

The Right Coach at the Right Place in the Organization:

**A Preparatory Action Learning Event
with CEGOS External Coaches**

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Purpose

The purpose of this two-day meeting is threefold:

- (1a) Introduce to history and theory of coaching and coaching research, as a background for decision making about future EC coaching and management development programmes.**
- (1b) Short introduction to Action Learning.**
- (2) Suggest a framework for an advanced coach education program as a foundation for quality assurance.**

Agenda

Day 1: Coaching and Management Development

9:30 -12:30 Facilitator Introduction to History and Theory of Coaching and Action Learning

14:00 - 17:00 Action Learning Session #1: Selected Problems of Coaching and the Organizational Support of Senior EC Managers

Day 2: Internal Coaching Programme; Quality Assurance

9:30 – 11:30 A Framework for Building an Evidence Based Coach Education Programme as a Foundation for Quality Assurance

11:45 – 12:30 Preparation of Action Learning Session #2

14:00 to 17:00 Action Learning Session #2: Building an Advanced Coach Education Program as a Foundation for Quality Assurance

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- 1. Coaching and Coaching Research (5-17)**
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- 5. Conceptual Frameworks for two Action Learning Sessions
Day 1 (59-70); Day 2 (71-77)**
- 6. Appendix: Cognitive and Social-Emotional Findings**
- 7. Selected Bibliography (88)**

Day 1

Part One: Coaching at 'Work'

Definition of Coaching

Coaching is a consultation to the client's mental process based on insight into the client's way of making sense and meaning of his/her experiences.

In this sense, coaching is a form of “process consultation.”

Coaching is not conveyance of domain expertise other than expertise regarding the coaching process itself.

Coaching lies in a ‘tell-ask’ dimension with a focus on asking rather than telling. Without knowing how the client's mind works on account of his/her present developmental profile, all telling will be a waste of time.

Two Kinds of Coaching

Fundamentally, there are two different kinds of coaching:

(1) *belief-based* coaching [most of coaching today]

(2) *evidence-based* coaching [since about 2000]

In (1), the coaching is driven by the personality of the coach, and the beliefs of the coach about who the client is.

In (2), the coaching is driven by a conceptual framework of who the client is that has been validated through empirical research (“Persona”).

Definition of Evidence Based Coaching

“The intelligent and conscientious use of best current scientific knowledge [about adult development and organizations], integrated with practitioner expertise in making decisions about how to deliver coaching to individual clients, and about designing and teaching coach education programs” (adapted from Stober & Grant, 2006).

There are two kinds of evidence-based coaching:

- (1) **Behavioral**: focus on clients’ observable behavior.
- (2) **Developmental**: focus on clients’ Frame of Reference (FoR) as *determinant* of their observable behavior.

Behavioral Coaching is Diverse

Evidence-based behavioral coaching follows different frameworks all of which make slightly different assumptions about who the client is. Stober & Grant (2006) helpfully distinguish:

- 1. Humanistic perspective (Carl Rogers): person-centered listening.**
- 2. “Behavioral coaching”: a merger of modeling, feedback, self-management, reward and reinforcement and other behavioral techniques.**
- 3. “Cognitive coaching”: focus on “thinking habits” and “reframing.”**
- 4. Psychoanalytically informed coaching: focus on unconscious attachments and emotional investments, including “organizational diagnosis.”**
- 5. Adult learning approach: based on adult learning theory; focused on ‘helping others learn.’**
- 6. Positive psychology: concentration on strengths, vision, and dreams.**
- 7. Cross-cultural coaching: focus on cultural differences as a source of strength.**
- 8. ‘Systemic’ perspective: focus on finding patterns in clients’ behavior.**
- 9. Contextual approach: combination of the above as a function of the situation.**

What Determines Coaching Practice

- **What determines coaching practice, then, is the coach's MODEL OF THE CLIENT.**
- **The model is a *set of assumptions the coach makes about him- or herself first, and about others, such as clients, second.***
- **'Depth of coaching' depends on the depth of the coach's model of the client.**
- **A behavioral model of the client is 'less deep' than a developmental model focusing on Frame of Reference (FoR) as a determinant of behavior.**
- **Both behavioral and developmental coaching should and can be combined, to mutual benefit.**

Coaching and ‘Work’

We cannot define COACHING without defining WORK, *even in life coaching.*

This is because ‘work’ is an ineffable inner mental process that is ongoing in all of life because life is based on goal pursuit (in the broadest sense).

As ‘coaches,’ we attempt to be of assistance to those who “do work”, that is, to those who are engaged in an unending pursuit of goals considered essential to life.

The way in which coaches work has to reflect what we know about human work as a process of reflective judgment.

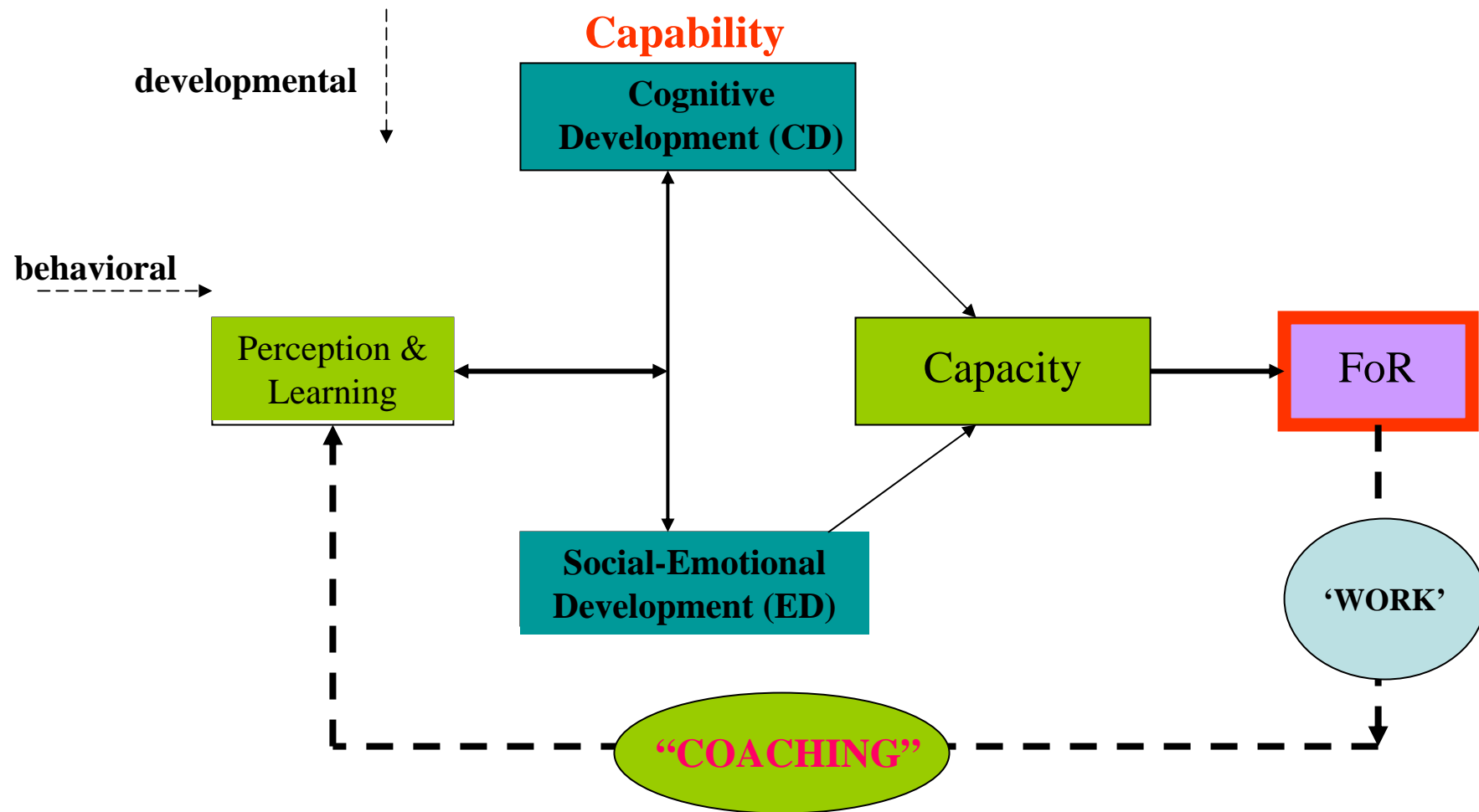
Definition of 'Work'

E. Jaques, a major organizational theorist, defines work as the 'ineffable mental process of using reflective judgment and discretion in the pursuit of a goal ('what-by-when') within given time limits.'

To my mind, this is the best possible definition of work since:

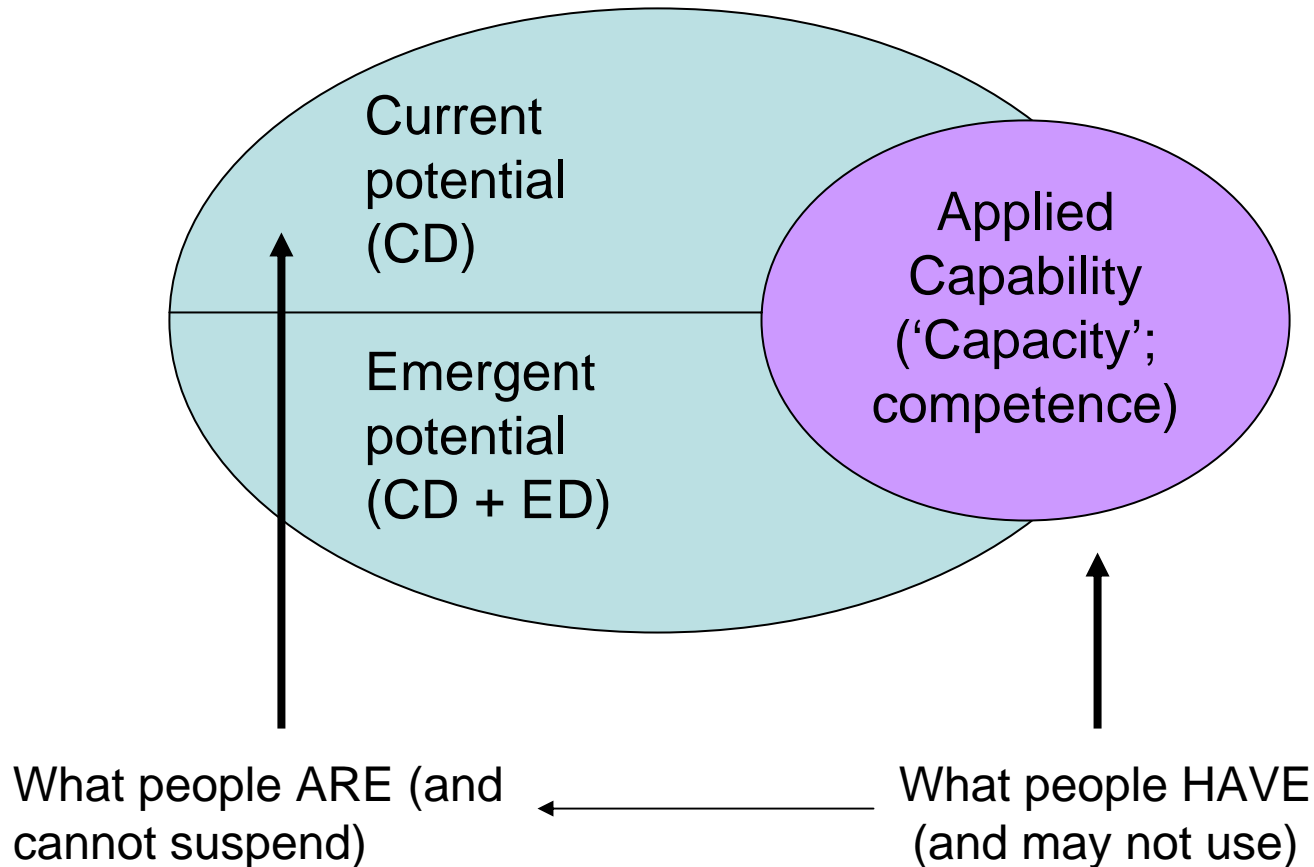
- it points to the mental process and Frame of Reference that determines results of work (see below)**
- it points to reflective judgment as the crucial cognitive ability that supports work**
- it makes visible that every individual's 'work' undergoes developmental changes of reflective judgment over the life span.**

Importance of Frame of Reference (FoR)



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

Three Dimensions of 'Work Capability'



HR's main function is to match size of person to size of role.
Person is defined by potential, not applied, capability.

Varieties of 'Coaching'

How coaches coach depends on the model of their client that they use, and this model in turn depends on coaches' own developmental level.

We can therefore speak of coaching levels.

We can also distinguish varieties of 'coaching' based on whether it is focused on applied or potential capability (which grounds applied capability):

- (1) Focus on applied capability: behavioral coaching.**
- (2) Focus on current potential capability (CD): cognitive coaching.**
- (3) Focus on emergent potential capability (CD+ED): developmental coaching.**

Coaching Levels

[dependent on coaches' developmental level]

- Other-dependent: Client model based on identification with client, client goals, and client environment (“best practices;” “personality”).
- Self-authoring: Client model based on managing one's own idiosyncratic system of values and principles in using a conceptual, research-based framework (“persona”).
- Self-aware: Client model based on “being in the flow,” open to risk taking and multiple perspective taking within a research-based framework.

Milestones of Developmental Coaching Research

THREE GIANTS ...

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

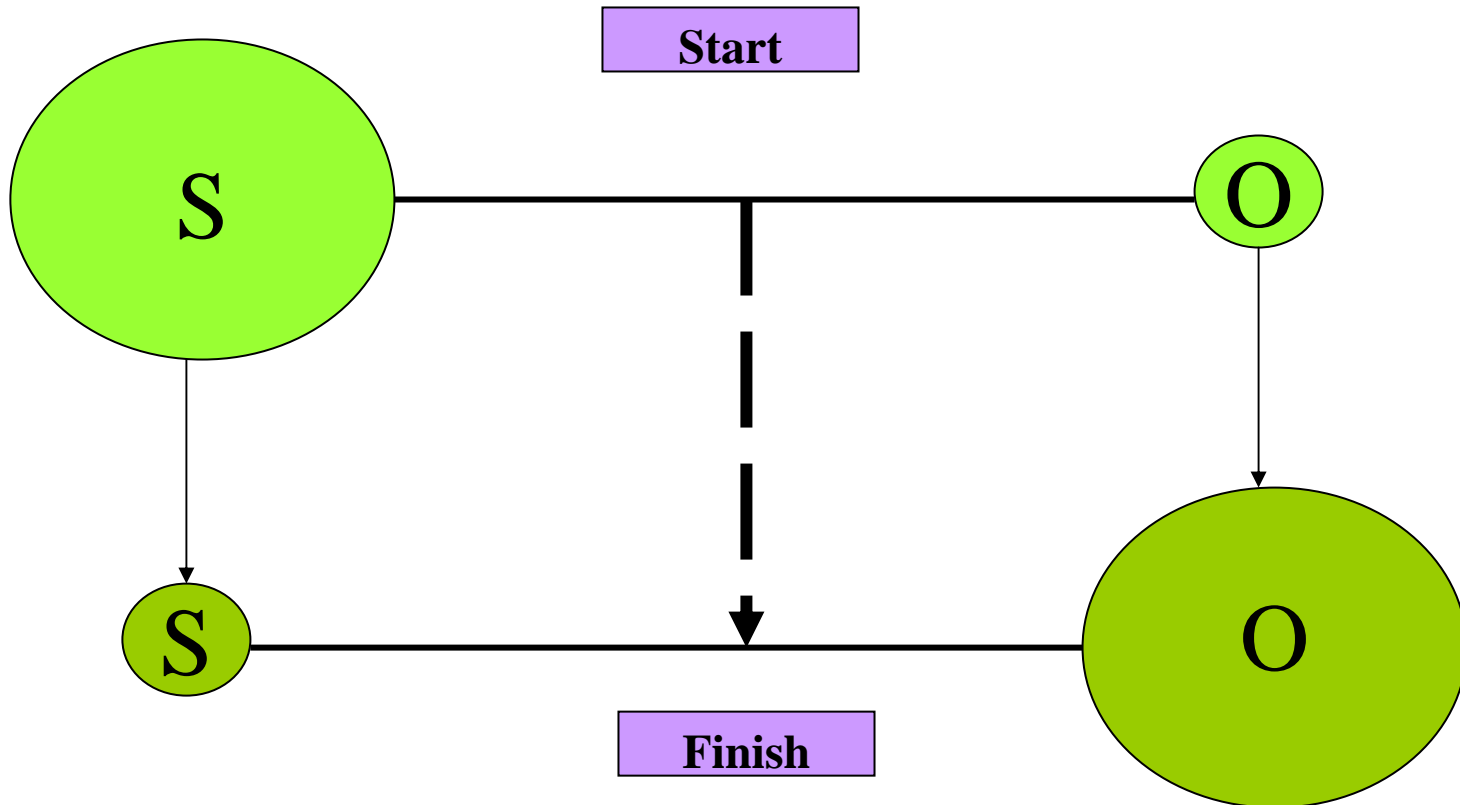
... AND A FEW FOOTNOTES

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

Research Foundations of Coaching: Adult Development Over the Life Span

Findings About Human Development

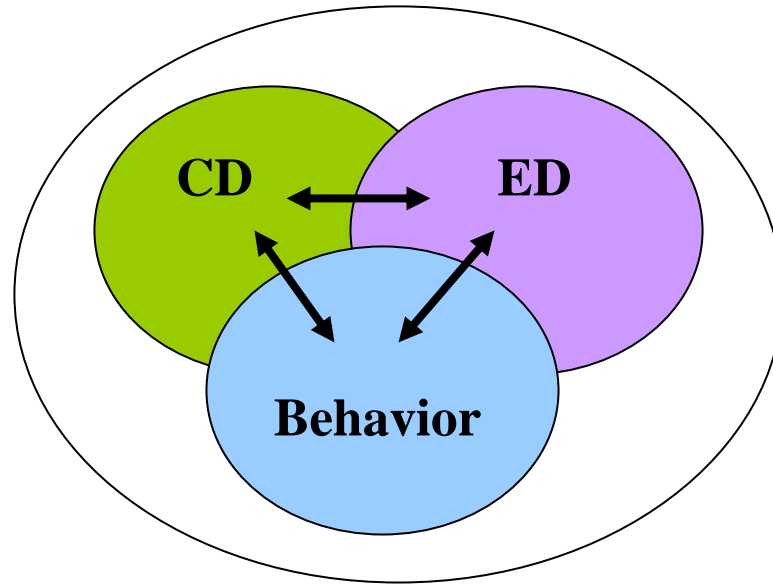
Whether viewed in a cognitive, social-emotional, or psychological perspective, human development is based on an increasing **loss of ego-centricity (or gain of ‘objectivity’)**, moving humans from a large to a small ego (subject=S), and to a corresponding larger object (=O; world) [Kegan, 1982].



Loss of Ego-Centricity Shows Up Threefold: ED, CD, Behavior

- **Social-Emotional Development (ED):** level of meaning making of one's experiences.
- **Cognitive Development (CD):** ability to think systemically and holistically, balancing critical and constructive thinking.
- **Behaviorally (Capacity):** an imbalance of self conduct, approach to tasks, and interpersonal perspective (emotional intelligence) that grounds work, associated with 'energy sinks' [gaps between inner need and aspirations] and 'frustration' [gap between aspirations and organizational experiences].

Research Answers Three Client Questions



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

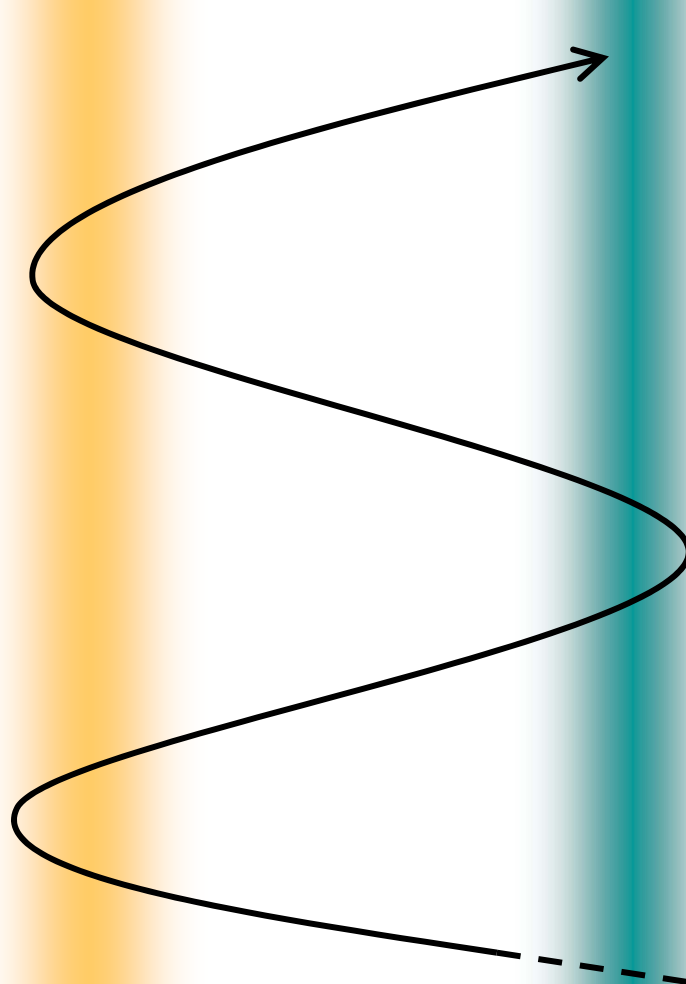
It is the task of the coach to help answer these client questions.

Capability Levels

Focus on
SELF

Focus on
OTHERS

**Level is NOT well predicted
by education or age!**



← Toward Stage 5

← Stage 4 (ca. 40 years)

← Stage 3 (ca. 25 years)

← Stage 2 (ca. 15 years)

Social-Emotional Attainment (ED)

Developmental levels define *Capability Ceilings* that determine what a person can and cannot do at a particular moment, especially in terms of leadership and interpersonal capability.

<i>Main Developmental Stages*</i>	<i>Characteristic</i>	<i>% Attained **</i>
5	Self-aware; "leader"	9 %
4	Self-authoring; "manager"	25 %
3	Other-dependent; "contributor"	55 %
2	Instrumental; "operator"	10 %

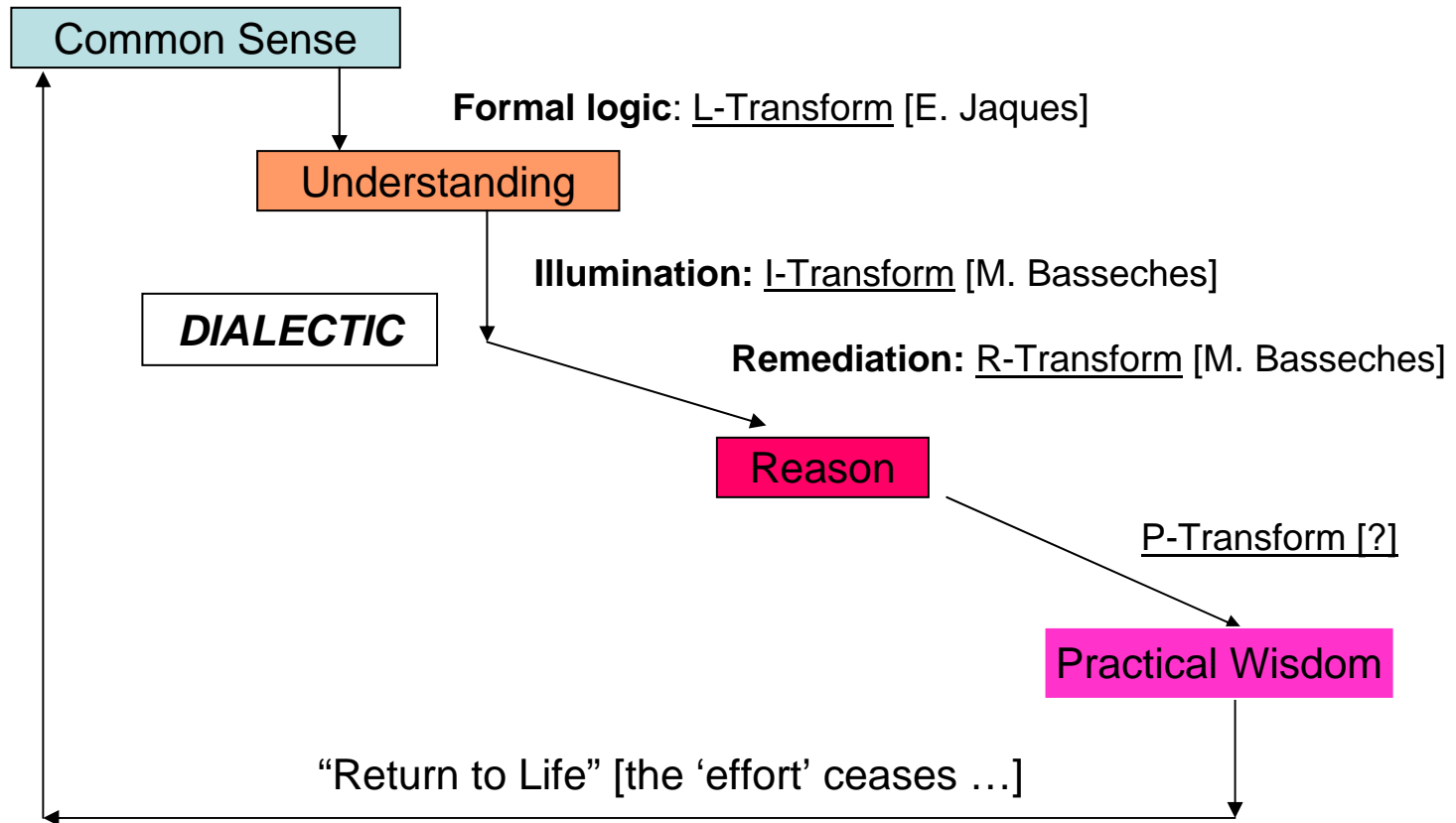
* In Kegan's nomenclature (1982), there are four main stages, with four intermediate levels between each.

** About 1% reach levels higher than level 5.

Changing Orientations Across Adult Stages

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

Four 'Eras' of Cognitive Development



Adapted from Roy Bhaskar (1993, 21)

CD: Cognitive Development



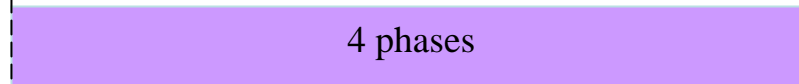
Understanding

Development of Logical Thinking (10-25 y)



Reason

Development of Dialectical Thinking (18 years f.)



Epistemic Position

Development of Reflective Judgment (6 years f.)



Practical Wisdom

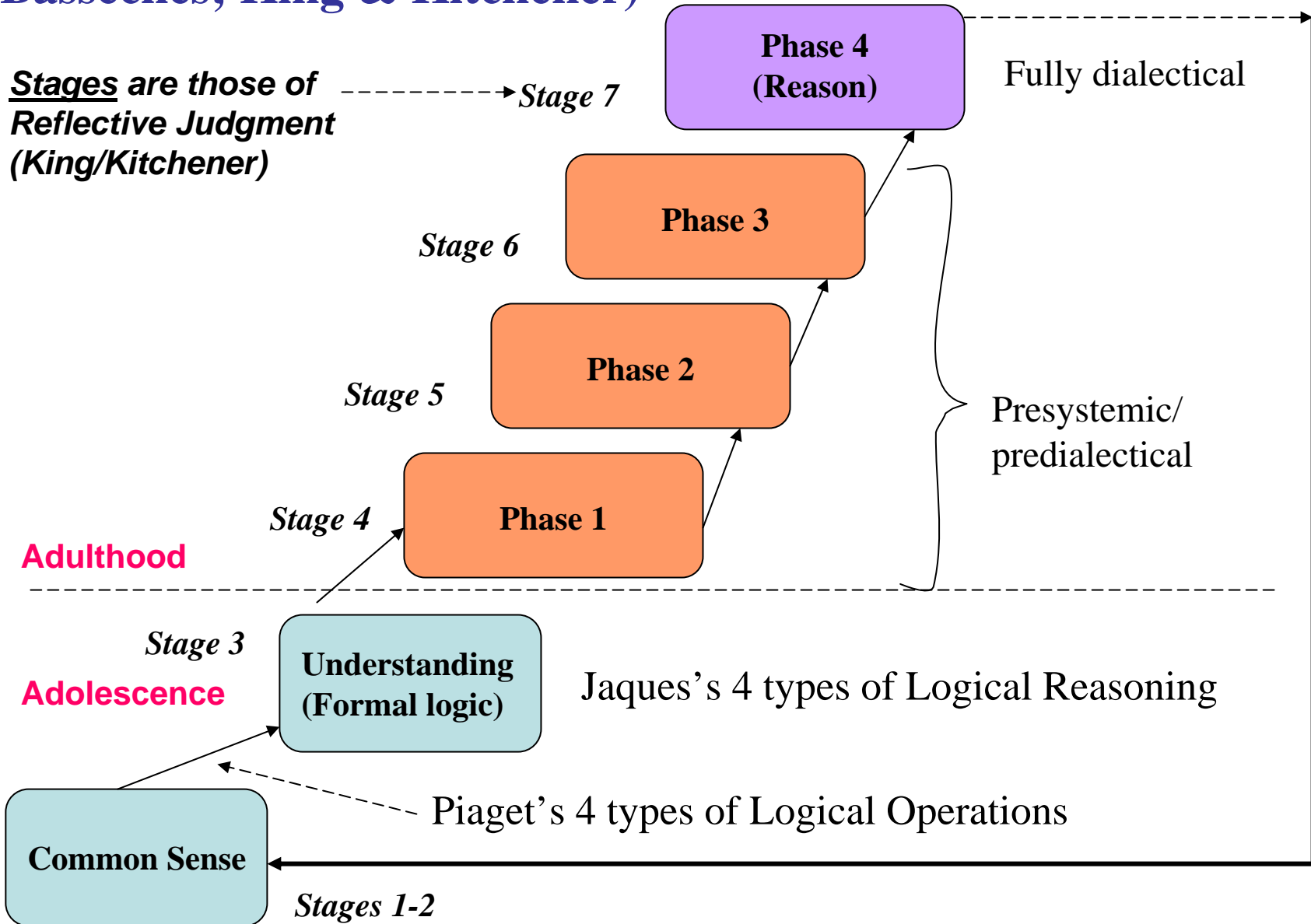


Epistemic Position regard one's view of the nature of knowledge & truth.

Phases of Developing Systemic Thinking

(Basseches; King & Kitchener)

Stages are those of
Reflective Judgment
(King/Kitchener)



‘Learning’ is NOT ‘Development’

- Learning is often confused with adult development.
- However, learning is a change of behavior **in time**, while development is a longitudinal movement **across time**.
- It takes adult-developmental resources to learn; where these are lacking, learning will not take place, and/or will be ephemeral.
- Learning per se *rarely* (and then only partially) translates into developmental shifts.
- Most learning leads to knowledge formation *within the present bounds of the learner’s developmental range*.

Your ‘Learning Department’ should be called ‘Department for Adult Development’

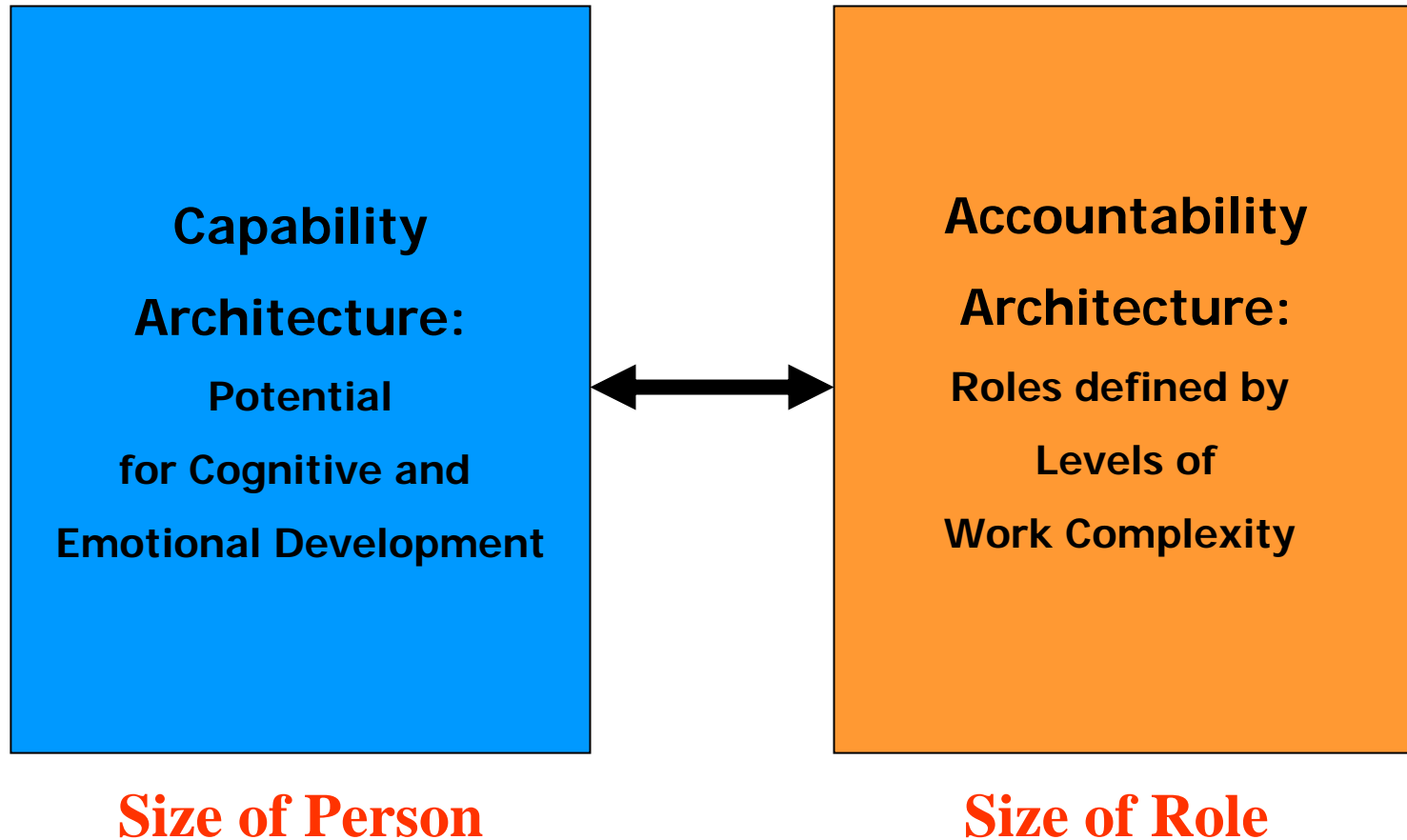
What about Coaching?

- **What holds for learning, also holds for coaching.**
- While coaching is inherently ‘developmental,’ it can support a developmental shift only where resources for such a shift exist in the person (or team) coached, and the coach is developmentally ahead of the coachee(s).
- Otherwise, coaching just reinforces the coachee’s present developmental level.
- For ‘development’ in the emphatic sense to occur (“developmental shift”), it is important to assess the coachee’s potential capability, current and emergent, not just ‘behavior’ (as in 360, MBTI, etc.) prior to and after coaching.

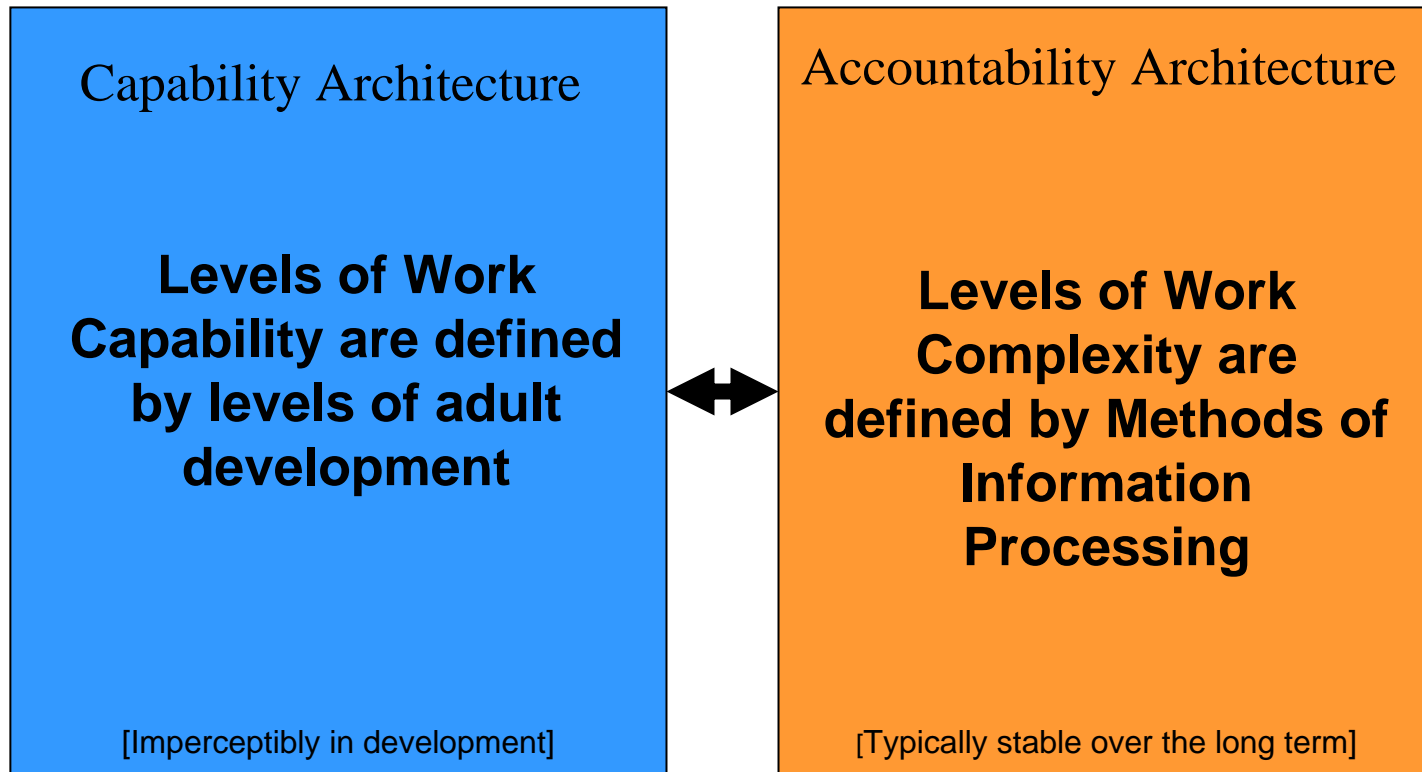
Definition of Organizational Coaching

Coaching in organizations requires attention to how organizations are internally structured in terms of underlying mental processes that ground work.

Requisitely Organized Companies Match Two Architectures



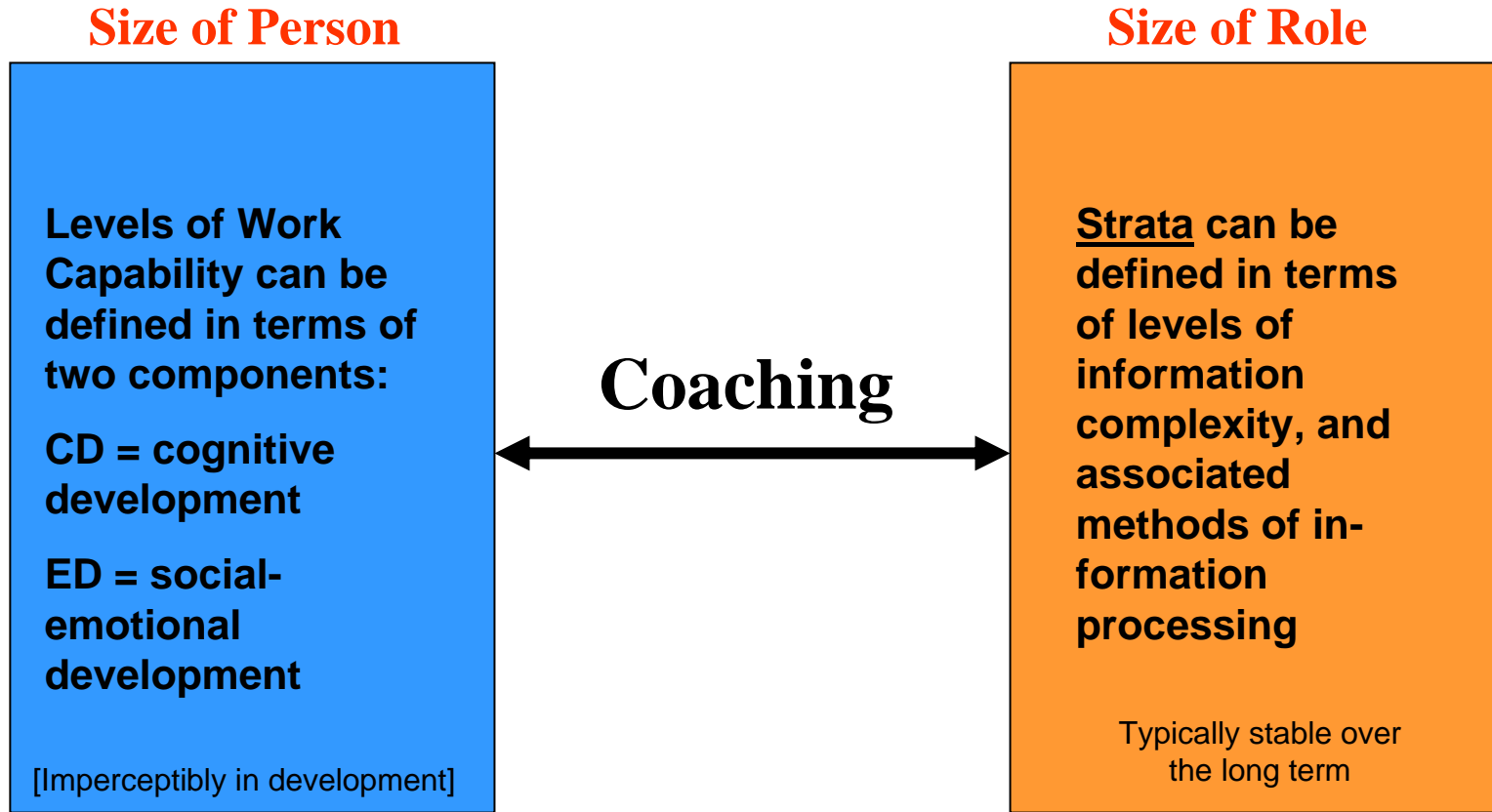
The Two Architectures Can Be Measured



Size of Person

Size of Role

How the Two Architectures Are Measured

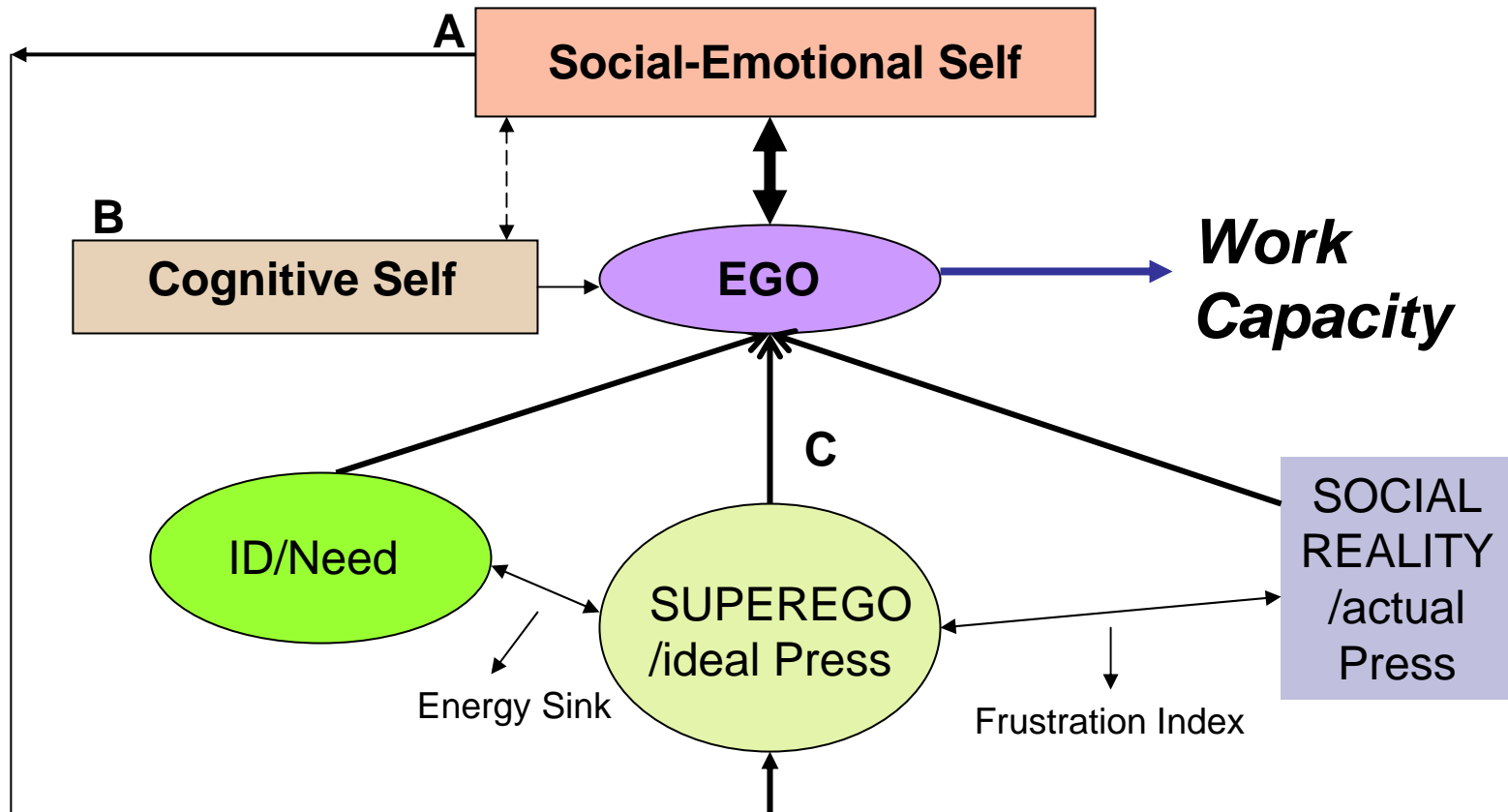


By way of a coaching and management development programmes, organizations can assure that **Size of Person** is matched to **Size of Role**.
That is, 'Quality Assurance.'

From Size of Person to Size of Role

- **Size of Person** refers to a person's current and emergent potential capability, not his/her applied capability ('performance').
- **Size of Role** refers to the level of work complexity and information processing a person is cognitively capable of.
- **Size of Role** is not synonymous with the nominal positions assigned to an individual (e.g., "Director"), but rather to the *complexity of work* – use of reflective judgment and discretion – *of the individual in the his/her role*.
- **Size of Role** can be measured by semi-structured interview of the person in the role, his/her manager, as well as 'manager-once-removed' (MoR), -- that is, the boss's boss who has a clearer appreciation of the complexity of work done by the person in the role than the person him- or herself (Jaques).

Size of Person (Capability Profile)



A person's work capacity depends on how the social-emotional and cognitive Self together manage the Ego's needs and pressures.

Size of Role (8 Strata)

Accountability Architecture

Phase of Cognitive Development [Fluidity Index]	Strata*	Time Horizon	Social-Emotional Stage (ED)
4 [>50]	VIII	50 years	5
	VII	> 20 years	5/4 – 5(4)
3 [$>30 \leq 50$]	VI	10-20 years	4(5) – 4/5
	V	5-10 years	4
2 [$>10 \leq 30$]	IV	2-5 years	4/3 – 4(3)
	III	1-2 years	3(4) – 3/4
1 [≤ 10]	II	3 mo. to 1 year	3
	I	1 day – 3 months	2/3 – 3(2)

* Typical organizational job titles are, from top to bottom: **Board Member, CEO, EVP, VP, General Manager, Unit Manager, First Line Manager, Operator/Staff**. Associated with each stratum is a specific time horizon within which work gets done.

How Coaches Contribute to Institutions' Requisite Organization

- (1) By learning to assess level of work complexity, time horizon, and methods of information processing required in a client's role.**
- (2) By assimilating what is known about adult development over the life span, thus adopting an evidence based coaching model.**
- (3) By learning to use assessments of clients' *Frame of Reference*, anchored in cognitive (CD) and social-emotional development (ED) [and defining where a client is in the Organization's Capability Architecture].**
- (4) By learning how to view clients' behavior in terms of their Frame of Reference, rather than in and by itself (as in behavioral coaching).**
- (5) By using assessment data – including 'behavioral' data such as 360 – in formulating coaching plans customized to a particular client.**
- (6) By using assessment data to measure coaching outcome, and contribute to measuring effectiveness of a particular coaching programme.**

Developmental Conclusion

- Societies, constituencies, organizations, and the work force are stratified in terms of the levels of development that determine their work capability cognitively and social-emotionally.
- Level of development of an organization shows in terms of its management culture (how do managers make meaning and sense of their work in the role?).
- Level of development of individuals shows in their cognitive and social-emotional capability.
- Level of excellence of a coaching programme shows in the developmental level of coaches engaged in the programme, and the degree to which assessments are used to substantiate coaching outcome and programme quality.

Practical Conclusion for Human Resources

1 Work Complexity Assessment

2 Human Capital Audit

3 Data Collection

4 Analysis & Scoring

5 Capability Assessment

6 Feedback & Strategic Summary

Succession
Planning

Recruiting High
Potentials

Developmental
Coaching

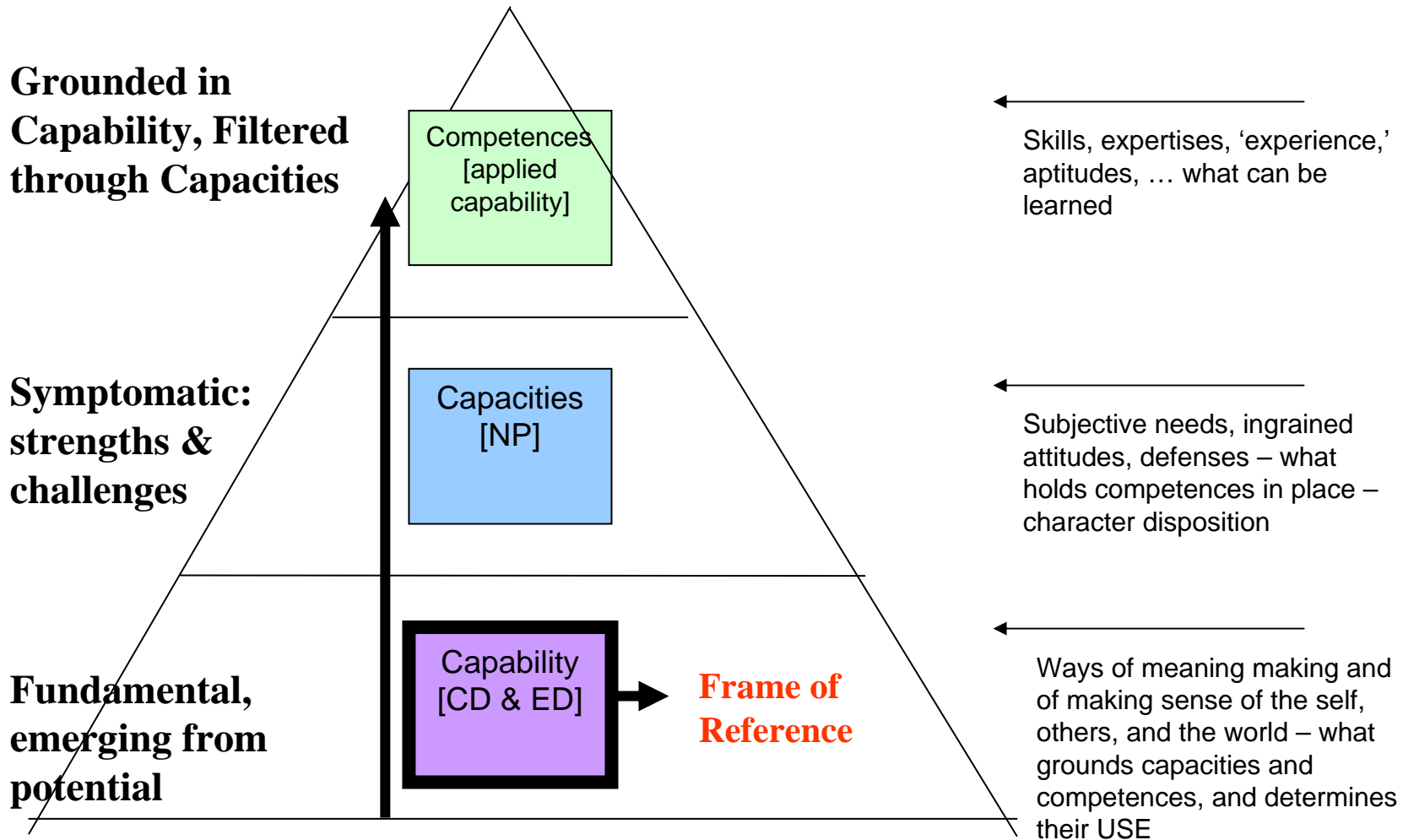
Team
Development

Corporate Risk
Management

Strategic
Capability
Planning

The 'Human Resources' Pyramid

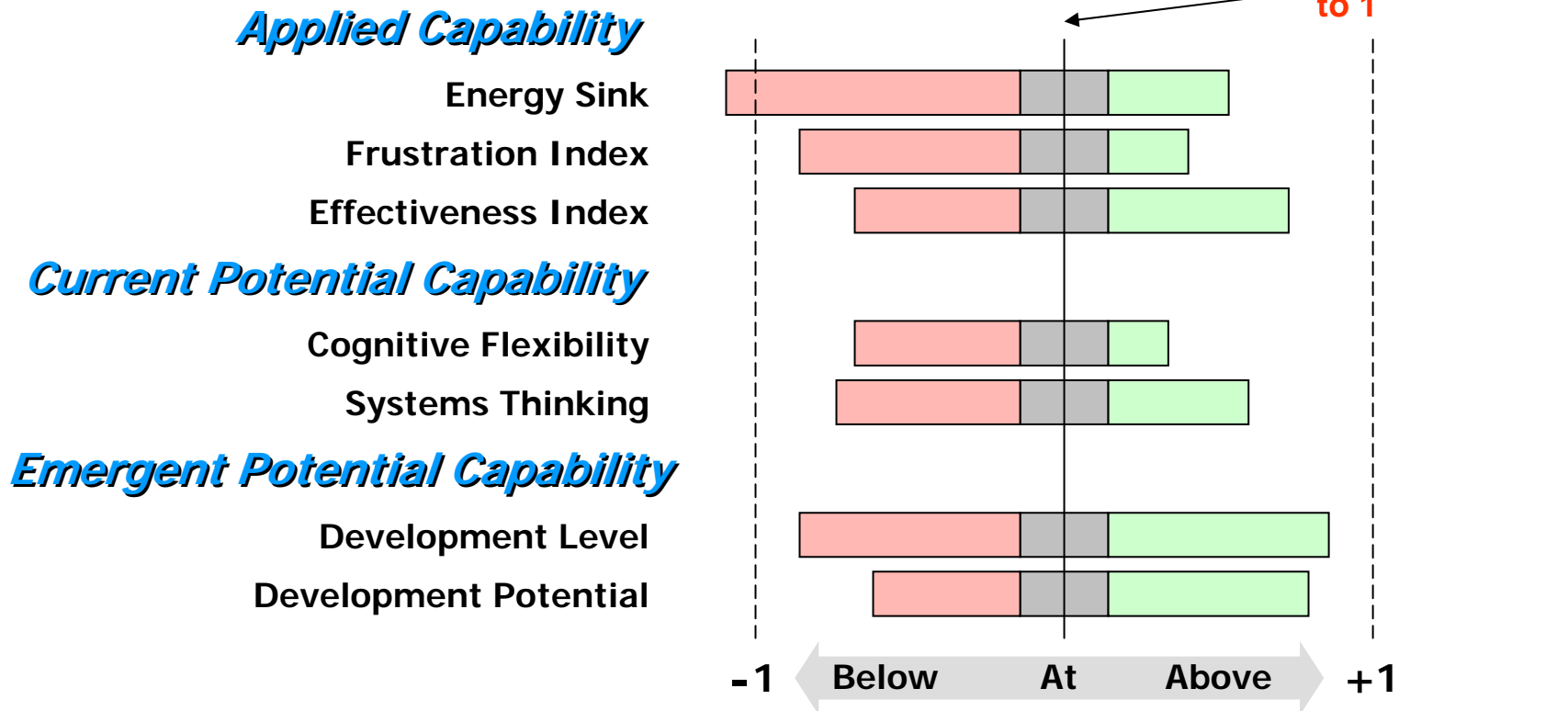
From a developmental perspective



'Competences' are used as a function of Capability

Capability Metrics Show How Close an Institution is to 'Requisite Organization'

Group Profile (at a specific level of accountability)



Each bar represents the cumulative sample data for that particular Level variable.

- Gray = meets capability requirements (optimal engagement, RO)
- Red = below capability requirements (performance risk)
- Green = exceeds capability requirements (wasted potential capability)

Coaching and HR are about Matching Size of Person to Size of Role

**Size of Person expands developmentally;
Size of Role does not, but can be viewed
developmentally.**

**SIZE OF PERSON is defined in terms of
Capability (CD, ED), and Capacity.
Competences are grounded in Capacity and
Capability.**

**SIZE OF ROLE is defined in terms of
organizational strata, thus levels of cognitive
development institutionalized.**

‘Post-Bureaucratic Boundary’

- **Many national governments are aiming to become ‘post-bureaucratic.’**
- **‘Post-bureaucratic’ indicates a *mind set* of managers in organizations, and of organizations as a whole.**
- **One cannot describe ‘post-bureaucratic’ in strictly behavioral terms, since it depends on *Frame of Reference (how people ‘see’ the world)* which is a developmental issue.**
- **Coaching can do its share to promote developmental shifts into a post-bureaucratic mindset.**

The Post-Bureaucratic Boundary

Phase of Development of Dialectical Thinking (Basseches) [CD]	Stage of Reflective Judgment (King & Kitchener) [CD]	Strata [CD] <i>Institutionalized Levels of Cognitive Development</i>	Type of Logical Reasoning (Jaques, Laske) [CD]	Cognitive Fluidity Index (Basseches, Laske) [CD]	Social-Emotional Stage (Laske, Kegan) [ED]
Phase 4	Stage 7	VIII	C4	>50	5(4)
		VII	C3		5/4
Phase 3	Stage 6	VI	C2	<50	4/5
		V	C1		4(5)-4
Phase 2	Stage 5	IV	B4	<30	4(3) – 4/3
		III	B3		3(4) – 3/4
Phase 1	Stage 4	II	B2	<10	3
		I	B1		2/3 - 3(2)

Equivalent cognitive measures

Intermediate Stages

Post-bureaucratic boundary

End of Introduction to Coaching

Introduction to Action Learning

Definition of Action Learning

An Action Learning Team differs from a typical Problem Solving Team in that it is based on asking questions, not making statements or decisions.

Action Learning (AL) is “learning by doing” under well defined *constraints*:

- (1) There is coach, a problem presenter, and a team working within time limits.**
- (2) There is an urgent, non-trivial problem briefly presented by the presenter.**
- (3) The team (4-8 people) is selected by the organization and has the authority to solve the problem (is not just advisory).**
- (4) The coach is focused on the team’s learning, not on solving the team’s problem, and at any time has the right to intervene to focus on the team’s learning. S(he) is also the time keeper and sums up session outcomes.**

Characteristics of an AL Problem

- **Is significant, non-trivial, important to the organization.**
- **Is urgent, and has a time frame attached to it.**
- **Is within the scope of understanding of one or more group members.**
- **Provides learning opportunities.**
- **Has the potential for knowledge transfer to other organizational issues.**
- **May not be identical with the problem posed by the problem presenter – must be the ‘core problem’ found by reframing the initially presented problem.**

Characteristics of the AL Group

- **Has the authority to solve the problem (is not merely advisory), if not also to implement the solution.**
- **Group size should not exceed 8.**
- **Group membership should be diverse. E.g., the group should not be composed of subject matter experts only – to avoid the risk of using only *programmed knowledge*.**
- **Group members should be chosen from different hierarchical levels of the organization that is having the problem.**
- **Group members have a stake in trying out new things, taking risks, being adventurous, unconventional in their thinking.**

Characteristics of the Problem Presenter

- **Is a member of the group.**
- **Must trust that the group is willing and able to help.**
- **Represents the problem sponsor (organization), not him- or herself.**
- **Transfers the problem from the organization to the group.**
- **Is managing the time available to him- or herself.**

Characteristics of the AL Coach

- **Is a group member who focuses on the group's learning (a function that may rotate among members of the group).**
- **Coordinates and manages the sequencing and overall time frame of the action learning sessions.**
- **At the first meeting, orients the group regarding the purposes and principles of action learning and the role of the action learning coach.**
- **Might serve as a link to top management, the sponsor, and the champion of the problem.**
- **At any time, can intervene with the group to suspend problem solving and focus on the learning that is, or is not, going on.**
- **Has the major task to encourage a high level of reflection and, thereby, of group solidarity as well.**

Questions and Reflection

- **AL is based on asking questions, not on making statements.**
- **Opinions are considered “cheap” and do not count.**
- **Statements are legitimate only in answer to questions posed by members of the group. They are manifestations of reflective judgment.**
- **Questions are asked not just to seek answers but to understand more deeply.**
- **Questions aim to understand the ‘big picture’ of an issue.**
- **‘Good questions’ derive from deep thinking about an issue, and from the ability to *illuminate implications* of an issue that are initially absent, not evident, not seen, or not seen as relevant.**
- **“Being responsible for asking good questions takes the burden off individuals to solve the problem” (Marquardt, 2004, 73).**

Action Strategies

- **Stage 1: Understanding and reframing the problem.**
- **Stage 2: Framing and formulating the goal.**
- **Stage 3: Developing and testing strategies.**
- **Stage 4: Taking action and reflecting on the action (later meetings).**

Working Under Time Constraints

To be successful, Action Learning needs strict temporal constraints enforced by the coach. Sample Template:

0:00 Welcome and planning of the session (Coach).

0:05 Problem presenter briefly presents problem #1.

0:10 The team begins to reframe the problem (with the coach intervening at any time, reflecting on the team's discussion).

0:25 The team proposes or recommends necessary actions, and discusses feasible action strategies.

0:35 Wrap-Up: the coach restates the actions that have been decided upon, and the way they are going to be launched.

0:40 End of session. Pause.

0:45 Action Learning Session for Problem #2 begins.

Individual and Plenum Sessions

It is advisable to start a series of AL sessions with all members in the same room (Plenum Session).

In the Plenum Session, the problems to be discussed by smaller groups are selected and assigned.

It is also advisable to bring all groups together again at the end of the day's AL sessions, in order to:

- 1. Hear a report by each group on the actions proposed (if any).**
- 2. Make a final selection of who does what next.**
- 3. Decide on a shared action strategy with regard to the organization.**
- 4. Set a date/time for continuing the action learning process.**

Problem Suggestions (1)

- **Establishing lines of communication between external coaches**
- **Formulating guidelines for selection and training (of internal and external coaches)**
- **Adopting assessments to provide outcome measures and measures of goodness of fit of the EC coaching programme**
- **Agreeing on, and following, a common methodological coaching approach (instead of nationally different backgrounds and approaches)**
- **Other methods of delivering coaching #1: Moving from belief-based to evidence-based coaching**
- **Other methods of delivering coaching #2: Integrating developmental coaching into behavioral coaching (“advanced coach education”)**
- **Establishing an education programme by which to arrive at shared coach certification (at an “advanced” level)**

Problem Suggestions (2)

- **Establishing a supervision programme for external coaches (following evidence-based principles, that is, using coach assessments)**
- **Establishing an ‘intravision’ programme for external coaches**
- **Establishing guidelines and procedures for quality assurance in coaching (‘talent management’ and ‘succession planning’)**
- **Establishing an internal coach education programme**
- **Establishing a programme for continuing coach education for external and internal coaches**
- **Establishing a policy about the use – when and where – of external vs. internal coaches**
- **Establishing measures for the goodness of fit of the ‘coaching programme’ in light of the needs of senior managers**
- **Streamlining management development to the needs of senior managers**

Conceptual Frameworks for Day 1 and Day 2 Action Learning Sessions

Day 1:

**Problems of Coaching and the
Organizational Support of Senior EC
Managers**

(1) Coach Education

(2) Management Development

Coach Education & Management Development Are Related

- **Coach education and management development are related issues because management needs to be educated to what is the essence of coaching, and in that sense ‘developed.’**
- **As long as management believes that ‘coaching’ is conveying expert knowledge rather than *supporting mental growth*, the benefit of coaching for management will remain limited.**
- **From a developmental perspective, coach education is about the coach first and the client second. This is because the coach can be effective only to the extent that s(he) is self-aware regarding his/her own process and model of the client.**
- **From a skills perspective, coach education is about learning new assessment tools (developmental interviews.)**

Developmental Coaching is “Advanced” Coach Education

- ‘Integrating’ developmental coaching with behavioral coaching (in its many forms) is a matter of continuing education.
- Essentially, education (‘educere’ = leading out of) is about achieving a deeper level of reflection in practicing coaching, based on:
 - better self insight into one’s own developmental level (and, therefore, model of the client);
 - higher sensitivity to nuances of how clients ‘language’ issues (language being the medium in which adult development is revealed);
 - a command of new tools, especially semi-structured interviews, by which to elicit developmental data;
 - the ability to not only *describe* but to *explain* client behavior (in terms of a client’s Frame of Reference).

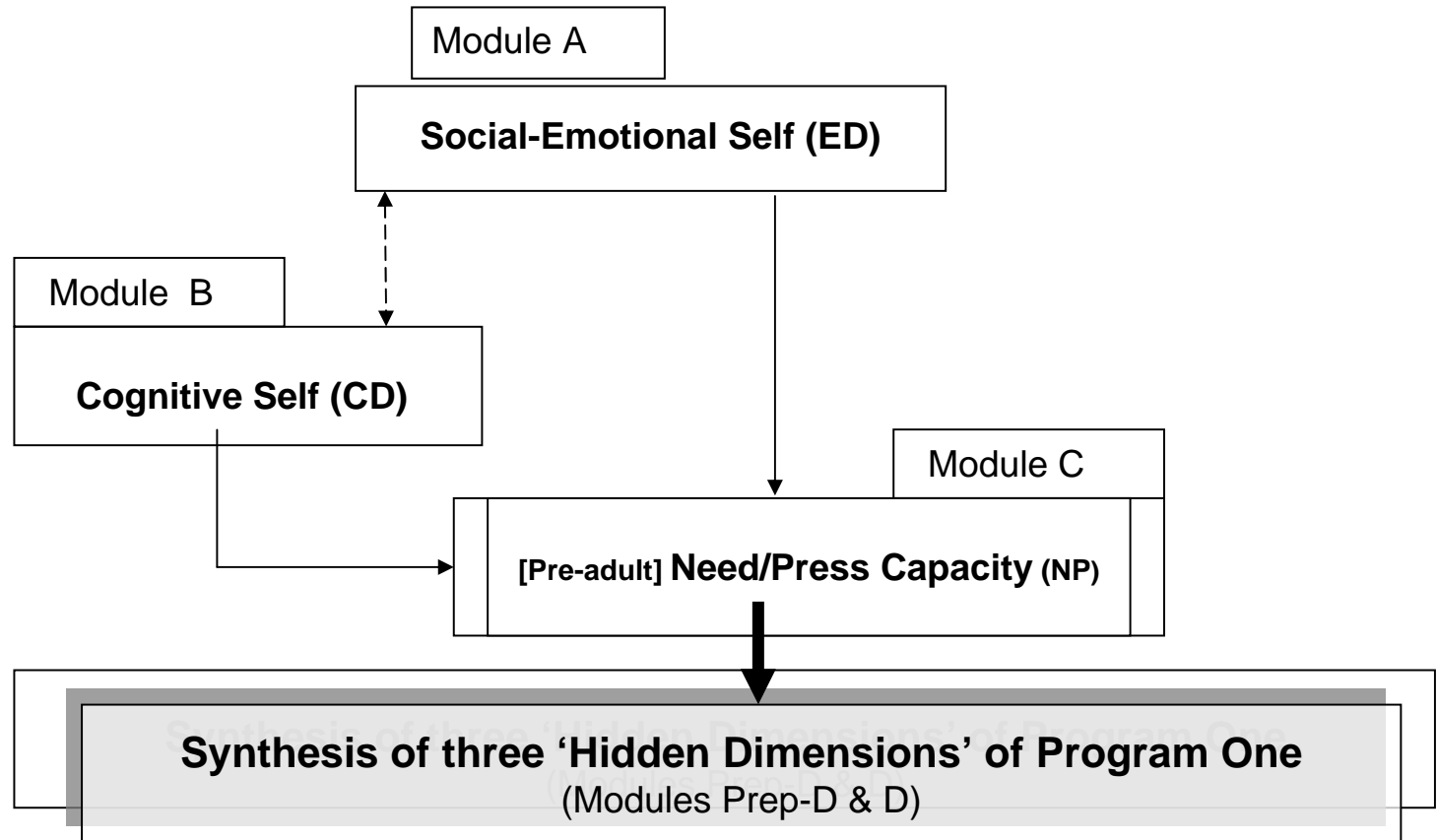
Learning to Think Developmentally Takes Time!

DEALING WITH DEVELOPMENTAL DIFFERENCES IN COACHING	
Ego-centric Pitfalls	Mature Professional Approaches
1. Coaches <i>ignore or deny</i> developmental differences (“We are what we are; it’s inborn.”)	4. Coaches <i>recognize and accept</i> developmental differences (“I think my client must be in a developmental transition which I don’t fully understand yet.”)
2. Coaches <i>recognize</i> developmental differences, but evaluate them negatively (“S(he) is not as developed as I am”)	5. Coaches analyze developmental differences, thereby moving out of their developmental blindness or comfort zone (“Like it or not, my client is not at the developmental level I thought s(he) was;” “I think this client is .developmentally beyond my head.”)
3. Coaches <i>recognize developmental differences but minimize their importance</i> (“We may be at different points in our development, but we share a common personal culture”)	6. Coaches begin to think and listen developmentally through training and case studies. (“I am much helped in my coaching by doing a developmental intake that shows me how the world shows up for my client.”)
	7. Coaches <i>actively leverage</i> developmental differences between clients, to make the most of existing potential, and to minimize its obscuration (“My interviews show that this client is presently developmentally overstretched, and my task is to lighten that burden by embedding him/her more deeply in their present developmental level, using their very good cognitive resources”)

Developmental Coaching Entails Learning about Two Hidden Dimensions

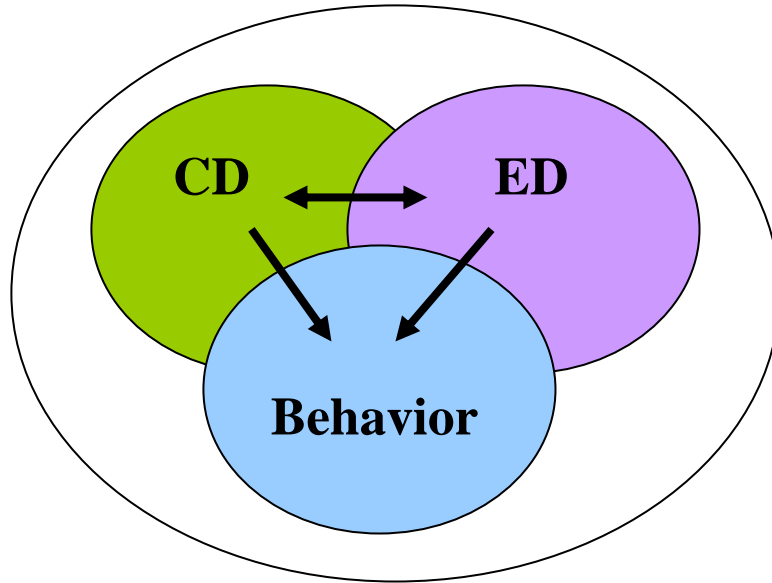
- **Developmental coaching researchers agree that client behavior is determined by client's FoR (meaning making), and that FoR derives from client's developmental profile.**
- **Clients' developmental profile has two main aspects, a cognitive and a social-emotional one.**
- **The cognitive aspect is about what the client CAN do.**
- **The social-emotional aspect is about what the client SHOULD do.**
- **In real life, decisions about these two issues always go together.**
- **The main tool to be learned is 'developmental listening.'**

Developmental Coaching Requires Integrating Three Perspectives on Clients



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Developmental Coaching Answers Three Client Questions



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

It is the task of the coach to help answer these client questions.

Management Development

Management Development Is About Mental Growth

- Recalling Jaques's 8 Strata based on levels of cognitive development (CD), it is clear that manager development is not a strictly behavioral issue, nor is it an exclusively cognitive-developmental issue.
- Rather, to be able to move to higher levels of accountability is a matter of social-emotional developmental (ED).
- Because **no way has been found to 'accelerate' social-emotional development**, coaching has to be content with boosting cognitive development (hoping that social-emotional development will follow) -- e.g. by encouraging self-reflection, taking on more challenging assignments, and assuming higher levels of responsibility on the part of the coachee.

Crossing the Post-Bureaucratic Boundary

- **A manager's move across the *post-bureaucratic boundary* can serve as a milestone of management development in general.**
- **To do so entails several achievements:**
 - **fully moving into and then beyond a self-authoring position (S-4) social-emotionally;**
 - **fully moving into phase 3 of dialectical thinking and/or stage 5 of reflective judgment cognitively;**
 - **thereby moving from the mind set of a 'manager' into one as 'leader' who is sufficiently self-aware not to assume that his/her own values and history are shared by others, and therefore able to be self effacing and self critical without loss of influence.**

The Post-Bureaucratic Boundary

Phase of Development of Dialectical Thinking (Basseches) [CD]	Stage of Reflective Judgment (King & Kitchener) [CD]	Strata [CD] <i>Institutionalized Levels of Cognitive Development</i>	Type of Logical Reasoning (Jaques, Laske) [CD]	Cognitive Fluidity Index (Basseches, Laske) [CD]	Social-Emotional Stage (Laske, Kegan) [ED]
Phase 4	Stage 7	VIII	C4	>50	5(4)
		VII	C3		5/4
Phase 3	Stage 6	VI	C2	<50	4/5
		V	C1		4(5)-4
Phase 2	Stage 5	IV	B4	<30	4(3) – 4/3
		III	B3		3(4) – 3/4
Phase 1	Stage 4	II	B2	<10	3
		I	B1		2/3 - 3(2)

Equivalent cognitive measures

Post-bureaucratic boundary

↑
Intermediate Stages

Self Authoring is Desirable But Not Quite Enough

Stage 4 is an ‘I’ stage, but one much different from Stage 2. These individuals, rather than trying to become someone, have found themselves or ‘come of age.’ They have been successful while pursuing Stage 3 goals and have, in their eyes, earned the ‘right’ to stand above the crowd and be noticed. Consequently, they are highly, if not completely, identified with the value system that they have authored for themselves, yet they are very respectful of others for their competence and different values and beliefs. They find great difficulty in standing away from themselves to discover their own voids, but they will accept them when they are discovered. In this sense, they can be more self-accepting, relative to those less well developed. They can stand back, however, from the institution that previously defined them far enough to be objective about what they ‘see.’ Since they are far more objective, they can be good at apprehending what could be done to change the system of which they are a part and, once doing so, will have enough strength in their own center-of-gravity to weather the storms that may come about in actually instigating a change or transformation process. The changes they author, however, will, more likely than not, be directed towards making the organization more responsive to themselves, authoring and moving it in directions approximating their own personal ‘institution,’ rather than one more universally self-sustaining. The climate they create will be one that follows the status quo, but taking on their own idiosyncratic values and operational principles as time passes. Since they are caught in their own FOR, they fail to appreciate the value of other FORs just as much, if not more, developed. This, by definition, limits the extent to which ‘their’ organization can learn-to-learn, grow, and further develop.

FoR = Frame of Reference

Day 2:

**Building an Internal Coaching Culture
and Establishing Quality Management
Procedures**

(1) Internal Coaching Program

**(2) Quality Assurance (certification,
supervision, use of assessments)**

A Conceptual Framework For AL Session #2

Quality Assurance in coaching has (at least) four main aspects:

- Existence of an integrated, behavioral-developmental, coaching program that is evidence- (rather than belief-) based.**
- Certification (internal and external coaches) according to evidence based standards of practice.**
- Supervision (internal and external coaches).**
- Use of assessments for establishing a *bottom line* at the start against which to measure *coaching effects*.**

Internal Coaching Program (1)

- **On account of confidentiality issues, external coaches are often employed at the higher levels of work complexity and accountability in organizations.**
- **This requires of them to function at higher developmental levels, both cognitively and social-emotionally, on a par with their clients.**
- **However, it holds for all coaches that they need to be one step ahead of their client developmentally to be more than just behaviorally effective.**
- **For this reason, the same issues of developmental level exist for internal coaches.**
- **Whether internal or external, any coaching program must address both the existential and professional issues of the coach:**
 - **Coach, who are you developmentally at this point in time?**
 - **Coach, what do you know about the coaching process in the evidence-based sense of the term (and how far are you practicing it)?**

Internal Coaching Program (2)

- Since most coaches, whether external or internal, receive their initial coach training *outside of* EC, any additional EC coaching program can be seen as advanced continuing education.
- Given the present state of the art of coaching, where most coach “trainings” are behavioral, any training in developmental coaching is an “advanced” course of study, -- that is *education*, rather than mere training.
- **Speaking of an EC internal coaching program would therefore make sense if it offered coaches advanced continuing education in their craft.**
- In light of this, two important requirements an EC internal program should fulfil are:
 - setting evidence-based certification standards *beyond* commercial coach training;
 - providing advanced *education* rather than only training, in the sense of teaching results of coaching research (coaching psychology).

Coach Certification

- In their content and thrust, most existing coach certifications focus on the client, not the coach, and on applied rather than potential capability.
- Given that coaching practice is based on a coach's potential capability (CD + ED, or FoR), that does not make much sense.
- Also, laws of adult development apply to both coach and clients alike whose work together is therefore *inter-developmental*.
- Therefore, certification should be the end step in a rigorous evidence-based education program that introduces beginning and experienced coaches alike to the foundations of their craft, which are developmental.
- Certification should focus on integrating behavioral with developmental coaching from a holistic, humanistic perspective.

Supervision

- **Most professions use either supervision or mentoring or both to assure quality of work.**
- **Psychology is a well-known example.**
- **A supervisor is an observer of the coach's interactions with the client system.**
- **Being an experienced coach, the supervisor models for the supervisee the latter's interactions with the client system.**
- **To be able to do so, the supervising coach must him- or herself be developmentally ahead of the supervisee, not just 'more knowledgeable' in terms of expertise.**
- **An internal coach education program would generate its own experienced supervisors.**

Use of Assessments

Evidence-based coaching entails the reflective use of behavioral and developmental assessments using oneself as the instrument of inquiry.

From an evidence-based perspective, ‘quality assurance’ requires:

- **Ability to make behavioral assessments (360, MBTI, others).**
- **Ability to make developmental assessments.**
- **Integrating both kinds of assessment into a comprehensive case study and feedback report.**
- **Formulation of coaching plans based on empirical – behavioral and developmental – data.**
- **Ability to assess coaching outcome by repeating assessments made at the beginning of the coaching period, to determine differential.**

Appendix

Three Examples of Cognitive Capability

Managers A to C, below, all speak about issues arising from an organizational acquisition/merger that has recently occurred, but do so at different levels of cognitive development.

Manager A

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

Manager B

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

Manager C

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

Characterization of Social-Emotional 'Cultures'

The Level-2 ‘Instrumentalist’ Culture

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

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

The Level-3 ‘Other-Dependent’ Culture

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

Individuals of this culture define themselves based on expectations of external and/or internalized Others. They find it difficult to know where they end and others begin. They are NOT acting from their own value system since unable to disentangle themselves from *inter-nalized others* (conventions), and therefore don't make good change agents, but rather followers. Individuals of this culture constitute the majority of bureaucracies, and need a “boss” to guide and supervise them. They fit into any existing culture like a hand into a glove.

The Level-4 ‘Self-Authoring’ Culture

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

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

The Level-5 ‘Self Aware’ Culture

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

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

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