of the coach working with S5 on the named deficiencies has to be carefully assessed.

As the case of S5 suggests, leadership talent is often a very fragile commodity. While the extent of relationship and metaform endorsements presage an excellent leader, the lack of a grasp of motion and form in the profile tend to cancel out the promises of excellence. Nevertheless, a profile such as that of S5 shows obvious

resilience, as is documented by his indexed stage score (4(5) {7,4}). It is therefore the task of the coach, to harness and safeguard that resilience, which in S5 is bound to a strong sense for the benefits of adversity.

***

Although the recommendations for executive S4 are presented in Appendix D1, there is one aspect of her DSPT TM assessment that is of relevance to the formulation of assessments and recommendations generally, viz., the difference of stage score and personal style. Below, I briefly exemplify this difference by pointing to findings regarding executive S4. This executive shows the following DSPT TM profile:

```
STAGE                PERCENT
(TELOS)          OF  OPTIMUM
                      [m,f,r,t]
        _____
```

S4 = 4 {p=3, c=5}   [21,0,1,26]

Group average   [23,15,18,24].

_____

S4= 4 {3,5} [m=-2,f=-15,r=-17,t=+2].

In re-reading S4's vignette in chapter III, what emerges is an obvious discrepancy between her content-focused description of the "present professional performance and functioning" (PPPF) and change story, on one hand, and her structural scores shown above, especially her process profile, on the other. While in her content statements, S4 comes across as a stylistically highly "relational" individual, neither her process nor structure assessment make such relationality apparent. In fact, even compared to the modest group mean (r=18%), S4 underperforms in this domain (r=-17%). This discrepancy between stage and schemata endorsements, on one hand, and personal style, on the other, highlights several important issues.

First, the stage/style discrepancy shows that a self-authorer sporting a relational style does not necessarily exhibit a commensurate structural endorsement of relationship schemata. This underscores the fact that the process profile is a systemic one, and that consequently there is no one-to-one correspondence between a structural relationship score (e.g., r=-17%, or any other), and a professed content of

relationality (as a simple-minded notion of "construct validity" would have it). Rather, the imbalance of the components of S4's process profile precludes a correspondence of structure and content. The discrepancy also shows, that structural profiles, whether formulated in terms of stage (telos) or process profile (cognitive-developmental flexibility), should not be mistaken for "character sketches" or "profiles of social adaptedness." Third, it appears that S4's understanding of relationship is closer to

motion, viz., to correlativity and interactive knowledge generation, than constitutive relationship proper. Consequently, her stylistic relationality (expressed by content) is appropriately scored structurally as an endorsement of motion schemata, which explains the absence of endorsements of relationship in her profile. In short, there are cases where it is easy to mistake insight into motion for insight into relationship.

In summary, when assessing executives and giving advice to coaches, as well as in describing the DSPT [TM], the following pitfalls should be avoided:

- structural profiles are not character sketches (clinical
    vignettes)
- teleological stage descriptions are not causal explanations
    of individuals' unique psychological organization
- dialectical-schemata profiles, being structural assessments,
    do not necessarily translate into behavior described by

              content statement, especially not in the presence of

              structural disequilibrium

- a simple-minded notion of construct validity in the sense of

              equivalence between structural assessment and observable

              organizational behavior is unwarranted

- discrepancy between content and structure is not a result of

              erroneous scoring but of the systemic influence of structural

              descriptions on the components they comprise.

The pieces of advice given to coaches and Corporate Development Officers, above, demonstrate both the specificity of DSPT ^{TM} prognoses and recommendations, and the utility of the instrument for monitoring the work of individual coaches and the effectiveness of entire coaching and development programs (see V.3.6, below). The demonstration provides a basis for understanding in what way the DSPT ^{TM} can be used to increase the accountability of coaches (see V.3.5, below). Finally, together with the two-way

comparisons between S1/S3 and S2/S6, included in Appendix D1, this demonstration has laid the groundwork for understanding the uses of the DSPT ^{TM} in succession planning (see V.3.7, below). When reflected upon in terms of the culture of an organization in which the DSPT ^{TM} functions, the above demonstration is also helpful in understanding the use of the instrument in culture transformation ventures (see V.3.8). I now turn to a discussion of the four just mentioned items.

3.5 Increasing the Accountability of Coaches

Given the fact that DSPT ^{TM} prognoses and recommendations can be formulated for both individuals and groups, coaches now possess a tool for assessing their own work with individuals and entire groups. Even if a coach does not carry out her DSPT ^{TM} assessments, she can be held responsible for her work to a higher degree than previously. By the same token, the Corporate Development Officer can work more closely with individual coaches, monitor their work, and assist them in reaching objectives mandated by current business strategy.

Coaches who do not carry out their own assessments can be advised as to how their work is going from an ontic-developmental perspective, and what they can do to improve their effectiveness. They can also be helped in understanding where their individual clients' roadblocks might be located, where their resistance to change may come from, and what their clients' crucial strengths and weaknesses in terms of cognitive-developmental flexibility and risk for stage slippage are. In addition, the coach is enabled in stepping back from her own work, and reflecting upon the coaching alliance from a more objective point of view, and thus retool her performance.

In this context, it is important to avoid the impression that ontic-developmental scores such as "stage 4(5)" or "metaform endorsed at 50%" can ever be used to stipulate agentic-developmental objectives satisfying business strategy, either for coaching or otherwise. Not only is such a use of scores not meaningful, it amounts to a caricature of the objectives of the DSPT ^TM, and constitutes a profound misunderstanding of the instrument's epistemological nature. This is so since a psychoeducational or direct behavioral use of ontic-developmental scores circumvents the mapping that is required to make sense of the scores (see V.2.2, & Fig. 5   ). The need for a mapping of scores into a suitable organizational domain requires an imaginative leap of thought for building a bridge between lifespan-developmental findings and their ethical uses in the

organizational environment, both for the individual or group concerned, and for the organization. Thus, while ontic-developmental scores can never directly be used to define strategic objectives, taking such scores and their meaning into account can sharpen the formulation of competency models functioning as a bridge to business strategy.

It is part of the responsibility of coaches, to avoid a misuse of ontic-developmental data for reaching unreflected behavioral goals. As a result, coaches not only become more accountable for their work. They also take on new responsibilities toward safeguarding their clients' welfare in the organization. In short, coaches serve as advocates of executives, not as their task masters.

3.6 Monitoring Corporate Coaching and Development Programs

As implied in the foregoing, individual-to-group comparisons are centrally useful for assessing entire coaching programs. For doing so competently, the organizational embeddedness of the program in the corporate culture, and its link to business objectives must be known and taken into account. It is not an easy task to relate ontic-developmental objectives to business strategy, since this can not be done along behavioral lines, as happens with psychological-trait language "bridges" built between competency models and business-strategic goals. This is the case since ontic-developmental objectives concern the deep-structure underpinnings of executive learning processes, rather than these processes themselves. Therefore, reaching such objectives can never simply be "observed" behaviorally, nor can it be speeded up artificially to serve some strategic purpose (See Appendix D3 for reasons.). W hether ontic-developmental objectives are reached can also not be assessed by the individuals concerned, but only by others, and then only indirectly, by using tools such as the DSPT ^TM. For this reason, it is more to the point to speak of ontic-developmental guideposts, rather than objectives.

Despite this difficulty, it makes sense to attempt tracking the ontic-developmental progress that is made in the framework of an agentic coaching and development program. At the risk of committing a "reverse ecological fallacy" (i.e., using individual-level data to draw conclusions about groups and entire programs),

there is a rather straightforward sense in which the DSPT ^{TM} approach introduced in this study can directly undergird efforts to assess and monitor organization-wide human-resource "mechanism" and "catalysts" in the sense of McCall (1998). After all, the goal of using the DSPT ^{TM} is to help not only individual coaches, but also the Corporate Development Officer keep track of where the executives being coached are going, be one step ahead of where the coaches are, and

understand what and where the potential roadblocks for coaching are to be found. Being a "clinical tool," the DSPT^{TM} is also able to locate the sources of resistance in a team or individual executive that block coaching effort, and to indicate what needs to be done, both collectively and individually, to focus or redirect coaching efforts.

Considering the result statement delivered by the DSPT ^{TM} for the entire group of executives from a monitoring perspective (see Table III.17, Appendix C8):

_____

STAGE (TELOS)	PERCENT OF OPTIMUM [m,f,r,t]

_____

S5 = 4(5) {7,4}	[0,0,50,44]
S6 = 4 {4,9}	[17,33,0,41]
S2 = 4 {5,8}	[46,0,17,15]
S4 = 4 {3,5}	[21,0,.08,26]
S1 = 4 {2,9}	[25,33,42,19]
S3 = 4 {0,9}	[29,22,0,.03]
Group average	[23,15,18,24]

_____

what springs to mind immediately is the need for follow-up. In order to monitor the coaching program that has generated the above results, the Corporate Developmental Officer needs data about the result of continued coaching six months to a year down the line. Assuming for the sake of argument that there is such data, generated by follow-up interviews, e.g.:

_____

Baseline and follow-up coaching outcomes

for a group of executives (hypothetical example)

_____

Developmental baseline	[23,15,18,24]

Follow-up   [21,30,37,44]

Progress made   [-2,+15,+19,+20(%)]

_____

clearly the coaching program has been able to boost the executive team's cognitive-developmental flexibility amply enough to make it likely that the members of the team will maintain their ontic-developmental position, or transcend it toward a higher telos. Overall, the motionist tendency of the group has been slightly reduced, and the evenness of schemata endorsements augmented. However, this is a more pedagogical than realistic example. One needs to be aware of the terrible simplification that presenting outcome data like the above tends to bring about, and should not forget that the high-level data presented are averages that level specificity. In addition, they summarize high-level, deep-structure developmental markers that are based on the schooled but nevertheless subjective assessment of interviewers, whose quasi-quantitative formulation may create at least as many misconceptions as it can inspire creative solutions in the Office of Human Resources. In this context, then, Fuqua's argument that warns of fallacies, is to the point, and so are his ethical concerns. Frankly, these are confidential data that should be inspected only by an expert like the Corporate Development Officer herself, and used as guideposts rather than strict requirement formulations as to how to refine and improve executive-development programs. As holds for all clinical assessments, these data should only be used by experts, that is, either developmental or clinical psychologists whose task it is to INTERPRET the data for laymen in the company. Nevertheless, it is evident that longitudinal follow-up of coaching teams is a future reality, and that the DSPT ^{TM} is a prototype of future tools working in the direction of increasing accountability and control, both for individual coaches and Corporate Developmental Officers.

3.7   Using the DSPT ^{TM} in Succession Planning

It remains to demonstrate the DSPT ^{TM}'s ability, to size up differences between two or more executives in view of performance levels required in, or expected for, organizationally critical assignments, such as are at stake in succession planning. Rather than being an instrument for "navel-gazing," as are assessment instruments that give the opportunity for getting lost in endless casuistics regarding an executive's "personality," when properly used the DSPT ^{TM} possesses considerable systemic power, since it sees the individual executive as part of a team, and is able to measure his or her performance and functioning against other members of the team as well as group averages.

For this reason, the DSPT ^{TM} seems equally appropriate for operationalizing and solving problems in succession planning, rather than just executive coaching. Toward this purpose, below I make a comparison between two executives who are relaltively close in the ranking of their developmental status quo, both in terms of their structure and process assessments:

STAGE   PERCENT OF

(TELOS)   OPTIMUM

                     [m,f,r,t]

_____

S2 = 4 {p=5, c=8} [46,0,17,15]

S6 = 4 {p=4, c=9}   [17,33,0,41]

Group average   [23,15,18,24]

_____

Comparison among each other:

S2= 4{5,8}   [m=+29,f=-33,r=+17,t=-26]

S6= 4{4,9}   [m=-29,f=+33,r=-17,t=+26]

_____

Comparison against the group mean:

S2= 4{5,8} [m=+23,f=-15,r=-1,t=-9]

S6= 4{4,9} [m=-6,f=+18,r=-18,t=+17].

_____

Let us assume that a company is seeking a successor to the President, and there presently is no executive who could boost an ontic-developmental stage score higher than 4. Who among the two candidates above might be the more promising successor? To answer this question, the President can engage in two comparisons: first, that between the two candidates, and second, that between both of them and the group from which they were selected.

On the first comparison, it appears that both candidates are embodying the stage-4 developmental position with nearly equal solidity (c=8 or 9), as well as with nearly equal potential for transcending it (p=5 or 4). S2 has considerable strengths in the domain of motion, while S6 has strengths in the domain of form and metaform. Conceivably, this difference could play out organizationally in a keener vigilance for change and sense of the primacy of motion on the side of S2, who endorses a broad range of motion schemata, on one hand (m=+29%) ; and a better sense for stability across change and the nature of transformation in S6 (f=+33%). Since S6's sense of transformation derives from the endorsement of a broad range of metaformal schemata

(see Tables C7.2 & C7.6, Appendix C), his sense of resolving disequilibrium and negativity (schema #16), and the facility with which he makes evaluative comparisons between different forms and systems (rather than being able to relate them; schema

#19) might be a commodity of great value to the company at the present time. In light of his strong form endorsements, it seems, in addition, that S6 has a better sense than S2 for how to relate facts and ideas to their context, and how to conceive part-whole relationships. By contrast, S2 would most likely shine in

regard to sensing the primacy of change (schema #2), injecting motion where it is denied or resisted (schema #7, and in regard to being able to see situations and events as moments of an overarching historical and/or developmental process (schema #8).

In regard to their self-position (stage 4), the fact that S2 is primed for sensing motion, and S6 for grasping change as transformation, bestows on the two executives a different kind of vulnerability as well as resilience. W hile S2's deficit in form endorsement (f=-33%) could play out as a difficulty in grasping his own professional identity as part of a larger, organizational whole, S6's deficit in relationship endorsement (r=-17%) might play out as a difficulty of grasping the intrinsic and constitutive relationships that bind him to his peers in the executive group, and thus stall him in working out his many disequilibria. While S2 is likely to be more of a risk-taker, S6 may be better able to take multiple perspectives on company matters (t=+26%), as is required for integrated leadership.

On the second comparison, evidently, S2's strengths in attending to unceasing change, appreciating the dynamics of mental movement and interaction, and his ability to see processes where others only see results, is a valuable asset for a President (motion=+23%). Equally evidently, S6's grasp of organized and patterned wholes (form=+18%) and his handling the limits of stability of such wholes (metaform=+17%) is an equally valuable asset for a President who conceives of the company he leads as an equilibrated entity. It will depend on the needs foremost on the present President's mind how these relative strengths and weaknesses are evaluated and acted upon. Considering that neither candidate is presently at the interindividual stage (stage 5), and has idiosyncractic and difficult-to-assess chances to move to that stage, the best solution to the succession planning puzzle might be to reject both candidates, and to search for a developmentally more mature, i.e, more highly "5-ish," candidate outside of the company.

As this short aperçu about succession planning shows, here too, the DSPT ^{TM} exhibits reasonable clout in operationalizing developmental prospects.

3.8 Coaching for Skills, Performance, and Agenda

It is of interest to check the above deliberations on coaching, and ontic-developmental progress through coaching, against the actual experience with coaching reported by the executives in chapter III. If it is true, as the empirical findings of this study suggest, that the change stories reflect executives' ontic-developmental status, these stories ought to have something to tell us about how executives view coaching, and the relationship between that view and where the executives are in terms of their DSPT ^{TM} assessed developmental status quo. Although the focus of the change stories is on coaching outcome, they at times permit insight into the way in which coaching is conceived by the executive. If one reads executives' change stories as stories about what they have ontic-developmentally been able to use coaching for, one also gets an inkling of what they believe coaching is all about. In light of the empirical findings, I would hypothesize, then, that, just as the outcome, executives' view of what coaching approaches

worked and did not work, would reflect their ontic developmental position. Taking Witherspoon's fourfold classification of coaching for (a) skills, (b) performance, (c) development (for a future job), and (d) agenda as a guideline (Appendix A4, section 4), below I document some executives' views of coaching. (For the complete change story of executives, see the vignettes in chapter III).

1. Coaching for Skills

As one would predict from the DSPT ^{TM} assessment, executives who see coaching as a way to improve their skills tend to be at a stage-4 position, in which they are embedded in their ideological self system. In the group of executives studied, this holds for all executives except S5, although with modifications depending on the potential/clarity index of the stage score that permits a ranking of individuals at stage 4. As one peruses the change stories (chapter III), the most transparent conception of coaching as coaching for skills emerges in S3's vignette that, when analyzed structurally, shows a total absence of relationship as well as metaform endorsements [29,22,0,0(%)]:

> For me, it's [i.e., the changes brought about by coaching]
> more a collection of tactical issues, as opposed to   strategical.
> ... I don't think there are any big changes (in other than
> tactical issues, O.L.).

What S3 has been able to use coaching for is the improvement of his communication skills, not so much in terms of communication "upward," but regarding how he deals with peers:

> coaching was a resource for reviewing what my process is for
> managing people, and to identify some new techniques that may help.

S3 has practiced these communication skills with the coach by using him like he would a peer (if he thought he had any peers):

> I think the biggest benefit has really been to [be able to] bounce
> things off as you would do if you had a number of peers.

In the case of S1, whose DSPT ^{TM} outcome of (4{2,9}[24,33,42,19%]) compares favorably to S3's of (4{0,9}[29,22,0,0%]) in terms of relationship and metaform endorsements, most statements refer to coaching for performance. However, some exceptions exist:

> Coaching has helped me develop an ability to step back and
> take another view of the same picture from a different angle.
> The second thing, very specifically, is I think my work with
> X. on communicating, and particularly on communicating
> upward, has improved.

While there is a skill component to "stepping back and taking another view of the same picture from a different angle," that component is far stronger in "communicating upward." In short, S1, who despite an identical stage

score demonstrates a higher cognitive-developmental flexibility than S3, is more invested in coaching for performance than for skills. The same can be said of S4 whose process profile shows a dramatic absence of form and relationship endorsements (4{3,5} [21,0,1,26%]). An exception might be:

> Through coaching, one of the behaviors I changed was to step back and not react immediately, but to go back and put together something (i.e, reasons): 'here are the reasons why I would like to hire another person at this juncture.'

In short, in the group of executives studied, the individuals who primarily use coaching as "coaching for skills" are those at a comparatively low level of ontic-developmental maturity.

2. Coaching for Performance

The majority of statements about coaching by S1 and S4 fall under this category of coaching, while S2's conception of coaching is a more hybrid one, merging coaching for performance and agenda. Some examples for using coaching to improve performance are as follows:

> S1
> More of an awareness of how perceptions and interpretations can work for you both positively and negatively
>
> to be able to understand that different bosses that you have have different styles in terms of what they like and dislike
>
> S2
> The coach is very helpful in making me see that a lot more clearly, in terms of how to relate the day-to-day activitiies to the overall goal.
>
> The coach has helped me put myself into whomever's behavior I am trying to affect, to stand in their shoes.
>
> S4
> Through coaching, one of the behaviors I have changed was to step back and not react immediately.
>
> Relying on other people's strengths, I don't have to do it all (by myself).

While some of these changes certainly have a skill aspect, the emphasis in the executive's change report is on improving performance.

3. Coaching for (Agentic) Development (i.e., for a Future Job)

None of the executives in the group studied is consciously using the coaching to train for another career. Although both S5 and S6 are not married to their career in the present company, they are following more of an inner agenda than an outer one, as shown below.

4. Coaching for Agenda

By this term, Witherspoon (1996) has in mind a situation in which the executive determines the agenda of the coaching, using it for the day-to-day processing of strategic items as he or she sees fit, and with

no goal other than to clarify his or her approach to tasks, the telos of their actions, and their mission. The decisive feature of this kind of coaching is that the executive, not the coach, is in charge of the goals of the coaching. Although in the case of S6, internal criticism of his performance has been the foremost trigger of his acceptance of coaching, in his use of coaching he primarily follows an inner agenda, that of self-reconciliation and self-development. This also holds for S5 who perhaps most clearly transcends W itherspoon's classification, by demonstrating "coaching for self-development" in the sense of ontic development. Interestingly, S6 is perhaps the most versatile in his use of coaching, which comprises coaching for skills, performance, and (inner) agenda:

Skill:
So, I have just applied myself and learned some tricks, and focused in on the things which I like doing the least, and am least gifted in. I haven't become excellent at them, and I don't spend all my time at them, but there has been a substantial amount of improvement.

Performance:
I am a better listener, and more cognizant of the degree to which my body-English, my impatience, my criticism can demoralize and even inject an element of fear into someone's professional and personal demeanor. I have been more self-aware of my behaviors.

(Inner) agenda:
This whole process of executive coaching ... has led me, not to a conclusion or any triumphant resolution, but I think I am increasingly focusing on what is important to me, as opposed to what is important to others about me, or about my emotions.

I don't know whether it (i.e., the coaching, OL) a synthesizing mechanism, but it's a very comfortable and honest opportunity to talk about things I can't talk about to anybody else. So, I call the coach my rabbi.

5. Coaching for Adult Development

S5's use of coaching is in a class by itself, as his DSPT ^{TM} assessment of (4(5){7,4}[0,0,50,44%]) might lead one to expect. This is shown by the following statements:

Coaching has reconfirmed my commitment to myself to be consistent, and not just give in to whatever the temporary corporate culture may be.

Coaching has been catalytic on a couple of other fronts. It has gotten me to become re-interested in leadership, improving my leadership capabilities .... (and) to rethink and relearn some different aspects of what leadership means to me anyway, and then try to re-implement them.

When coaching is used in this way consistently, as it is by S5, one may well speak of "coaching for an inner aqenda," or coaching for adult development.

In summary, perusing executives' change stories from the point of view of how their ontic-developmental position has permitted them to use coaching for their own

purposes, the following evidence emerges:

Table V.1
Uses of Coaching
as a Function of Ontic-Developmental Status Quo

Subject Stage Potential	Meta- & Clarity	Type of Coaoching form,	Endorsed %	
S5	4(5){7,4}	p > c	44	Adult development, skill, performance, agenda
S6	4 {4,9}	p < c	41	Adult development (inner agenda)
S2	4 {5,8}	p < c	15	Performance/agenda
S4	4 {3,5}	p < c	26	Performance
S1	4 {2,9}	p < c	19	Skills/ performance
S3	4 {0,9}	p < c	1	Skills

In short, just as executives' change stories are an expression of their cognitive-developmental flexibility and ontic-developmental status quo, so is the use they are able to make of coaching (taking into account some ambiguity in the sequence of metaform endorsements). With a higher indexed stage score and more elevated metaform endorsements, the ability to use coaching for more than a single purpose, and to make adult development a conscious telos of the coaching, is strengthened. As a consequence, one can say that Witherspoon's classification of coaching functions is not so much one of coaching goals set by the coach or the organization, but implicitly by the coachee, who, dependent on where he or she is along the lifespan trajectory, has a variable number of options of how to use coaching. This implies that a mature coachee allied with a moderately mature coach would conceivably be able to use even coaching for skills and performance for his or her own purposes, for instance, for furthering an inner agenda. But this conjecture regarding the ontic-developmental compatibility of coach and coachee remains to be researched empirically.

3.9 The DSPT ^{TM} as a Culture Transformation Tool

In this section, I begin linking myself back to the literature on coaching, considering coaching as one of the major "catalysts" of agentic development efforts. Although being in a coaching relationship is a kind of experiential learning, there are two additional ingredients that make coaching different from typical learning situations in organizations: first, coaching is based on reflection more than on action, and second, it is based on a working alliance that, as clinical research on outcome in psychotherapy tells us, is a major promotor of mental growth as well as mental health (Luborsky, Crits-Christoph, Mintz, & Auerbach, 1988). Beyond answering the question of "who will benefit from coaching?," answerable by way of a DSPT ^{TM}-pretest, the instrument developed in this study has a number of important properties for assessing coaching outcome and, beyond that, for embedding development activities in a systemic change effort involving both individuals and the organization as a whole. Such change efforts can be conceived in two ways, as "culture transformation" ventures (Martin, 1996), or as "cognitive restructuring" of a cyclic nature (Schein, 1992).

In contrast to most writings on executive coaching, in this study I have shifted the emphasis of inquiry from the question of HOW TO DO COACHING to the issue of WHAT

HAPPENS IN COACHING (ONTIC-DEVELOPMENTALLY), and to how what happens in coaching CAN BE RELIABLY ASSESSED (see also Laske, 1999). Although in a perfect world, answers to how-questions, posed by "practice theories of coaching" (Witherspoon, 1996), would seem to presuppose answers to what-questions, in the real world of organizations this is largely not the case. This is unfortunate, since without posing and answering what-questions, outcome studies remain an impossibility. For this reason, this study marks a turning point in the short history of executive coaching, especially since it transgresses the boundaries of purely academic inquiry, and delivers a tool for use in organizational environments.

One of the major findings of this study regarding the question of who benefits from coaching has been that the extent to which coaching is experienced as transformative, i.e., developmental, by executives depends on their ontic-developmental status quo. This finding implies that the question regarding coaching effects cannot be asked absolutely, out of context with ontic-developmental data. Executives who are not at a developmental position that evidences self- and other-awareness and boundary management of a certain quality are either unable to experience transformative effects on their agenda, or if they still "undergo" them, cannot report them. This entails that the question regarding coaching effects is not so much one of whether coaching can produce them, than what kind of

coaching has to be delivered to be in harmony with the ontic-developmental status quo of an executive ("where the executive is developmentally"), and what the coach must know about that status quo to produce transformative effects that transcend it.

In my view, the finding that preconditions of coaching as well as coaching outcomes vary with ontic-developmental status gives some credence to Witherspoon's (1996, p.125) notion that coaching represents "a continuum of functions," comprising (a) coaching for skills, (b) coaching for performance, (c) coaching for development, and (d) coaching for agenda, except that the term "development" as used by Witherspoon is an agentic one (meaning: career development and future job), while in the present context it refers to ontic-

developmental status. Considering W itherspoon's classification, the reader of this study will not go amiss in assuming that, in my view, all four functions named by him are ultimately determined by the ontic-developmental status of an executive. In harmony with assumptions made in this study, skill level and ontic-developmental status are as bound up with each other as are performance and ontic-developmental status. As to "coaching for development" in the sense of attaining a future position or job, clearly the chances of success in a higher career-slot are equally linked up with ontic-developmental position. In short, all of W itherspoon's (1996) four functions can be understood as derivatives of underlying ontic-developmental status.

To render this hypothesis more concrete, the reader might consider how he or she would assign the functions of skill, performance, development, and agenda coaching to the six executives interviewed in this study, now that their ontic-developmental status has been discussed. Why are S1 and S3, who hold a stage 4{2,9} and 4{0,9} position, respectively, more interested in skills and performance than, say, S5 who holds a 4(5){7,4}) position, and therefore is not identified with the technical requirements of his position, and is risking developmental élan and ambiguity over clarity? Is S2's use of coaching for learning "to act presidential" anything but a matter of "coaching for agenda" foisted upon an ontic-developmental position of almost as much clarity as potential of transcendence (4{5,8})? Is S4's eagerness to prepare herself for future assignments, and her use of "coaching for development" in the agentic sense, not equally in harmony with the near-equilibrium of clarity and potential in her indexed stage score? In other words, could it be that ontic-developmental status determines what kind of coaching an executive is seeking, "ready for," and benefitting from, as well as able to report transformational effects about?

***

In any use of assessment instruments that transcends the individual, the systemic preconditions, strengths, limitations, effects, and organizational reactions to the effects, of the instrument need to be taken into consideration. Understanding the nature of the instrument is thus as important as understanding the systemic repercussions of its use in an organization. Thinking of the DSPT ^{TM} in systemic terms requires a conception of the culture of the organization in question, as well as a notion of how the use of the assessment instrument is likely to effect that culture, or is going to be sabotaged by that culture. In other words, using an assessment instrument such as the DSPT ^{TM} is an intervention into the culture of an organization, especially if the instrument is used at the higher echelons of power.

I have found in the literature on change management and coaching two different perceptions of how change and development can be orchestrated in organizations by way of coaching understood as "cognitive restructuring," that of Peterson (1996) and of Schein (1992). Peterson's notion is a behavioristic, Schein's a clinical, one. Peterson defines coaching as "the process of equipping people with the tools, knowledge, and opportunities they need to develop themselves and become more effective" (Peterson et al., 1996, p. 78). He and his co-authors agree with McCall (1998) that "in today's organization, the

development of people is not optional, it is a business necessity" (Gebelein et al., 1996, p. 1). In order to teach organizations this point of view, Peterson et al. recommend an organization-wide "development audit (TM) that determines the importance of people's development to the organization's business goals" (Gebelein et al., 1996, pp. 2-3):

> The audit helps organizations clarify strategic goals; identify the knowledge, skills, and abilities needed to achieve those goals; evaluate the current development system and its successes; and determine the changes needed to integrate the development of people into the fabric of how people in the organization work.

As this quote shows, in Peterson et al.'s approach McCall's (1998) vision, of defining business strategy with development goals in mind, and of "translating" it to appropriate "mechanisms and catalysts" of the executive-development system, takes on concrete form. Once clear expectations regarding development are set inside the organization, it is time to

"put processes in place that support the development of people" (Gebelein et al., 1996, p. 3):
> Strategic performance modeling will help determine the roles, competencies, and standards of performance needed in the future. Hiring criteria will help set standards for competency in coaching, development, continuous learning, intellectual curiosity, and personal and intellectual flexibility.

In Peterson's systemic and strategical conception, then, coaching is a component of a "development system" that is itself embedded in a company-wide, audit-based effort to develop people. In Gebelein's view (Gebelein et al, p. 3), this effort is two-sided:

> Development requires a partnership between the individual and the organization. Both are responsible for development; each needs to do its part to make it happen.

<p style="text-align:center">***</p>

The strengths and limitations of Peterson's clinically naive approach to agentic development are best seen by confronting it with Schein's (1992) notions regarding cognitive restructuring in organizations. What Schein proposes in his theory of cyclic culture change is germane to, and relevant for, both changes in an individual as well as an organization. Although Schein is not aware of ontic-developmental research, as a clinician, he is at least potentially sensitive to them. Following Kurt Lewin (Benne, 1984), Schein would view Peterson's company-wide "development audit" as an act of unfreezing, and his subsequent change efforts by way of coaching as an act of cognitive restructuring (Schein, 1992, p. 298):

> If any part of the core structure (of an organization's culture, O.L.) is to change in more than minor incremental ways, the system must first experience enough disequilibrium to force a coping process that goes beyond just reinforcing the assumptions that are already in place. ... This is what Lewin called unfreezing, or creating a motivation for change (my emphasis).

Put in ontic-developmental terms, and geared more to the individual, this entails (Basseches, 1984, pp. 302-303):

> For an educational experience to promote development, it must
> challenge those structures of reasoning which the individual uses
> to make sense of the world. It must first engage the individual's
> existing structures and, with them, the individual's emotional and
> cognitive investment in the experience. Then it must stretch
> those structures to their limits, and beyond, to the point where
> they are found wanting. At the same time, the experience must
> provide the elementary material out of which the individual can
> construct new, more sophisticated cognitive structures.

Here, the "unfreezing" aspect of the process is seen as a matter of challenging the

individual's (and organization's) existing cognitive structures and investment in them, in order to subsequently "stretch" them to the breaking point, "where they are found wanting." W ith regard to the preconditions of introducing the DSPT ^{TM} into organizational assessment, this might entail that the tool is especially welcome in a company that has experienced major setbacks, and is searching for improved ways of assessing and coaching its strategic pool of personnel.

From a more psychological point of view, the capability to unfreeze is linked to "seeing oneself differently" (Kaplan) or "seeing what is possible" (Basseches). This is well expressed by Kaplan who stresses the importance of assessment for development to help individuals transform (Kaplan, 1998, p. 1):

> The purpose of assessment for development is to stimulate
> individuals to see themselves differently and therefore
> to behavior differently and more effectively. To do this,
> the assessment must help individuals clearly understand
> the problems with their current ways of operating and,
> correspondingly, the opportunities to operate more
> effectively. What individuals understand about them-
> selves must be clear and powerful enough to compel them
> to change their minds about themselves and, as a result, change
> the way the behave (my emphasis, O.L.)

Schein goes on to define the second phase of cyclic organizational change processes, cognitive restructuring, as follows (Schein, 1992, p. 301):

> Once an organization has been unfrozen, the change process
> proceeds along a number of different lines that reflect either
> new learning through trial and error based on scanning the
> environment broadly, or imitation of role models based on
> psychological identification with the role model (my emphasis, O.L.)

Rather than simply proposing to elaborate and "implement" individual development plans (Peterson, 1996, p. 78; Peterson & Hicks, 1996; Saporito, 1996, pp. 97-99), Schein's more clinically informed notion of cognitive

restructuring emphasizes the coaching alliance--"imitation of role models based on psychological identification with the role model"--as an important carrier of the change effort. Reinforcing Basseches' notion of developmental effects, Schein elaborates (1992, p. 301):

> In either case, the essence of the new learning is usually some cognitive redefinition of some of the core concepts in the assumption set,
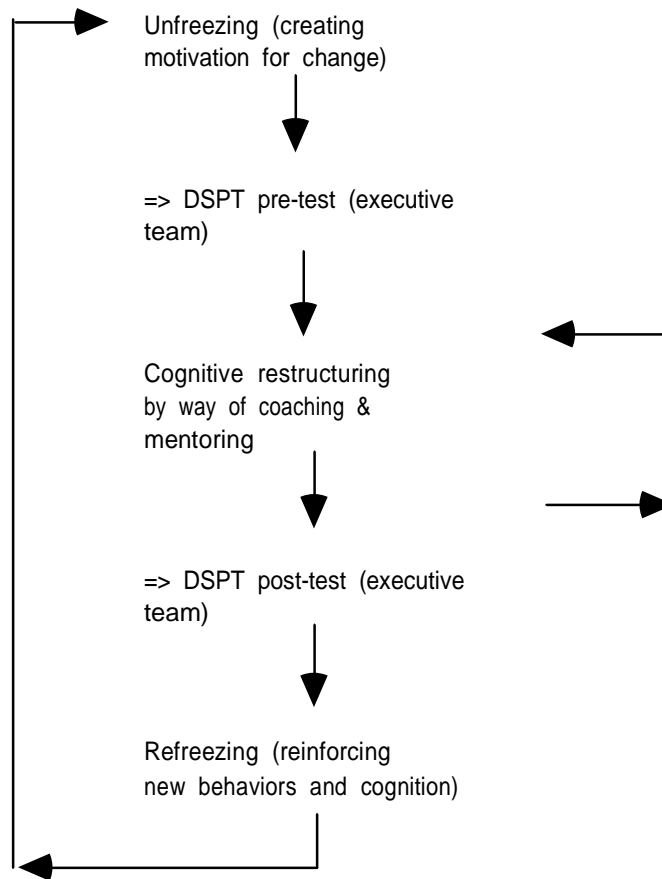
adding, in a further elaboration (Schein, 1992, p. 302):

> Most change processes emphasize the need for behavior change. Such change is important in laying the groundwork for cognitive redefinition but is not sufficient unless such redefinition (of some of the concepts of the assumption set, O.L.) takes place.

Linking Kaplan's notion of assessment for development for the purpose of unfreezing, and Schein's as well as Basseches' notions of cognitive restructuring, we arrive at a situation where the conditions for using the DSPT[TM] in order to bring about systemic transformations become evident. Given that the DSPT [TM] is an epistemological instrument, thus an instrument for "assessment for development" which gauges "some cognitive redefinition of some of the core concepts in the assumption set" of executives, it is well suited for assessing and monitoring the cognitive restructuring effort brought about by corporate coaching programs. The DSPT[TM] is also suited for the last phase of the change process, defined by Schein as "refreezing" (Schein, 1992, p. 302):

> The final step in any given change process is refreezing, which refers to the necessity for the new behavior and set of cognitions to be reinforced, to produce once again confirming data. ... Once confirming data from important environmental sources, external stakeholders, or internal sources are produced, the new assumptions gradually stabilize until new disconfirmations start the change process all over again (my emphasis, O.L.).

As a result of these deliberations based on the organizational change literature, I propose the following utilization of the DSPT [TM] in coaching for the purpose of culture transformation:

Unfreezing (creating
motion for change)

=> DSPT pre-test (executive
team)

Cognitive restructuring
by way of coaching &
mentoring

=> DSPT post-test (executive
team)

Refreezing (reinforcing
new behaviors and cognition)

Here, the pre-test is used to define a developmental baseline for a group of executives whose performance is deemed decisive for culture transformation efforts to succeed in the organization. After a period of coaching, the DSPT ^{TM} is applied as a post-test, to inspect whether ontic-developmental changes have occurred, and if so, which, as well as which executives manifest such change. In the inner loop, coaching may then be extended or intensified, to create more broadly based ontic-developmental changes in executives, until a critical mass is reached that suffices for promoting the intended change effort company-wide. At that point, coaching can be used to refreeze the executives' mental dispositions "until new disconfirmations start the change process all over again" (Schein, 1992, p. 312). In short, there are two different kinds of coaching, first, coaching for cognitive restructuring, and second, coaching for refreezing. In both applications the DSPT ^{TM}, when used strategically, i.e., with a focused coaching effort in mind, functions as a culture transformation instrument.

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If Kaplan and Schein are right, "seeing themselves differently and therefore behaving differently" (Kaplan, 1998, p. 1) and "becoming marginal in their culture" (Schein, 1992, p. 312) are important outcomes of coaching for individuals. In terms of the DSPT [TM], these abilities have to do with "redefining some of the core concepts in the assumption set" (Schein, 1992, p. 301), thus with making use of cognitive disequilibrium for transcending one's ontic-developmental status quo. In light of this, the disequilibrium discerned by the DSPT[TM] is not so much a "deficit," as it is a condition whose propitious use in coaching can lead to development in the ontic sense of the term. This implies a clear distinction between behavior change and adult development, or agentic and ontic development, as proposed in chapter I of this study (Schein, 1992, p. 302):

> Most change processes emphasize the need for behavior change.
> Such change is important in laying the groundwork for cognitive
> redefinition but is not sufficient unless such redefinition (of some
> of the core concepts in the assumption set) takes place.

When exploring how notions developed by "practice theories for coaching executives" (Witherspoon, 1996, p. 133) relate to these notions of cognitive restructuring, the following observation of mine in Appendix A4 can serve as a guideline:

> Theories of coaching, as far as they exist beyond the level
> of pragmatic philosophies of how to "do" coaching, are following
> either a "person-in-environment" approach, or a more
> psychodynamic, nonstage, "executive character" approach
> reminiscent of Kaplan (1991) or Martin (1996). In addition
> to these two theory-derived approaches, there exists a host
> of formalized or semi-formalized pragmatic, "how to"
> approaches to coaching deriving from non-clincal business
> consulting. These approaches mainly use a variety of trait-
> psychological conceptions of personal change filtered through,
> and intertwined with, conceptions of "organizational imperatives."

In the landscape sketched above, the DSPT [TM] is located between the behavioristic "person in environment" approach focusing on an individual's role, and exemplified by "competence models" and "success profiles" (Peterson, 1996; Saporito, 1996, and others), on one hand, and the "executive character approch" focusing on an individual's self   of Kaplan

(1991) and Martin (1996), on the other. As was pointed out in Appendix A4, the kind of assessment that is done prior to coaching, to a large measure determines the kind of coaching that is envisioned and can be accomplished. For this reason, the selection of the appropriate instruments for pre-testing candidates for coaching is extremely important. What matters in particular is whether the assessment for development that is done is "open" or "closed." The best example for a "closed" assessment, i.e., one which is restricted to assessing gaps between individual performance and organizational requirements, is a behavioristic

competency model or success profile. In contrast to such a closed assessment, Levinson proposes (1996, p. 119):

> The consultant would wisely help clients to understand the
> psychology of their stage of adult development and both the
> problems and advantages of characteristic behavior in that
> life stage (where "stage" can be translated by "phase" in the
> sense of D.J. Levinson et al., 1978,   O.L.)

Such a more open approach is also adopted by Diedrich, who points to the need to take into account both the executive's role and personality (self) (1996, p. 63):

> My efforts focus primarily on factors that are internal to the
> learner, while recognizing the context or social system in which
> the executive behavior takes place. I stress the fact that the executive
> needs to view behavior as a function of both role and personality; that
> is his or her observed behavior exists as a proportion of two types
> of performance: role-relevant versus personality-relevant.

While none of these "practice theories for coaching executives" approach the ontic-developmental conception of the DSPT [TM], they pave the way for a more open assessment of executives prior to and during or after coaching.

"Closed" and "open" are, of course relative terms. The DSPT [TM] assessment is "closed" in the sense that it is based on a standard test of ontic-developmental stage $(X\{p,c\})$ linked with an assessment of cognitive-developmental flexibility [m,f,r,t] in terms of schemata endorsement. However, the DSPT [TM] is equally a tool for an "open" assessment of executives, in that it focuses on the structural underpinnings of behavior manifestations, rather than being narrowly centered around pre-specified behaviors or personality traits, as is the case with competency models. Depending on the needs existing in the organizational context, the DSPT [TM] can be used in at least three different capacities: (1) as an assessment tool for individual executives regarding either their experiential learning or use of coaching; (2) as an assessment tool for groups and teams of executives;

and (3) as an ingredient of a culture transformation effort in association with a coaching initiative focused on the executive team as the culture bearer of the organization (Martin, 1996). W hen used as a pre-test, the DSPT[TM] reveals the potential of an executive, to benefit from coaching, and her potential for experiential learning ready to translate into ontic development. Using DSPT [TM] findings, the coach can make use of the executive's strengths in a totally flexible manner, geared to present strategical business objectives. The DSPT[TM] can equally be used by the Corporate Development Officer in order to provide information regarding the selection of required coaches, the desirable focus of their accountability, and optimal ways of monitoring them. Finally, as outlined above, the DSPT [TM] can be used as a tool for systemic culture transformation. In that capacity, DSPT [TM] interventions can be made at strategic points of the cyclic change process elucidated by Schein in terms of unfreezing, cognitive restructuring, and refreezing.

4. Implications of the DSPT ^{TM} Methodology and the Findings

In this section, I want to explore selected implications of the DSPT ^{TM} methodology with regard to its consequences for research in adult development, executive evelopment, and the new career contract said to be "protean," and a contract with self (Hall et al., 1996). For this reason, I am linking myself back to the literature which forms the conceptual context of this study.

In recent years, the domain of executive development has experienced an influx of new ideas. Especially thinkers in the field who are influenced by career theory, have introduced notions derived from feminist studies and "relational theory" (Hall et al., 1996), while maintaining their human-resource and symbolic focus (Bolman & Deal, 1991; Schein, 1992). Others have begun to explore the issue of executive self (Kaplan, 1991, 1998) and executive role (McCall, 1998), although these two vantage points have so far not much communicated with each other. What has remained elusive is the "integration" of executive and adult development that Cytrynbaum et al. (1989) called for, although a realistic ontic-developmental assessment of what Kram and Fletcher (1996) have called the "relational approach" to career theory has been made (Hodgetts, 1994). As to the adult development field, it has moved away from stage theories into more process-oriented (Fischer, 1980) as well as whole-life case studies, and has strengthened its person-in-development focus over the clinical navel-gazing and stage casuistics that for some time has hindered its effectiveness outside of its own domain (Demick et al., 1996). However, its long-standing emphasis on diagnosis, in contrast to prognosis, has largely been maintained.

In this study, I have subsumed developmental diagnosis under the intent of formulating developmental prognoses, and have shifted the emphasis from the WHAT of developmental positions to the HOW of mental processes that engender and maintain such positions. In this process, I have shown the ideological dichotomy between "stage" and "non-stage" formulations to be immaterial in view of the fact that teleological structures are destined to remain abstractions if not associated with the specific processes that make them possible, maintain them, and enable an individual to transcend them. As a result, practitioners of the field, to the extent that they can achieve a mapping of their abstract findings into relevant psychosocial domains, can be more confident of delivering relevant information, not only in risk and prevention studies, but for purposes of life-span and work-life planning generally. The young "field" of coaching, born of the necessities of "strategic" executive development, now can count on an approach and associated tool due to which its irrational dichotomy

between behavioristic and spiritualistic persuasions can dissolve into a more well-grounded approach. Given that coaching lies at the intersection of agentic and ontic development, the question of whether and under what conditions learning, experiential or not, translates into development, has moved to center stage. However, the processes that transmute experiential learning into development continue to be conceptualized mainly on behavioral (rather than epistemological) grounds. Fortunately, with the aid of longitudinal uses of tools such as the DSPT ^{TM}, adaptational and ontic-developmental consequences of

learning can be sorted out, and agentic development programs can be re-fashioned and refined accordingly. Last but not least, the issue of what are the ontic-developmental underpinnings of a "protean" career, as a process managed by the self, can be dealt with in greater psychological depth. In short, there is a multitude of issues that now come up for discussion. In order to be selective, I restrict the scope of my discussion to implications encoded into the DSPT ^{TM} itself. Consequently, the structure of this section is as follows:

1. The DSPT ^{TM} in studies of adult development
2. The DSPT ^{TM} in executive development
3. The DSPT ^{TM} methodology and the Protean career.

I close with a short epilogue.

4.1 The DSPT ^{TM} Methodology in Studies of Adult Development

The combined structure/process assessment of the DSPT ^{TM} pits a score emphasizing equilibrium ("stage") against one emphasizing pervasive (non-stage) disequilibrium (Basseches, 1984; 1989), even for individuals at a "pure," i.e., equilibrated stage such as stage-4. The DSPT ^{TM} benefits from this inbuilt developmental dialectic by utilizing it as a prognostic resource. In the context of the DSPT ^{TM}, the notion of stage is re-interpreted as developmental telos, and the disequilibrated schemata configuration associated with it is interpreted as the set of resources that leads to maintaining, transcending, or regressing from, the telos. The subsequent prognosis formulates the likelihood that an individual may regress from, maintain, get stuck, or transcend the presently instantiated equilibrium, referring to whatever task environment has been chosen for interpreting the developmental findings. This interpretation eliminates the relevance of "stage" versus "non-stage" conceptualizations of adult develoment and mental growth, by emphasizing that

disequilibrium, as R. Kegan would be the first to agree, is the motor of ontic development. The interpretation also validates Basseches' notion that disequilibrium is pervasive both ontic-developmentally and clinically, and when utilized appropriately can serve as a primary resource for therapeutic and coaching interventions (Basseches, 1989). The interpretation also puts in place a more comprehensive notion of "epistemologic" than either a structure or process assessment per se could substantiate.

In regard to the different notions of equilibrium implied by Kegan's structure and Basseches' process assessment of ontic-developmental level, the DSPT ^{TM} assumes a mediating position. While for Basseches, "equilibrium" entails an individual's ability, to "maintain constancy or order across a greater range of changes in the sensory (and, one might add, in the social) world" (Basseches, 1984, p. 34), Kegan's notion of equilibrium has the more neutral connotation of being embedded in, or "subject to," a particular ontic-developmental position, without the immediate ability of "emerging from (that)

embededdnes." In Basseches' perception, a cognitively more highly equilibrated individual such as S1 ([25,33,42,19(%)]) has the ability to stay identical with self when flooded by waves of turbulence, whereas a disequilibrated individual such as S5 ([0,0,50,44(%)]) does not. Such an individual also remains unperturbed by larger and larger waves of turbulence the more cognitive equilibrium takes hold. By contrast, in Kegan's perception, equilibrium, although it has to do with transcending stage-jitter or risk for slippage within the teleological range, is less specifically associated with higher developmental positions, but is rather found at any "pure" stage, such as 2,3,4, or 5. As a consequence, in the context of Kegan's world, one can use the term "equilibrium" in the plural, while in Basseches' world, the term signifies an optimal, and rather utopic, end-stage. In terms of an aperçu, one is dealing with the contrast between a more appollinic (Kegan) versus a dionysian equilibrium (Basseches).

Since Kegan's notion of equilibrium varies with the stage it refers to, I am tempted to think of a stage-3 equilibrium as based largely on motion, while I think of stage-4 equilibrium as based largely on form, and of a stage-5 equilibrium as based on relationship endorsements in the sense of Basseches' dialectical-schemata framework.

However, Kegan's stage-5 equilibrium, over and above having to embody interactive and constitutive relationships, also has to bring about the synthesis of motion, form, and relationship in the sense of metaform. A stage-3 equilibrium entails dependency on internalized viewpoints and values that derive from external others who stand good

for the wholeness of the individual referring to them. Therefore, the individual by force must possess a good grasp of interaction, correlativity, and the relativity of what seems to be his or her own personality within an overarching process, to be consistently re-assured of self-identity. A stage-4 equilibrium in Kegan's sense entails the ability to grasp stability through motion of one's identity, based on the organization of one's identity into a system. It thus requires one to be able to pay attention to the organized and patterned wholes of values and principles that make up one's integrity as a person. Finally, a stage-5 equilibrium cannot be achieved without a clear notion of the interactive and constitutive relationships that place an individual into an interindividual context, in which she can make herself into a context for the transformation of others. The stage-5 individual must simultaneously integrate into the transformative context her endorsement of motion, form, and relationship schemata, in order to achieve a grasp of systems in transformation leading to form construction. This twofold requirement of Kegan's "interindividual" stage 5 may explain why so few individuals are able to master it.

Although the above hypothesis regarding the processes individuals at different Kegan-stages have to manage cannot be literally substantiated by comparing the predominant schemata endorsement of executives with stage scores ("motionists" tending toward stage-3, and "formalists" towards stage-4, etc.), the hypothesis sheds some light on the schemata endorsements, i.e., the mental processes,

individuals at different Kegan-stages may have to negotiate. That the hypothesis is not borne out is simply the case because it flagrantly violates the systemic character of schemata endorsements, singling out, as it does, dialectical-schemata categories (such as "motion") as determinative of individual stage scores.

In my view, both Kegan's and Basseches' notions of equilibrium, to the extent that I have adequately understood and rendered them, retain an end-state positivity that one might, in light of the nature of dialectical thinking, consider as questionable or equivocal. If stability is only achieved through motion, as both Basseches and Kegan tell

us, then there can be no "end-stage" or "highest-stage" equilibrium. As a methodology conjoining the two different approaches to developmental equilibrium just discussed, the DSPT ^{TM} methodology implies a notion of equilibrium as an artificial theoretical construct beyond all stages, --a kind of Grenzbegriff (limit concept) of the nature of Kant's Ding-an-sich (Thing-in-itself). This construct of equilibrium is best rendered as being capable of suspended motion, as is a humming bird standing in the air, in which the potential for transcendence is balanced by the clarity with which the

presently actualized cognitive-developmental compromise expresses itself, both internally and externally. This more "esthetic" than "epistemological" or "clinical" notion of equilibrium is more of a rare occurrence than a pervasive state, and entails negativity and conflict to an even higher degreee than either Kegan's or Basseches'

notions are willing to concede. In terms of historical precedents, this notion of equilibirum is informed by T.W. Adorno's concept of negative dialectic (Adorno, 1973) which eschews all end-stage positivity as a residual unworthy of 20th century philosophy. In terms of negative dialectics that which is weak and damaged (by societal forces) at times holds more of a promise of strength than the fittest survivor.

Considering the hypothesis that the process statement of the DSPT ^{TM} is prognostic, not of stage or telos, but of the teleological range the stage is by definition embedded in, some clarification of the notion of disequilibrium is called for. On closer look, there are two different types of disequilibrium in the DSPT ^{TM}, structural (X{p,c}) and process-focused [m,f,r,t]. The first occurs when more than a single structure is in effect, such as in 4/5, or even 4(5). The second occurs whenever there is an a disequilibrated schemata endorsement pattern, i.e., an alternative pathway. (A third kind of disequilibrium, regarding the relationship of the potential and the clarity of a stage score, is presently too hypothetical to be considered.) The first disequilibrium points to an ontic-developmental conflict, while the second marks an imbalance of change conceptualizations feeding ontic-developmental conflict. With regard to disequilibrium, four different cases are conceivable:

1. structure equilibrium without process disequilibrium
2. structure equilibrium with process disequilibrium
3. structure disequlibrium without process disequilibrium
4. structure disequilibrium with process disequilibrium

In this study, the first and third case do not occur. There are no executives at an equilibrated developmental level (e.g., stage-4) who do not show cognitive disequilibrium in their process profile (case 1), nor are there executives at a 4(5), 4/5, or 5/4 level who do not show such disequilibrium (case 3). Rather, the second case is the norm, while the fourth case is represented by a single case, that of S5. In short, one can say that cognitive-developmental disequilibrium is pervasive in individuals' life. This is an observation that harks back to how Basseches describes what he calls the "unique psychological organization" of individuals (Basseches, 1984, p. 194):

> the idea of a person's "unique psychological organization" must refer, somewhat paradoxically, to the state of disorganization, as well as to the stage of organization, of the sum total of a person's activities and meaning-making schemes as exists at any point in time.

Following Basseches, one is warned not to reduce a developmental to a clinical disequilibrium (see Appendix A3). Developmental disequilibrium can not only manifest as clinical but is at the same time an indispensable step toward more sophisticated forms of balance. In short, clinical symptoms are the price humans pay for being permitted to advance in ontic-developmental equilibrium. This insight stresses the fact that cognitive disequilibrium, whether structural or procedural, is not simply a negativum, but potentially a creative resource rather than a deficit (as pathology-minded clinicians tend to assume).

When one leaves behind the ideological battles over stage and non-stage developmental asessments, what emerges is a tool that treats non-stage assessments as supportive of stage assessments, and stage assessments as relative to non-stage assessments. In my view, this is a "healthy" situation. Since non-stage assessment are, by definition, process-oriented, and stage assessments (except for Kegan's) are not, the two aspects of development, of requiring a telos as well as a pathway of approaching the telos, come into full view. For this reason, I do not consider the fact that the DSPT^{TM} is not specifically prognostic of either slippage from a stage, stasis, or transcendence of a stage, a "limitation" as much as a challenge to puzzle out in what direction further development may occur. As shown in Fig. 5 , this state of affairs is indicated by the fact that the actual DSPT ^{TM} methodology and prognosis is procedurally separate from the interpretation of the findings (the "puzzling out"). The latter requires a "mapping" into some empirical domain, be it organizational, academic, clinical, or whatever. In short, a clinical symptom-oriented or cognitive-behavioral interpretation of ontic-developmental findings is not in and by itself a mapping in the epistemological sense of the DSPT ^{TM}. (All mappings are interpretations, but not all interpretations are true mappings).

As shown in Fig. 5 , in order to be used properly, the DSPT ^{TM} needs to be embedded in an empirical context. In the present study, this context has been provided by executives' organizational environment AS SEEN BY THEM, viz., as manifest in the present professional performance and functioning and change story. However, any organizational or educational environment of interest can be

linked to DSPT ^{TM} output. As demonstrated in section V.3, above, the art of using the DSPT ^{TM} lies in achieving a

mapping of developmental data into some chosen empirical domain. The mapping must make sense of the structure and/or process profile yielded by an individual's self-report. In a situation where no developmental baseline exists, this is more difficult than in a longitudinally confirmed situation where previously generated developmental data can be accessed.

In interpreting DSPT ^{TM} findings, the central question asked by the psychologist or coach is the question Basseches asked when reflecting on the meaning of alternative pathways shown by disequilibrated schemata endorsements (Basseches, 1984, p. 214):

> What, then, does the individual using these (partial) patterns
> (i.e., schemata configurations, O.L.) experience? (My emphasis, O.L.)

Basseches answers:

> If life events are confronting individuals with precisely those
> problems that would pose difficulty for their forms of reasoning,
> then they will experience disequilibrium. As long as these events
> do not occur, these patterns might well remain comfortably stable.

In short, disequilibria are contextually triggered. In light of this, the most convincing way of viewing the DSPT ^{TM} is to see it as an epistemological instrument that aids in assessing and prognosticating potential vulnerability to stage slippage, fixation in a particular developmental position (stasis), or resilience for stage transcendence. Result formulations of DSPT ^{TM} findings can be geared to a number of other organizationally salient issues, such as business objectives, succession planning requirements, "competency models," 360-degree feedback deliverables, and personality (or "workplace personality") assessments. As holds for all expertly interpretations of assessment data, from cognitive, personality, to neuropsychological, clinical and occupational, "mapping" findings into some empirical domain of interest and then generating pertinent recommendations, is both an art and a science. In this context, a number of logistic issues arises:

1. what are the educational preconditions for administering the DSPT ^{TM}

2. how difficult is it to learn to interview for, and analyze, DSPT ^{TM} data (especially with regard to the subject/object interview)

3. how can one avoid misusing DSPT ^{TM} findings, e.g., by employing them to fabricate "character sketches" of executives

4. how is the confidentiality of assessment data to be guaranteed in an organizational environment

5. what is required of the Corporate Development Officer to guarantee such confidentiality?

As Lê Xuân Hy & J. Loevinger (1996, p. x) state in reference to another well-known ego-level test, Loevinger's Sentence Completion Test:

> The logic of ego theory dictates that only those with a relatively high
> ego level can become good raters of high level protocols. The chief access
> to a person's ego level is precisely that it limits what he or she can
> conceive and perceive; that limitation holds for raters as well as subjects.
> Fortunately, the manual and experience do extend a person's range. ...
> In summary, the personal qualifications for raters are technical training,
> its corresponding intellectual level, and a capacity for introspection,
> together with some inner freedom or access to intuition. ... Unfortunately,
> these are qualities that one cannot judge in oneself (my emphasis, O.L.)

I would adopt, what this quote says, as a guideline for administering the DSPT ᵀᴹ.

For questions regarding the linkage of the DSPT ᵀᴹ to other organizational assessment tools, see subsection V.2.4. For further reflections on generic methodological difficulties in using epistemological assessment tools, see Appendix D3.

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Reminding the reader of the natural bias every creator of a new assessment tool has regarding his or her product, in what follows, I briefly consider, (a) the claims, (b) the strengths, (c) the weaknesses, and (d) issues of future research involving the DSPT ᵀᴹ.

A. Claims

Claims regarding the DSPT ᵀᴹ should be seen in light of the demarcations between different "zones of influence" of developmental inquiry as outlined in Fig. 2. There, the epistemological zone of influence (circles #1 and 2) has been carefully distinguished from the domain of an individual's unique psychological organization (circle #3) and organizational functioning (circle #4) in a sociological surround (circle #5). W hile most behavioral assessment tools start from the organizational context (circle #4), and use psychological trait-language to bring about a mapping into the psychological domain (circle #3), the DSPTᵀᴹ is rooted in the circle of the self (circles #1 & 2), and requires a mapping of its findings into circles #3 and #4,

which, in fact, are different mappings. In the sense of Fig. 2, then, the DSPT ᵀᴹ is an epistemological instrument since it assesses the way individuals construe their world view, or epistemologic, which is thought to underly both their psychological and organizational functioning, co-determined by their cognitive-developmental flexibility (process).

1. Epistemological Claim : the DSPT ᵀᴹ is a tool for asessing self- or ego-development in terms of "orders of consciousness," and as such is not to be confounded

with a clinical tool assessing the "unique psychological organization" of individuals. In terms of Fig. 2 , this entails that the DSPT ^{TM} is operating within the inner circle, i.e., the SELF circle.

2. Systemic Claim : the components of the DSPT ^{TM} , i.e, (x-1,X{p,c},x+1) [m,f,r,t], stand in a systemic relationship to each other, as do the subcomponents within the process statement [mr,f,t] of the DSPT$^{TM.}$ The process component does not predict the structure component, but only its movement within a teleological range, which manifests as vulnerability or resilience, respectively.

The systemic claim is best illustrated by using an analogy to Popp's notion of boundaries as a two-dimensional concept (Popp, 1996, p. 153). According to this analogy, the DSPT ^{TM} comprises two dimensions, one of mental growth X{}p,c), and a second one, of cognitive-developmental flexibility ([m,f,r,t]). Cognitive-developmental flexibililty manifests as vulnerability or resilience, which is seen as the risk of stage slippage (x-1) or stage stasis (X), on one hand, and the potential for stage transcendence (x+1), on the other. According to this model, a particular "order of consciousness" or stage is associated with a variable number of schemata configurations as, for instance, found in this study:

_____

Stage 4   [17,33,0,41]

                    [46,0,17,15]

Stage 4(5)   [0,0,50,44]

                    [21,0,.08,26]

_____

where each schemata configuration refers to a different individual, and thus a different "alternative pathway" to the next higher stage, with implicit risks and vulnerabilities as well as potential resilience. While stages form the "vertical" (structural)
dimension of mental growth, schemata configurations form the "horizontal" (process-focused) dimension of cognitive-developmental flexibility. As in Popp's model, this interpretation of the DSPT ^{TM} leads to postulating different kinds of vulnerability:

    1. vulnerability associated with the stage itself
    2. vulnerability to slippage back to a "lower" stage
    3. vulnerability to stasis at a particular stage
    4. vulnerability regarding one's resilience in progressing to a higher stage.

In contrast to Popp's model, this set of vulnerabilities does not refer to an individual's unique psychological organization (circle no. 3, Fig. 2), but to an individual's organizational functioning in terms of either the way an individual experiences his/her present situation and performance, or of his/her openness to experiencing change ("experiential learning" in the ontic-developmental sense of the term; circles #4 & 5, Fig. 2). As one may add in the spirit of Basseches (1984, pp. 197-198), DSPT ^{TM} outcomes "may be expressed in an individual's psychological functioning (circle #3, Fig. 2) to greater or

lesser extent." In other words, what a person has to manage psychologically (Kegan, 1994, p. 167) is not made explicit but only suggested by a DSPT ^TM assessment.

   3. <u>Lessening of the Universality Claim</u> : Given that the DSPT ^TM constitutes a merger of a teleological (X{p,c}) and a phenomenological description ([m,f,r,t]), the universality claim typically made by stage theories of development is not eliminated, but lessened. By this is meant that since many different schemata configurations (process statements) may be associated with one and the same stage score, greater justice than in pure stage assessments is done by the DSPT ^TM to the idiosyncractic epistemological functioning of an individual. This greater concreteness imposes an additional interpretive burden on the user of the DSPT ^TM. The user has to make sense of DSPT ^TM outcome by "mapping" it to some concrete organizational situation or requirement, thereby generating the "construct validity" of the outcome which, in and by itself, is not guaranteed. That is, the DSPT ^TM user has to locate those phenomenological correspondences in the assessed individual's organizational environment that make formulating concrete "advice" and "recommendations" fruitful. It is thus not that DSPT ^TM constructs simply "have" validity; they require such validity to be bestowed on them by a mapping.

   4. <u>Strengthened "Person-in-Environment" Claim</u> : In terms of Demick's critique of developmental theories based on "isolated variables" like Kegan's "order of consciousness" (Demick, 1996, pp. 117), the DSPT ^TM, by conjoining two different epistemological descriptions, can conceivably make more of a claim to be focused not just on an isolated individual, but a person-in-environment. W hile Demick's critique of Kegan's 1994 conceptualizations is overstated, in that orders of consciousness are frankly and clearly said to represent psychosocial forces of a specific culture ("demands made on the mind by a culture"), it is correct that an "order of consciousness" approach tends to focus more on the "environment in the person" than the "person in environment," however described. However, the DSPT ^TM assessment,

 when expertly mapped to an organizational environment, reflects the deficits of coping with that environment. The DSPT ^TM reflects the way in which an individual internalizes an organizational environment as much as how an organizational environment determines an individual's cognitive stance. This "interplay between the individual and the organization"constitutes a major issue in Dalton's (1989, p. 90) as well as Arthur & Kram's (1989) model of development in the workplace.

   In short, while the DSPT ^TM, just as the methodologies it is based on, refers to the environment as "reflected" or "internalized" by the individual, rather than the environment per se (which it considers a lifeless abstraction), in requiring a concrete mapping of schemata configurations onto elements of the organizational environment--PPPF, CS, business-strategic objectives, succession planning requirements, etc,--the DSPT ^TM escapes what might called be the tunnel vision of developmental stage theories.

<u>B. Strengths</u>

1. The DSPT ^{TM} generates data for defining a developmental baseline for individual executives as well as groups of executives, and is focused on longitudinal follow-up.

2. In its emphasis on meaning-making in the organizational environment, the DSPT ^{TM} captures a basic human motivation, to make meaning of the organizational process itself.

3. The DSPT ^{TM} merges a teleological with a phenomenological description of individuals' functioning and performance in organizational environments. The teleological component is not situation-specific, while the phenomenological component, being customizable in its focus, is. As a result, the DSPT ^{TM} is a deep-structure analytical instrument that is open to a variety of interview foci and mappings of assessment data into organizational domains and objectives.

4. Due to the fact that both the topic of the dialectical-schemata interview and the domain into which process assessments (i.e., schemata endorsement statistics) are mapped, are open, the DSPT ^{TM} is highly customizable.

5. The epistemological assessment made by the DSPT ^{TM} potentially strengthens organizational and clinical assessments, by explicating an individual's ego-level frame of reference, and by elucidating the categorical structure of individuals' mental processes manifest in their conceptualization of inner and outer change.

6. By pointing to the vulnerability and resilience in an individual's change profile, the DSPT ^{TM} contributes to efforts such as coaching & mentoring for helping individuals engender a new epistemological equilibrium, and supports building alliances of an individual with an internal or external coach or mentor.

7. The DSPT ^{TM} is compatible with existing behavioral assessment instruments of an agentic nature. It contributes to the deep-structure analysis of behavioral data yielded by such instruments by way of an epistemological interpretation that focuses on the orders of consciousness manifesting in such data.

C. Logistic Limitations

Having discussed methodological limitations of the DSPT ^{TM} in section V.2.3, above, here I restrict myself to commenting on some logistic limitations.

1. The formulation of the DSPT ^{TM} is based on a small sample, and presently lacks norms.

2. The DSPT ^{TM} presently lacks an interview guide and a manual for learning the administration, analysis, and scoring of interviews.

3. In terms of structure (stage) assessment, the DSPT ^{TM} lacks explicit guidelines for determining stage; rather, the structure assessment is based on expert judgement that, while teachable, is not easy to learn. The structure assessment, being one of ego-level, also requires the commensurate ontic-developmental status of the rater (see Lê Xuân Hy et al., 1996).

4. Scoring in terms of the dialectical-schemata framework and mapping a progostic developmental assessment into some organizational domain (such as PPPF, CS, strategic business

objectives, and experiential learning opportunities) is based on expert judgment that may not be easy to learn.

5. The equivalence or non-equivalence of the DSPT ^{TM} in regard to other instruments assessing ego-level, such as the Sentence Completion Test (Lê Xuân Hy et al., 1996), is presently unclear.

Of these limitations, the most salient for organizational uses of the DSPT ^{TM} are those named under 2) to 4). These limitations imply the need for teaching materials for learning to administer and score the DSPT ^{TM}. This holds even more for any attempts to bring the DSTP ^{TM} on line.

D. Issues for Future Research

In terms of future research based on the DSPT ^{TM}, I am aware of three related issues: (1) testing the DSPT ^{TM} in longitudinal work; (2) applying the DSPT ^{TM} in clinical studies; and (3) applying the DSPT ^{TM} to better understand issues in adolescent development.

1. Longitudinal Uses of the DSPT ^{TM}

Longitudinal work with the DSPT ^{TM} would provide additional evidence regarding the prognostic capacity of the instrument. Once longitudinal data is available, the effectiveness of executive development activities such as coaching can be more carefully assessed, and development programs can be reviewed and refined in their entirety. Thoughts regarding executives' vulnerabililty, resilience, and risks of stasis in a particular stage equilibrium could be developed beyond initial hunches, and additional information about useful mappings of assessment data into the organizational context would become available. Using the instrument on two subpopulations, one that benefits from coaching, and another that does not, would make transformative effects of coching more clearly evident.

2. Clinical Uses

Given the fact that DSPT ^{TM} interviews are not by nature restricted to the organizational domain, but can equally be geared to an individual's present performance & functioning (PPF) and "change story" (CS) in the sense of treatment in the context of life span development generally, there is no reason why the DSPT ^{TM} could not be used in a clinical environment. This holds especially with regard to enhancing insight into an individual's potential for benefitting from psychotherapy, and the kind of intervention that is commensurate with the individual's ontic-developmental status quo. In fact, given the lack of developmental assessment tools of adults in clinical practice, the use of the DSPT ^{TM} could be most beneficial. Since in its process component, the developmental range of the instrument is restricted to adolescents and adults, and is thus more narrow than the structure assessment (which potentially applies to children), the preferred age range of the population it could be used for extends from early to late adulthood. Since the different strands of intellectual, psychosexual, and psychosocial development are thought to be essentially in place by early adulthood, the preferred diagnostic tool in later adulthood is one that focuses on ego-level, i.e., ontic, development.

The prognostic nature of the instrument would be as welcome in the clinical as it is in the organizational domain.

As Basseches puts it in "Disequilibrium and transformation" (Basseches, in press):

I see critical incidents n psychotherapy as involving transformations.
The most powerful ones in my experience involve a transformation
of the relationship (between client and therapist in individual
therapy), and a concomitant transformation in the client's understanding
of what is possible.

If one thinks of development "as transformation in the direction of greater epistemological adequacy, or as construction of more adequate forms of knowing" (Basseches, 1989, p. 189), then it is evident that a DSPT^{TM} prognosis could be a powerful tool, at least in long-term individual psychotherapy. Since what matters in such therapy is "the dialectical relationship between the ego and other aspects of the personality" (Basseches, 1989, p. 190), including clinical symptoms, the task of the therapist is to understand how a certain ontic-developmental position may foster clinically symptomatic behavior. Although the notion that insight alone can transform a symptom picture has rightfully been challenged, the "insight" in question in a clinical-developmental context is not simply the insight of an individual into his or her past ("how it all came about"), but more importantly insight into what is the meaning of the symptom for the individual presenting with it. Another important kind of insight is mentioned by Basseches, viz. (Basseches, in press):

a concomitant transformation in the client's understanding
of what is possible.

According to Basseches, what is urgently required to safeguard the benefit of ontic-developmental thinking in therapy is to distinguish between an individual's "unique psychological organization" as a clinical, and the process or structure profile of the individual as an epistemological entity. He defines a person's "unique (psychological) organization" as (Basseches, 1989, p. 194):

the sum total of her activities and meaning-making schemes,
however well-organized or disorganized, adaptive or maldaptive.

In contrast to the psychological organization, constructive-developmental stages, as defined in the DSPT^{TM} structure assessment (Basseches, 1989, p. 195):

describe ideal-type steps in the development of knowledge
(Basseches' emphasis).

As Basseches sees it, these ideal-typical descriptions of forms of equilibrium (Basseches, 1989, p. 196):

direct our attention to precisely those common features
of psychological organization which can be seen as being
in part responsible for a person's degree of success or failure

in maintaining equilibrium in a particular area of their
functioning,

where "equilibrium," as stated above, is defined as (Basseches, 1984, p. 34) as an individual's ability:

to maintain constancy or order across a greater range of changes
in the sensory (and social, O.L.) world.

With regard to the affect-based, unique psychological organization of an individual, this entails, according

to Basseches, that (1989, p. 199):

rather than assuming (as happens in psychoanalytically oriented
thinkers, O.L.) that affect derived from fixed instincts, and that
thought mainly manages the tasks of producing instinctual
satisfaction, constructive-developmental psychology assumes
that affect is constructively organized and that meaning-making
(the organizational/adaptational process itself) is a basic human
motivation.

As a consequence of this conception of affect, Basseches proposes (Basseches, 1989, p. 200):

that intrapsychic conflict between a person's most advanced ways
of making meaning, and other aspects of their inner experience and
motivated, organized activity, can be understood and therapeutically
addressed within a constructive-developmental framework.

When employing Basseches' framework to think about clinical uses of the DSPT ^{TM}, what differences

between Basseches' "process assessment" in terms of the dialectical-schemata framework, and Kegan's

"structure assessment," in terms of teleological

subject/object analysis, on one hand, and the DSPT ^{TM}, on the other, emerge, if any?

First, it should be remembered that, in practical terms, the DSPT ^{TM} combines a dialectical-
schemata "intake" interview regarding an individual's "present performance and functioning" (PPF) and

their change story (CS), on one hand, with a quasi projective, association-based subject/object interview.

Second, in his analysis of this material, the DSPT ^{TM} user combines a phenomenological description of

schemata endorsements [m,f,r,t] with a teleological description of the range in which the structural

equilibrium of an individual ($X\{p,c\}$) may be thought to oscillate, depending on the relationship of potential

(p) and clarity (c) with which the equilibrium is being expressed. If my notion of the DSPT ^{TM} equilibrium

as that of a hummingbird standing in the air, securing its stability through constant motion, makes sense,

and a positive "equilibrated" end-state is thus not in sight, then what can be said about the relationship of

the DSPT ^{TM} structure/process profile of an individual to his or her "unique psychological organization" in

the sense of Basseches, and thus about the clinical valence of DSPT ^{TM} assessments?

As in the executive-development context, I see the foremost value of the DSPT ^{TM} in its prognostic capabilities, deriving from the fact that a DSPT ^{TM} assessment not only states the teleological range of the equilibrium ("stage") that an individual presently instantiates, but also gives an epistemological description of the processes that undergird, or fail to undergird, that equilibrium. W hile associating to a motionist like S2 (4 {5,8} [motion=46, form=0, relationship=17, metaform= 15(%)]) the clinical notion of hypervigilance might be no more than an aperçu, --when considering the process statement as a systemic statement (whose elements are inseparable from each other), there is a sense in which specific schemata configurations could be seen to imply clinical aspects of the "unique psychological organization" of individuals. While this does not mean that every "motionist" is at risk for hypervigilance, it does mean, in an epistemological perspective, that a lack of form endorsements in the presence of an abundance of motion, and relatively weak relationship and metaform, endorsements, signals a mental disposition in which aspects of the clinical phenomenon of hypervigilance might emerge to form a "symptom picture." In this sense, a DSPT ^{TM} assessment might confirm, or give rise to, a clinical formulation derived from more causally relevant data. As holds for the use of the DSPT^{TM} generally, the art of using the instrument in a clinical, just as in an organizational, environment consists of mapping the assessment (X{p,c} [m,f,r,t]) into the appropriate phenomenological domain. By doing so, a therapist might assist an individual, not only in understanding his or her epistemological predicament, but in using the therapeutic alliance in such as way as to transform his or her meaning-making in the direction of transcending the present teleological range, thus realizing "what is possible."

A DSPT^{TM} Summary Sheet for clinical uses can be found in Appendix D2.

3. The DSPT ^{TM} and Adolescent Development

In his work of 1984, Basseches showed that adolescents ("freshmen and seniors") not only endorse a smaller number of dialectical schemata when compared to (adult) faculty, but also present with a larger number of absent schemata (Basseches, 1984, p. 158). He demonstrated as well that freshmen and seniors tend to obtain a lower overall index score than adult faculty (Basseches, 1984, p. 158):

> Clear differences exist among the three subsamples of freshmen,
> seniors, and faculty on all three of these dimensions, with, in
> each case, the faculty showing more evidence of dialectical
> thinking than the seniors, who in turn show more eivdence than
> do the freshmen.

Being interested in the growth of dialectical thinking beyond adolescence, and making the total index the basis of comparisons, Basseches took this result to mean that the adult faculty showed a "greater likelihood that the interviewee possesses the coordinated set of dialectical schemata or that a higher index reflects an interviewee's greater progress toward the achievement of dialectical thinking, as an

organized set of schemata" (Basseches, 1984, p. 158; Basseches' emphasis). In short, Basseches concluded that a higher total schemata-endorsement index pointed to an ontic-developmental maturation of adults compared to adolescents.

Having worked with a large number of adolescents and young adults at risk for a traumatic brain injury on account of their reckless driving under the influence of alcohol, it seems clear to me that a DSPT^{TM} assessment of such individuals would be most valuable. The assessment would substantiate how this subpopulation conceptualizes its "present performance and functioning" (PPF) and relates their story of life changes (CS) that accounts for its need to self-medicate with alcohol or drugs (process profile). The assessment further substantiates how members of this

subpopulation make sense of their personal experiences on the highway and in their social life generally, and thereby contribute to a structure assessment of the teleological range in which their present ontic-developmental equilibrium is located.

Most likely, the process profile of such individuals is void of relationship and metaform endorsements, while their structure profiles show a low stage-3, if not a stage-2, developmental delay or arrest that epistemologically grounds their driving behavior. In short, the DSPT ^{TM} is helpful in studies of risk-taking behavior, not only of behavior exhibited on the road. In addition, the relationship of DSPT ^{TM} findings to the outcome of parallel cognitive and intelligence assessments, if not also projective testing, can be scrutinized, and new ideas regarding a comprehensive clinical assessment of populations at risk can be generated. This comprehensive assessment is based on the notion that intellectual, psychosexual, psychosocial, and ego-development form a cohesive configuration, especially until early adulthood when, even in cases of pathology, the ego-level strand of development becomes dominant (Noam, 1986, 1988; Noam et al., 1995, 1996).

4.2 The DSPT ^{TM} in Executive Development

Conceptually, the most salient triangle in executive development today is that between self, role, and organizational strategy. In the era of the "Protean career contract" which, according to Hall, is a "contract with self" for which organizations provide no more than a temporary holding place (Hall et al., 1996), this triangle has been reconfigured. The effect of the rewriting of the contract has been that the executive alone, and more generally the employee, shoulders the full burden of his or her adult development. Due to this state of affairs, "strategic executive development," and even "executive development," are relatively new catchwords whose meaning has not been fully absorbed or realized by management. As a consequence, the executive development literature of the 1990s tends to be centered around two main ideas: first, that what matters in organizations is not "survival of the fittest," but "development of the fittest," and that the task of management is to link the development of human resources, particularly executive resources, to business strategy (McCall, 1998). As shown in Appendix A2, the related, often skirted, issue of self/role integration has been

conceptualized from different vantage points, such as "character" (Kaplan, 1991), "experience" (McCall, 1998), "protean" flexibility (Hall et al., 1996), and "leadership style" (Drath, 1990).

McCall (1998) as well as Kaplan (1991; 1998) have critized the traditional notion that executive development is something that takes care of itself. Kaplan has also

criticized the notion that executive development can be assessed in purely behavioral terms. The prominence of coaching in enlightened contemporary organizations is directly tied to the growing awareness that the adult development of executives is an important

corporate asset. What has not been well understood, even incipiently, is the decisive difference between agentic and ontic development of human resources. Therefore, the notion is rampant that "experiential learning" is essentially all that needs to be provided by organizations. This learning paradigm, that has been popularized by the term "learning organization," is a strictly agentic notion (having to do with what human nurture can

achieve). In contrast to this notion, this study has shown that there are ontic-developmental limits to experiential learning and human nurture that are rooted in the developmental status quo of executives (and individuals generally).

The widely adopted learning paradigm of executive development presently being glorified by the term "learning organization" flies in the face of adult-developmental evidence as provided by this study. The study has shown that different ontic-developmental status quo, as gauged by the DSPT ^{TM} in both structural and process terms, lead to qualitatively different organizational situation descriptions, change stories, and strengths & vulnerabilities in professional functioning. In contrast to this finding, applying the learning paradigm requires interpreting both the structural and the process assessment of the DSPT ^{TM} as being a matter of learning processes. This entails, concretely, to view an ontic-developmental level (stage) as a "skill set" or even as inborn "talent," and to view the level of dialectical schemata endorsements (of motion, form, relationship, and metaform) as indications of the level of "experience," where talent and experience together make up "the right stuff" that strategically useful executives embody (McCall, 1998; see Fig. A2 , Appendix A2 of chapter I). In terms of the dialectical schemata assessment of the DSPT ^{TM}, this entails viewing ontic-developmental schemata as learnable "thought tactics," and thereby denying the reality of epistemological limits of adult learning. As Basseches (1984, pp. 157-158) states when interpreting the outcome of his research:

> Of course, it is perfectly possible to reject the
> conception of dialectical schemata as an organized
> whole, and to treat the 24 dialectical schemata
> as 24 distinct tactics which thinkers may learn
> to employ. No empirical evidence is offered in
> support of the assumption that the 24 schemata
> become organized in the mind of the subject. ...
> If one does reject the "organized whole"
> conception, then it is perfectly reasonable to
> interpret the index as a measure of how many of
> the 24 distinct thought tactics individuals have
> shown themselves to have learned how to employ.

> On the other hand, if one accepts the "organized
> whole" conception, then it may .... be appropriate
>
> to give the index numbers a probabilistic or
> developmental interpretation. That is, it may make
> sense to say that an interview with a higher index
> reflects a greater likelihood   that the interviewee
> possesses the coordinated set of dialectical
> schemata, or that a higher index reflects an
> interviewee's greater progress toward the
> achievement of dialectical thinking, as an
> organized set of schemata (Basseches' emphasis).

There are two important differences between the research done by Basseches and the findings of the present study. First, while Basseches does not claim to have "offered empirical evidence to support" the organized-whole conception of schemata, this study has pointed to the alignment of stage scores and of metaformal schemata endorsements in the group of executives under scrutiny. This alignment, which expresses itself in the tendency to score higher on metaformal schemata when conceptualizing change at a higher stage position (at least a score with a higher potential for transcending a present stage), must count as the kind of empirical evidence Basseches admits to be lacking.

Second, in the present study, Basseches' method of relying on index scores for gauging differences in cognitive-developmental flexibility of individuals and groups has been replaced by the use of "percent of optimum schemata endorsement by category," to account for the fact that there are a different number of schemata (8,3,4,9), and thus of optimal endorsements (24,9,12,27), in each of the four DSPT ^{TM} categories (see chapter IV, and section 2.2 of this chapter for details). While this procedure does not per se heighten the degree of empirical evidence for schemata endorsement as an ontic- developmental marker (in contrast to a calibration of accomplished learning and agentic change efforts), it does allow for a more detailed prognostic interpretation of both individual and group results in the process assessments.

A third difference between this study and Basseches' research of 1984 is that when one binds process assessments (stated in terms of percent of optimal schemata endorsement per category) to the stage score as a telos embedded in an implicit developmental range, as happens in the DSPT ^{TM}, one gains a prognostic capability that, while hinted at by Basseches' term of "alternative developmental pathway," is not realized by him. By way of the linkage of telos and of path toward, or away from, telos, schemata endorsements take on an even more highly systemic quality than they possess in Basseches' work, since these endorsements are now seen as resources undergirding the process of reaching and maintaining a structural equilibrium in addition to a process equilibrium. As a consequence, there is empirical evidence for the "assumption" that schemata endorsements,

describing the mental processes of progressing toward higher developmental teloi, are systemic ingredients of the ontic-developmenal process associated with reaching (higher) subject/object stages.

Holding fast, then, to the ontic-developmental conception of DSPT ^{TM} outcomes as developmental markers, rather than mere learning accomplishments, one can state that there are epistemological limits to

learning, including experiential learning. This statement entails that what can be learned by individual executives is dependent upon their

ontic-developmental status, and not the other way around. This further implies that the executive development literature is oblivious of epistemological limits to experiential learning, and that the notion of a "learning organization" will have to be re-thought to account for the reality of such limits.

<center>***</center>

In a more constructive than critical approach to the executive developmental literature, especially represented by McCall (1998) and Kaplan (1989, 1990, 1991, 1996, 1998), one might ask what the DSPT^{TM} can contribute to the goals these authors are defining for enhancing executive development. In this context, it is interesting to note that the same split that was noticed in ontic-developmental theory, between "person in environment" approaches, on one hand, and a focus on "isolated variables" (such as "orders of consciousness"), on the other, also exists in the executive development literature. The first approach discussed in that literature emphasizes the role functioning of the executive as well as the relevance of organizational requirements, while the second emphasizes the executive's character , or self. Given that it is precisely the integration of these two foci that matters ontic-developmentally, one can ask the question: how the approach put forth in the DSPT ^{TM} can enhance a linkage of the two approaches to executive development?

A statement by Seibert et al. (1995, pp. 549-550) is revealing in this context:

> The starting point in linking executive development to business strategy is the future direction of the business; this is determined by the business environment (e.g., customers, technology, global competitors). Based upon the business environment a business strategy must be developed, then a strategy for executive development must be derived logically (my emphasis, O.L.) from the strategic direction of the firm. Finally, specific executive development activities should proceed from a coherent executive development strategy.

In this quote, the notion is that there is a hierarchy of requirements originating in (1) the future direction of the company, and proceeding to (2) business environment, (3) business stragegy, 4) strategy for executive development, and (5) specific executive development activities. In the context of this hierarchy, which obviously represents a "person in environment" approach to executive development (starting as it does with organizational requirements and fitting in human resources secondarily), McCall's model of strategic executive development is helpful to concretize the pieces of Seibert et al.'s proposal (Fig. A2, Appendix A2 of chapter I; see also McCall (1998, p. 189).

As shown in Fig. A2 , specific executive development activities are referenced in the "catalysts" ellipsis, which represents human nurture, thus agentic effort, while talent and experience together form the "stuff" that needs to be processed through the catalysts to bear optimal fruit (where one of the catalysts is, most likely, executive coaching). Among the boxes and circles making up McCall's diagram , those that most directly regard ontic rather than agentic notions of development is the "talent+experience" complex. These two ingredients of "the right stuff" executives embody are a mixture of nature (talent) and nurture (experience), thus also of ontic development and learning. The emphasis in McCall's diagram is on putting in place adequate structural opportunities ("mechanisms") that provide experiential learning opportunities for executives, and on reinforcing such learning through appropriate catalysts, e.g., executive coaching.

In light of the results of this study generated by the DSPT ^{TM}, McCall's agentic "model for developing executive talent" (1998, p. 189) poses a number of intruiging questions. Most of them can only be posed, but not answered, within the scope of this study:

(1) in what way are manifestations of talent dependent
 on ontic-developmental status quo

(2) how can business strategy, or the individuals defining it,
 be englightened about the ontic-developmental
 underpinnings of fulfilling business-strategic requirements

(3) what precisely are epistemological (i.e., ontic-
 developmental) limits of experience and experiential
 learning in a particular environment

(4) what are the catalysts, and how are they working

(5) how is one to arrange the catalysts for putting together
 talent and experience, to that they adhere to the
 epistemological limits of experiential learning

(6) how do executives at different ontic-developmental
 levels use identical mechanisms provided for their
 experiential learning to different ends

(7) how can structural opportunities for experiential
 learning be used to support catalytic work, and vice versa.

In a first step toward showing the relevance of the DSPT ^{TM} for answering some of these questions, I would make the following claims:

 first, an executive coaching program is a "mechanism," or
 opportunity for experiential learning whose uses
 can be assessed and monitored by the DSPT ^{TM} (for details,

see V.3.6)

second, which structural opportunities for experiential
learning are to be assigned to which executives can
be decided on the basis of DSPT ^{TM} outcomes clarifying
executives' resilience and vulnerability

third, the developmental status quo of manifestations of
executive talent can be gauged by the DSPT ^{TM}, and can
be confirmed or disconfirmed by the longitudinal
use of the DSPT ^{TM}

fourth, the "translation" of requirements of business strategy
into agentic-developmental (i.e., behavioral) objectives
(in contrast to ontic-developmental teloi) to be
realized by executives can be aided by the mapping of
assessment outcomes into the appropriate organizational
domain or set of requirements

fifth, the relationship between behavioral objectives and
DSPT ^{TM} teloi (stages) can be clarified by utilizing the
appropriate DSPT ^{TM} schemata endorsements comprised
by the process assessment

sixth, to the extent that "the right stuff" is not only an
agentic, but an ontic, notion (referring to ontic-
developmental status), the DSPT ^{TM}, whether utllized
for assessing individual executives or groups of
executives, is the appropriate tool for monitoring
the synthesis of "talent and experience"

seventh, the degree to which experiential learning
translates into ontic development can be gauged by
longitudinal studies utilizing the DSPT ^{TM}; this
amounts to separating out adaptational and
transformational change occurring in executives.

In regard to the last claim, the following statement by McCall (1998, pp. 84-85) is of relevance:

> Although the particular patterns are subject to change,
> the analytical approach assumes that the nature of the
> business and the structure of work in each of the
> organizations determines the patterns of experience
> that talented people will have.

I would claim that, given the possibility of using the DSPT ^{TM} longitudinally, "the
patterns of experience that talented people will have," jointly engendered by "the nature of the
business and the structure of work in each of the organizations," can be comprehensively assessed
by the DSPT ^{TM}. In fact, "patterns of experience" are exactly what schemata endorsements
document, not only in regard to change conceptualization, but to how sense is made of organizational
opportunities generally. Basseches, who understands learning as a generation of new cognitive
structures that may have a developmental effect, succinctly states the ontic-developmental
requirements of turning experiential learning into adult development (Basseches, 1984, pp. 302-303):

> For an educational experience to promote development,
> it must challenge those structures of reasoning which
> the individual uses to make sense of the world. It must
> first engage the individual's existing structures and,
> with them, the individual's emotional and cognitive
> investment in the experience. Then it must stretch
> those structures to their limits, and beyond, to the
> point where they are found wanting. At the same time,
> the experience must provide the elementary material
> out of which the individual can construct new, more
> sophisticated cognitive structures.

In the context of McCall's model, the pertinent question would seem to be which mechanisms by their nature support experiential learning, and which catalysts could be put in place to reinforce or refine that learning. In short, one would have to ask which mechanisms and catalysts (Fig. A2):

> a) challenge those structures of reasoning which
> individuals use to make sense of organizational
> environments, by engaging the individual's
> a1. existing structures
> a2. cognitive and emotional investment in the
> experience,
>
> b) stretch those structures to their limits
> and beyond, to the point where they are found
> wanting, and simultaneously,
>
> c) provide the elementary material out of which
> the individual can construct new, more sophisticated
> cognitive structures (to which K. Lewin would add,
> the accompanying emotional and moral experiences)?

***

Given that strategic executive development and experiential learning are closely linked in the executive-development literature, a deepened inquiry into the DSPT ^{TM} as an instrument for tracking developmental effects of learning is indicated. Although the DSPT ^{TM} has originated in the attempt to track coaching effects, the instrument is in no way intrinsically bound to that task. Rather, any educational and experiential learning experience, and any agentic mechanism and catalyst utilized to improve human adaptation, can be assessed using the DSPT ^{TM} for gauging ontic-developmental outcome.

In this context, it is a reasonable hypothesis that the four categories of schemata endorsement are simultaneously dimensions of experiential learning, especially when ontic-developmental effects are considered. As Basseches defines them, these dimensions entail "movements in thought" by which an individual grasps aspects of ceaseless change. W hen adopting McCalls notion of business divisions as "schools" in which experiential learning takes place, and of intentionally provided "mechanisms" for such learning, the question arises how to gauge the effect of mechanisms on the learner. This question is related to the question of how to gauge effects of catalysts such as coaching on the coachee, with one

important difference. Learning opportunities provided in organizations do not necessarily entail a working alliance between two people, as holds for coaching. Frequently, however, such opportunities are inseparable from "relational" experiences that belong to the domain of interpersonal styles.

Although both working alliances and relational transactions need not have structural, ontic-developmental effects (as is shown by S3 in this study), they potentially can facilitate such effects, as is shown by subjects at a higher, 5-ish subject/object stage (e.g., S5). In light of the validity issues mentioned that are due to the reliance on self-reports in this study, and the impossibility of guaranteeing their veracity, it is a reasonable suspicion that the metaformal endorsements executives are articulating, but do not seem to be able to support with commensurate constructive tools (such as, e.g., form and relationship endorsements), may be due to adopting a "therapeutic posture" (speaking as the coach does), or to some "faking good" hiding more adaptational effects. Since little is known about the delay between an experience and the appearance of ontic-developmental effects of the experience, one can only speculate whether there is some time of "incubation" in which adaptational effects are transmuted into transformative ones. However that may be, it stands to reason that if one can assess coaching effects using the DSPT ^{TM}, one can also assess effects of experiential learning that may have transformative effects. One might thus benefit from the hypothesis that experiential learning takes place along the dimensions defined by schemata endorsement processes.

In proposing the four categories of schemata endorsements in the DSPT ^{TM} as dimensions of experiential learning, I have Basseches' systemic treatment of these categories very much in mind. In my understanding of Basseches' theory, it would make no sense to pick apart the four categories and "coach for them" independently of each other, as one might do if they were mere thought tactics. (This week's curriculum is focused on motion schemata, next week we'll deal with form schemata, etc.). Any curriculum for McCall's schools of experiential learning would have to be based on all of the four categories simultaneously. For this reason, it makes sense to entertain some thoughts about the educational, curricular preconditions and effects of experiential learning on enhancing adult development.

Insert Fig. 7 here

In proposing a theory of experiential learning in organizations based on the categories of motion, form, relationship, and metaform, the major issue to be addressed is how cognitive-emotional dis-equilibrium may contribute to experiential learning that yields ontic-developmental effects. As Basseches contends, development can be conceived as a way of increasing adaptational capacity (Basseches, 1984, p. 34):

> Any form of equilibrium in cognition is a way of keeping something stable in the midst of changes in sense experience. Equilibrium exists when an organism is able to respond to irreversible internal and external events in compensatory ways which maintain aspects of the organism's pre-existing state.

> As an organism attains higher levels of equilibrium, it can maintain constancy or order across a greater range of changes in the sensory (and, one might add, the social, O.L.) world.

Different kinds of equilibrium ought to be distinguished: (a) between the knower and the environment, (b) among component structures of systems, i.e., categories, "in the knower," such as the beforementioned four, (c) between one part of a cognitive structure and its entirety. In summarizing his constructivist model of learning, Basseches states (1984, p. 40):

> ... new cognitive structures are created out of the interaction of the functional invariants of intelligence--adaptation and organization-- with sources of disequilibrium, either within people's cognitive structures or between their cognitive structure and the environment.

To make use of an example: how does a disequilibrium of a subject like S2 compare to one of a subject such as S3 in terms of experiential learning?

_____

STAGE (TELOS)	PERCENT OF OPTIMUM [m,f,r,t]
S2 = 4 {5,8}	[46,0,17,15]
S3 = 4 {0,9}	[29,22,0,0]
Group average	[23,15,18,24]

_____

In light of the systemic character of the four dimensions of experiential learning, the notion that if the deficit is in form endorsement (as in S2), the executive "needs to learn about form," and if the deficit is in relationship endorsements (as in S3), the executive "needs to learn about relationship," is obviously mistaken from an ontic-developmental point of view, although it makes some sense in a behavioral perspective of "coaching for skills" for which schemata are mere

"thought tactics." While it is true that S2 is "better at" grasping reciprocal agency (schema #14), such as the relationship he is in with his boss and his coach, than S3, and that S3 is "better at" grasping the organized and patterned wholes of his clients' portfolios (schema #10), it does not hold that selecting organizational

opportunities that will teach these executives compensatory thought tactics will automatically promote their process equilibrium, even if it should augment their form or relationship endorsements, respectively.

Rather, what is needed is an experience that, as Basseches says, "stretches" all __ of their presently utilized cognitive structures to a point where "they are experienced as wanting." Simultaneously, what is required for learning to have ontic-developmental effects is to provide individuals with catalysts such as coaching, in order to assist them in "constructing more sophisticated cognitive structures." None of these ontic-developmental requirements has anything to do with either "talent" or "experience," except in the sense that an executive's native intelligence and/or emotional investment in an organizational experience may facilitate his adaptational learning to the point where ontic-developmental effects may accrue. Despite this, it may be worth considerable reflection of a human resource specialist schooled in developmental psychology, to figure out what organizational experiences may be optimal for increasing a particular executive's developmental equilibrium, once a baseline assessment has been made with the aid of the DSPT ^{TM}. This kind of reflection is a far cry from simply ordaining, as happens in "competency models" or "success profiles," that an executive should improve in his learning capacity regarding objectives X or Y, or else.

What competency models overlook is that the distinction between work experiences and life experiences is an artificial one (and itself bespeaks developmental disequilibrium). McCall rightfully mentions five different opportunities for mental growth (McCall, 1998, pp. 65 f): (1) job assignments, (2) relational experiences (especially supervisors), (3) hardships and setbacks, and (4) formal programs and (5) non-work experiences. He thereby makes it clear that the use of organizational "mechanisms" for learning, and of organizational catalysts for enhancing the transmutation of learning into mental growth (development), has decisive limits. Although he does not articulate epistemological limits of experiential learning, McCall rightly grasps that the core of executive development challenges resides in the desirability of transmuting organizational imperatives into personal ones without impairing executives' mental growth (1998, p. 59):

> The bottom line for individuals is that no one cares
> as much about a person's development than the person.
> Whether the organization supports development or
> inhibits it, individuals need to take responsibility
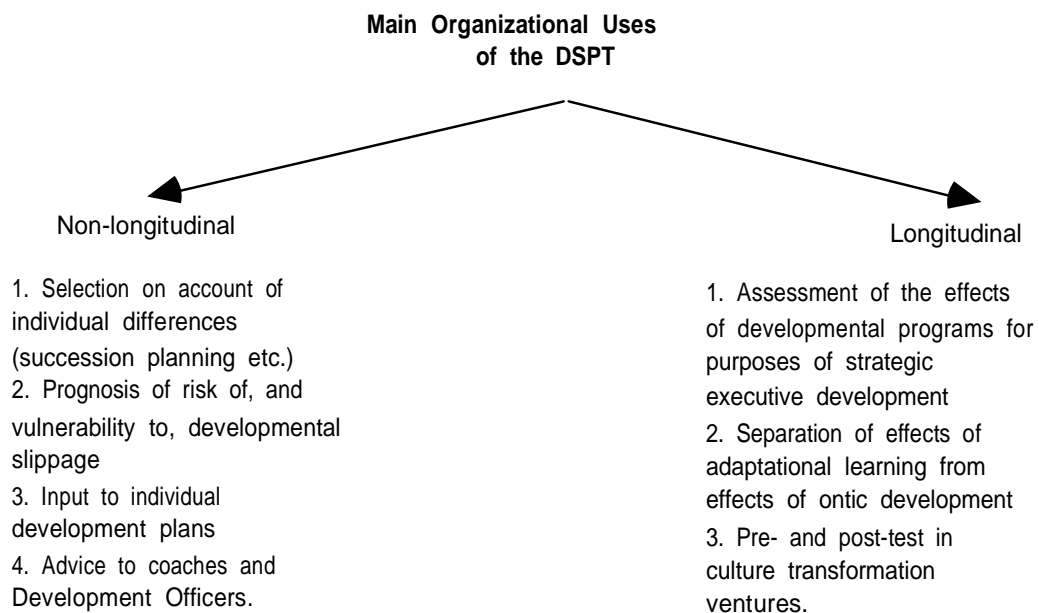> for achieving their potential.

Given that this is the case, the idea of strategic executive development presents with a certain hollowness, even inauthenticity: at the moment that the career contract becomes a contract with self (Hall et al., 1996), organizations put forth the desirability that human resources be strategically linked to their business objectives. The incongruency of this desideratum is largely overlooked by McCall, whose first

order of business is to reshape the "Darwinian" conception of "survival of the fittest" into an agentic conception of "development of the fittest" (McCall, 1998, p. 16). However, McCall seems to imply a need for developmental assessment when he remarks (McCall, 1998, p. 163):

> Recognizing that an organization cannot force someone
> to develop, an effective executive developmental
> process must take into account the reasons that
> intelligent people, aware of the need to change, may
> not try to change or, trying, may not succeed.

For, how can one even "take into account the reasons that intelligent people, aware of the need to change, may not try to change or, trying, may not succeed" if there are no ways, except for anecdotal observation, to demonstrate that they do not even try, or fail? In other words, without any attempt to assess ontic-developmental effects of learning, and without any specification of the dimensions of experiential learning, the latter term remains a pure "public-relations" notion.

In more practical terms, the process by which organizational imperatives are transmuted into personal ones is a process of experiential learning that can be tracked with the aid of the DSPT ^{TM}. In this regard, it is useful to distinguish non-longitudinal ("one-shot") uses from longitudinal uses presupposing repeated
assessments at 6-months to 1-year distances. These uses are depicted below:

**Main Organizational Uses
of the DSPT**

Non-longitudinal

1. Selection on account of
individual differences
(succession planning etc.)
2. Prognosis of risk of, and
vulnerability to, developmental
slippage
3. Input to individual
development plans
4. Advice to coaches and
Development Officers.

Longitudinal

1. Assessment of the effects
of developmental programs for
purposes of strategic
executive development
2. Separation of effects of
adaptational learning from
effects of ontic development
3. Pre- and post-test in
culture transformation
ventures.

As shown, in both "one-shot" and longitudinal uses, the DSPT ^{TM} aids in tracking to what extent

experiential learning translates into ontic-developmental effects. In so doing, the instrument helps separate out merely adaptational and transformational effects of learning.

***

4.3 The DSPT Methodology and the Protean Career

It is an intriguing question of what the simultaneous appearance of the "new career contract" (Hall et al., 1996), on one hand, and of interest in ontic-developmental theories of adult development, on the other, is saying about the new sociological environment in which individuals articulate their relationship to work. If the new career contract has to do with the "internal" career, and is thus a "contract with self" (Hall, Kram, & Briscoe, 1997, p. 322), rather than with an organization, it stands to reason that the responsibility for adult development in the sense of the DSPT ^{TM} is the individual's, not the organization's. W hile human-resources services firms may speak of a partnership between the individual and the organization (Gebelein et al., p. 3), McCall more honestly calls the situation by its real name (McCall, 1998, p. 59):

> The bottom line for individuals is that no one cares as much about
> a person's development than the person. Whether the organization
> supports development or inhibits it, individuals need to take responsibility
> for achieving their potential.

If the term "protean" primarily refers to a pathway, a way of progressing along a developmental trajectory, and not just some kind of adaptability in the sense of learning, then the DSPT ^{TM} methodology has something to say about how "Protean" a career can be at a given point in the development of an individual. What Hall et al. (1996) describe is also what the DSPT ^{TM} describes. Given that organizations have become a temporary "career anchor" binding the executive, instead of the guarantor of his or her future, integrating self and role is becoming the crucial task. This is expressed by S2 as follows:

> I learned a long time ago that there were very few things that would
> carry you through your entire career, and they sound so soft, things like integrity, credibility, and
> those real, fundamental cornerstones of your being [emphatic].
> You can learn all of this technical matter, that's transferable. I think the very
> successful executives have those fundamentals, the essence of their persona,
> credibility, integrity, honesty.
>
> And I know that (is) the only thing I really have long-term to sell. All this knowledge is
> fleeting, because in 5 years from now, guess what, the world will
> have changed, the products will be different, the markets will be different, I will
> have changed, everything will have changed. So the knowledge is fleeting, it's fleeting,. The only
> thing you have is this [integrity], and when someone tries to chip at that,
> I get angry, anxious, I get a lot of things. So, I protect that, because that is my value.

Although this statement is formulated from a specific ontic-developmental position, viz. a classic self-authoring point of view (stage-4), it states the sociological state of affairs correctly: adult development

has become everybody's own business. Therefore, it is no longer a matter of proving "the utility of adult development theory in understanding career adjustment processes" (Cytrynbaum & Crites, 1989, pp. 80 f.), as perhaps it still was a decade ago. Instruments like the DSPT ^{TM} are children of their time, and now is their time. Despite this fact, the situation first described by Basseches fifteen years ago has not substantially changed (Basseches 1984, p. 340):

> ... the context of the workplace (as a context for adult development,
> OL) is one which has been nearly completely ignored by developmental
> psychologists.

As the interviews conducted with executives for the purposes of this study, and the outcome of their structural analysis, have amply demonstrated (Kegan, 1994, p. 164):

> What may be lacking is an understanding that the demand of work,
> the hidden curriculum of work, does not require that a new set of
> skills be "put in," but that a new threshhold of consciousness be
> reached.

The scope of Kegan's remark is rarely understood. Intellectual fashion seems to favor simpler, more "stylistic" notions. In their outline of the new career contract, Kram and Fletcher especially put a high premium on the existence of what they call "relational" resources in organizations (Hall et al., 1996). While in this study I have found that executives tend to come up short in terms of form (group average=15%) and relationship endorsements (group average=18%), this does not straightforwardly translate into a relational deficit. As Hodgetts (1994) has shown empirically and Kegan theoretically (1994), a distinction needs to be made between relational (versus separate) style and ontic-developmental status quo (or ego level). As a result, what the DSPT ^{TM} assesses has nothing to do with style, but refers to ontic-developmental position. The important finding is that relational capacity is a matter of how consistently and risk-free an individual can make himself become the context of a transformation of self and others, and this capability depends on their stage, not their style. W hen Kram states (Kram, 1996, p. 133):

> A relational approach to career development explores the ways in
> which individuals learn and grow in their work-related experiences
> through connections with others, taking a holistic view of individuals
> and the nature of their interactions with assignments, people,
> organizations, and the social context in which they work,

she does not distinguish between style and developmental status quo. If, therefore, "relational capacity" is not necessarily a guarantor of self maturity under the new career contract with self, then what safeguards an individual's capacity to develop optimally? (See subsection V.3.4, case of S4, for the discrepancy of relational style and ontic-developmental position in this executive.) Despite her

lack of distinction, Kram has an inkling of what Kegan calls the "interindividual balance" (stage 5), when she states that in a relational model mental growth is seen (Kram,

1996, p. 140):

> as movement through increasingly complex states of interdependence.
> ... Thus development is viewed less as a process of differentiating
> oneself from others as it is understanding oneself as increasingly
> connected to others.

Thinking ontic-developmentally, and in terms of Basseches' dialectical schemata, the separation of "differentiation of self from others," on one hand, from "understanding oneself as increasingly connected to others" is a formalistic one, and manifests a lack of endorsement of relationship schemata. There is no way, dialectically speaking, in which an individual can differentiate herself from others without understanding herself as connected to others. In fact, she can only differentiate to the extent that she understands being intrinsically connected to others in the sense of interactive and constitutive relationships. Metaformally speaking, these aspects are two aspects of one and the same system, the self, at a high level of schemata endorsement in the interindividual balance (stage 5).

In contrast to Kram, Fletcher conceives of relational growth more along the line of motion schemata, i.e., mutuality and reciprocity (Fletcher, 1996, p. 116, and Table IV.2 of chapter IV):

> relational interactions characterized by interdependence, mutuality,
> and reciprocity have some structural elements that can be engaged
> and can lead to growth for both parties regardless of their level of
> mutual intimacy or affection.

While it is helpful to point out the cognitive aspect of mutuality and reciprocity, conceiving of the interindividual balance (stage 5) on the level of motion schemata will not do. Rather, to argue metaformally, a synthesis of motion, form, and relationship is required. In the same vein, Fletcher misunderstands the interindividual balance as articulated by Kegan's theory, mixing together phasic and constructivist theories of human development, when she states (Fletcher, 1996, p. 108):

> Whether the image is one of stages or seasons (Levinson et al., 1978;
> Erickson, 1963), of different levels of cognitive complexity (Kegan,
> 1982; Loevinger, 1976; Perry, 1970), or of stages of moral
> development (Kohlberg, 1976), the emphasis in most of these models
> is on the differentiating process itself and the goal of establishing a
> strong sense of self-identity.

While it is true that the theories named are primarily focused on the self in the sense of ego level, in contrast to a "person in environment" conception of adult development (Demick, 1996), it does not

help to ground the new career contract and its "protean" potential in terms of isolated dialectical-schemata endorsements. The fact that this occurs shows that not only executives, but also practitioners of career theory and social science in general, are engaged in development along an "alternative pathway" (to speak with Basseches, 1984), as are all of us. The hypothesis, then, that theories of career development and coaching are as much evidence of adult-developmental disequilibrium, as they are discerning that disequilibrium in organizational reality, is not very far from the truth. This finding would suggest that if "protean" denotes a developmental pathway, the degree to which a career can be said to be "protean" depends on the individual's ontic-developmental status quo.

In short, the protean "contract with self" requires more than relational capacity, whether it be conceived of in terms of schemata of motion or relationship. It requires achieving a metaformal synthesis of motion, form, and relationship, thus an interindividual balance, or stage-5 consciousness, which, according to subject/object research, on average is an accomplishment of 0% of the population (Kegan, 1994, Table 5.5, p. 195). As a consequence, we are, as Kegan (1994) metaphorically puts it, all "in over our heads."

<u>Epilogue</u>

> Das Halbgewußte hindert das Wissen.
> Weil alles unser W issen nur halb ist,
> so hindert unser Wissen immer das Wissen.
>
> Half-knowledge stands in the way of
> knowledge. Since all of our knowledge
> is half-knowledge, our knowledge stands
> in its own way.

<div align="right">J.W. von Goethe</div>

Extending between competence models (Peterson, 1996) and the Heart Aroused (David Whyte, 1994) of coaching and mentoring conferences, the field of executive coaching is stretched out over an adult-developmental no-man's land. The behavioristic and spiritualistic endpoints of the coaching spectrum tell us something about the dis-ease of the society that needs coaching. Emerging from a long-standing "phasic slumber" fueled by dreams of preordained career stepping-stones embodied by organizations, the dis-ease declaring itself is about what the contract with self really entails, and how far one can trust one's own lifespan-developmental capacity.

Since reason and understanding have become the handmaiden of observation in psychology, whose treatment protocols mimic competence models in that they measure individuals against standards external to them, how can one expect psychology to alter, or have an impact on, this cultural scene? At a moment where consulting psychology lacks its own academic curriculum (see <u>Consulting Psychology Journal, 50 </u>(4), 1998 (Fall)), and finds itself homeless between the licensed rigors of "clinical" psychology, on one hand, and the statistical delights of "industrial/organizational" psychology, on the other, where is the human resource consultant to look for direction and training?

Fully aware of the fact that I owe the outcome of this study to my "interviewees," the executives who have given me of their time, as well as the coaches who served as informants, I find it appropriate to conclude this study with a quote from the interview of one of the most "protean" individuals I have encountered in the course of this research. Speaking about the issues coaching has permitted him to entertain, he names:

> whether I should remain at all; whether this is an environment
> conducive to a person with both my talents and liabilities: is this
> an intelligent and healthy place (for me) to stay for another period
> of time?

This statement endorses Hall et al.'s observation that the new career contract requires (1996, p. 7):

> a more holistic view of the individual, one that encompasses all

> spheres of activity and all corresponding facets of personal identity.
> ... We need to look at the individual's overall quest for meaning and
> purpose, ... and probe the individual's sense of direction in search
> for work that has personal meaning. Viewing the career as a personal
> quest also implies finding influences on development that are uniquely
> equipped to promote personal development.

Can practitioners of consulting psychology, once they have become more sensitive to meaning-

making as a basic human motivation, and as the basis of adult development, rise to the challenge to

"consult"?

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