EUTOPIAGRAPHIES: NARRATIVES OF PREFERRED-FUTURE SELVES WITH IMPLICATIONS FOR DEVELOPMENTAL COACHING

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"Grow old along with me.
The best is yet to be.
The last of life for which the first was made."

(Robert Browning)

This dissertation is dedicated to my parents

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Too soon gone.

Rest in peace until we meet again.

Abstract

Eutopiagraphy is a narrative of a preferred future self that extends the research tradition of biography and autobiography. Taking place at the intersection of adult development, futures studies, and the practice of developmental coaching, this research asked the question, "what can eutopiagraphy reveal about a client's meaning-making that may inform a coaching relationship, goals, and outcomes?" Using an adapted form of the subject-object interview, and subsequent thematic analysis, the eutopiagraphies of eight participants were collected and studied. Structures of constructive-developmental theory (values, view of others, range of perspective, control, and responsibility) were identified and constructive-developmental stages were estimated. This work extends the traditional subject-object protocol by using a narrative of a "to-be-lived" experience, rather than a "lived" experience, as the stimulus for revealing stages of meaning-making. Participants—estimated by the researcher to be at different developmental stages—identified differences in the potential use of a coach. Those at earlier stages, for instance, envisioned the need for a more prescriptive approach, while those at later stages anticipated less direction and more collaboration, in the nature of a trusted advisor. This work responds to the call for more research regarding familiar coaching practices (such as a discussion of a preferred future) and the application of adult developmental theory to the field of coaching. The potential application of adult developmental theory within the larger context of futures studies is addressed, shedding light on the different contributions to futures studies that may be made by individuals at different stages of development. Substantial connections were made to the mounting adaptive challenges of our complex world, the need for transformational leadership, and the possible use of developmental coaching as one way to address those challenges. The electronic version of this dissertation is at OhioLink ETC Center, www.ohiolink.edu/etd

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Preface

Eutopiagraphy, a word I have created, characterizes stories that a person tells about the futures he or she envisions and desires. They are narratives of preferred-future selves. These narratives are the context of this doctoral research.

The word, eutopiagraphy, was inspired by an investigation into the field of futures studies during the preparation of a qualifying paper (Diehl, 2009a) for this dissertation. Futures studies considers alternative futures, consequences, and the illumination of choices for action (May, 1997; Hideg, 2002). Several archetypes of alternative futures, including preferred futures, have been described in futurist literature and are summarized in Appendix A.

The concept of a preferred future has been specifically defined as desired (Razak, 2000) and values-based (Bezold, 2009). Dator used the word eutopia to describe a preferred future. He said eutopia is "the best possible real world you can imagine and strive for, always re-evaluating your preferences as you struggle toward it" (personal communication, as cited in Stevenson, 2006, p. 668). Eutopia has been distinguished in the popular press from its homophone *utopia*, Thomas More's term for an imaginary, ideal place.

I have extended "eutopia" to "eutopiagraphy"—meaning narratives of preferred-future selves. Biography and autobiography are narratives about a person's past and recognized as part of the qualitative research tradition (Miller & Crabtree, 1992). Volumes have been written about the purpose and analysis of these representations of a person's life from birth to the present day (e.g. Evans, 1993; Marcus, 1995; Roberts, 2002; Roos, 2005; and Stanley, 1993). In this dissertation, I will write about a new concept—imagining one's future and telling a story about it, a representation of the future—a eutopiagraphy.

Eutopiagraphy is not about identifying a person's future "to do" list. Rather, I will use eutopiagraphy to find out what is important and meaningful in a person's future and will analyze that story through a particular adult developmental lens that I will discuss momentarily. My approach, therefore, will be much more evocative than evidential (Grove, Kibel & Hass, 2007). As with this entire Ph.D. journey, I have approached this dissertation by wondering, "What am I to learn?" rather than, "What am I to prove?"

I hope that this brief preface has been helpful in establishing the meaning of "eutopiagraphy" and that I have sufficiently intrigued readers to discover, with me, my intended use of the term.

Chapter I: Introduction

The Purpose of this Dissertation

Eutopiagraphies are narratives of preferred-future selves. The purpose of this exploratory research was to find evidence of adult developmental structures and stages, as defined by constructive-developmental theory, through the analysis of transcribed eutopiagraphies. I used a thematic analysis of eutopiagraphies evoked through a discussion between the participants and myself. I will discuss implications of the developmental structure/stage evidence on the following areas: further research regarding the use of eutopiagraphy in coaching; coach training in adult developmental theory; and the domains of leadership, change, and futures studies.

Through this introductory section, I will illuminate the importance of this dissertation, situate myself in it, identify the research questions, present the subjects of the literature review, broadly identify gap areas in coaching practice and research, and provide a brief summary of the remaining chapters of the dissertation.

The Importance of Futures Thinking

In my lifetime, the expected life span of the baby boomer generation—people born between 1946 and 1964—has increased by 15 to 20 years. This is an entirely new and uncharted time because no generation in human existence has ever had the expectation to live 15 to 20 years longer than its immediate ancestors (Dychtwald, 2005).

I imagine that in addition to being new, unexplored, deep space, this generation of time may be enough to mean something extraordinary in terms of my own development as an individual and as a member of multiple communities. Anticipating the future, I wonder: “what am I to learn?”; “how am I to grow?”; “what do I imagine my future to be?” The journey into this new frontier has just begun yet already these questions have propelled me to make

significant changes in my life, for example, working with an executive coach, changing careers, investing in deeper relationships, and engaging in Antioch's Leadership and Change Ph.D. program. I find myself growing and developing in ways that I did not imagine a few short years ago.

I am not alone in musing about the possibilities for adult growth and development in this new extended lifespan. Kegan (1998), a renowned figure in the world of adult development (specifically, constructive-developmental theory, which will be described in detail in the literature review) wrote:

> What might the individual generate given an additional generation to live? Is it possible that more of us [will develop new ways of thinking and being] because we have found ways to increase the number of years we live? And why exactly are we as a species increasing the number of years we live? Is it possible we are living longer so that we might in fact evolve to a new order of consciousness? (Kegan, 1998, p. 208)

If our lives are to be longer, and we want to do more than just tread water for an additional 15 to 20 years, then I suggest that creating a vision about how we might spend our time in the future is very important. Consider the thoughts of the following futurists who have dedicated themselves to researching the futures of globally important phenomena.

Slaughter (1998) wrote that "the purpose of this work is to facilitate personal and social evolution beyond the present mental-egoic, capitalist-hegemonic, technical, narcissistic stages to other stages of personal development and the corresponding new stages of civilized life….for the progressive realization of human and cultural potentials" (p. 530). May (1997) and Hideg (2002) said that futures studies is about identifying alternatives and choices about the future so that we can influence the trajectory of current trends. Razak (2000) wrote that the work of futures studies is to make better decisions in the present. Thayer (as cited in Stevenson, 2002) indicated that the process of futures studies actually helps to attain a future state and is *diachronis,* meaning that

the "goals and the means for attaining them are decided during the participation process itself" (p. 418).

Bezold, my mentor in futures studies, said that a vision is more than just an image of the future state but a commitment to create it as well (Bezold, personal communication, 2009). Lombardo (2006) suggested that "imagining possible futures helps us break out of the mental boxes in which our thoughts are confined" (p. 45).

Seligman (2006), heralded for his advancement of Positive Psychology within the American Psychological Association (APA), wrote extensively about the benefits of looking toward the future, rather than re-hashing the past. In a recent speech he urged psychologists working in a clinical setting to consider that "we should not so much be pushed by the past, as pulled by the future" (personal communication, August, 2009).

Having a vision of the future that serves as an impetus to create that future has immediate applicability to my professional work as an executive coach. In the past, I regularly used a coaching tool known variously as best-future self exercise or Wheel-of-life exercise (Appendix B) in an effort to gain insight into where the clients were in the moment and where they wanted to be at some point in the future. We then worked together to create a "to do" list. The coaching relationship offered a venue for support and accountability to complete the list. If the goal was accomplished, we celebrated our successes and moved on to another goal or suspended the relationship.

As the concept of eutopiagraphy evolved I became certain that creating *stories* about the future, rather than "to do" lists, can serve bigger purposes and positively affect the coaching relationship and the development of the client.

Researcher's Stance

The importance of this dissertation can be traced to three positions that I occupy: 1) my role as a member of a community of coaching professionals and my commitment to add to the coaching body of knowledge that informs our practices; 2) my role as a developmental coach working with individuals who are dealing with goals and challenges in their personal and professional journeys; and 3) myself as an adult on a lifelong path of change, learning, and development.

Supporting my membership in each of these roles, and serving as the epistemological foundation for this dissertation, is the conviction that thinking developmentally is core to effective transformation within a coaching community, for my clients, and for me.

Within a coaching community.

People who consider themselves coaches come from diverse backgrounds (e.g. counseling, psychology, professional services), serve diverse clientele (e.g. in clinical settings, organizations, one-to-one coaching engagements), use different models and methods (which will be described in the literature review), and may (or may not) submit to a governing body or subscribe to governing principles. For me, the move into coaching was a career change from 1) industry positions where I served as a financial services director, and 2) professional services consulting where I assisted organizations in the design and implementation of policy and procedures related to enterprise wide financial and human resource systems. I am now a member of the International Coach Federation (ICF) and hold the credential of Associate Certified Coach (ACC). The ICF is part of the formal community of trained, professional coaches of which I will speak. This community has competency standards, principles, challenges, models, and intentions regarding our future as coaches that are important to my stance as a researcher.

Coaching competencies and guiding principles.

The ICF has provided a complete description of competencies required of its member coaches as described in Appendix C. The primary competencies are: setting the foundation; co-creating the relationship; communicating effectively; and facilitating learning and results. The International Association of Coaching (IAC), a competing governing body, has a similar list of coaching competencies.

In addition to these organizational standards, I try to keep in mind the following nine principles of coaching learned in CoachU training (Coach U, 2005): "people have something in common; people are inquisitive; people contribute; people grow from connection; people seek value; people act in their own interest; people live from their perception; people have a choice; and people define their own integrity" (p. 42).

I strive to be competent and principled as a coach. I am struck by the incredible overlap in these elements to the competencies and ethics I must bring to the dissertation research. Further, given the nature of the research—at the intersection of coaching, adult development, and futures studies—I remain aware of the values, perceptions, choices, and integrity that the research participants contribute to the process. Indeed, these values, perceptions, and choices are the subject material of the dissertation work.

Coaches hold their credentials from other organizations such as the International Coach Association (ICA) and may be informed by the competencies and practices that have been studied by the American Management Association (2008) and The Executive Coaching Forum (2008). There is wide consensus regarding the majority of the recognized competencies and coaching principles, but this does not make mine a profession without its challenges. These challenges are the subject of the next section.

Challenges within the profession of coaching.

Defining the profession.

While the function of executive coaching is not new, the establishment of the underlying purposes, theoretical frameworks, and generally accepted practices into a coherent and recognized profession is at the heart of the many challenges facing executive coaches today (The Executive Coaching Forum, 2008). The CoachU training I received started with an exercise that challenged the participants to discern the differences among therapists, teachers, consultants, trainers, and coaches. The over-simplified highlights of that exercise included:

- Therapists deal with people who are mentally unhealthy and work to uncover and resolve the underlying causes from past relationships and experiences.
- Teachers provide information that others do not have.
- Consultants provide expertise in an area that is specific to a challenge that has been defined by the client.
- Trainers help people learn new skills.
- Coaches help clients clarify and meet goals, working from a future orientation in doing so.

In my truth, these roles are not so distinct. Nor are they for the many others (Griffiths & Campbell, 2008; Hawkins, 2008; Ives, 2008; Rotenberg, 2000; Sperry, 2008) who have debated the differences. The discussion is important because how coaches define themselves has an impact on their credibility and competitiveness in the marketplace, how coaches are regulated, and who has oversight and can levy sanctions regarding quality and harm to the client (The Executive Coaching Forum, 2008).

The discussion about the substance of the coaching profession is ongoing, and in the process has encouraged healthy exchange regarding ways to support the profession, even while we are defining it. The exchange has exposed, for instance, the various theoretical frames that are in use—whether or not a coach is aware that he or she is working from such a frame. The challenge of simply identifying these many different paradigms is the discussion of the next section.

Exposing theoretical models of coaching.

Barner and Higgins (2007) wrote: "It is imperative that we know who we are as coaches and to be able to describe explicitly what we do with, and for our clients… [by identifying the] primary theoretical model that guides our actions as coaches" (p. 148). Kilburg (1996) identified the vastness of the problem and Stober and Grant (2006) subsequently compiled a holistic view of the theoretical frames that are in use. The background and applications of each of these frames could be entire topics of dissertations. For my purposes, it is enough to highlight the breath of theoretical landscape that coaches travel and to identify a few that have particular meaning to the ways I approach coaching. The frames include: action frame (Cocivera & Cronshaw, 2004); behavioral (Peterson, 2006); constructive-developmental (Garvey-Berger, 2006; Laske, 2008); cognitive-behavioral (Ducharme, 2004); cognitive (Auerbach, 2006); cultural (Rosinski & Abbott, 2006); humanistic (Stober, 2006); narrative coaching (Drake, 2007; Law, 2007); person-centered (Joseph, 2006); personality focused (McCormick & Burch, 2008); positive psychology (Kauffman, 2006; Linley & Harrington, 2006; Seligman, 2007); rational-emotive (Sherin & Caiger, 2004); solution-focused (Green, Oades, & Grant, 2006); and systemic (Cavanagh, 2006). As if each one of these were not enough, several integrative frames are now being constructed

based upon spiral dynamics (Beck & Cowan, 2006) or integral theory (Wilber, Patten, Leonard, & Morelli, 2008).

Where do I fit in? Clearly, I highly value constructive-developmental theory and narrative coaching and will return to these in depth in the literature review. I am also a humanist, believing that people are generally good and have the ability to grow and develop. Also, the strengths-based, future-oriented nature of positive psychology is in the mix of my work. And very often, the best choice for a client is a very goal-oriented, solution-focused approach informed by the systems in which these clients exist.

Beyond the challenge of wondering where the training for a new coach should start and how/if to discuss the value of the chosen frame with clients, each one of these frames should be evaluated in the context of coaching. We cannot rely on the work done in clinical settings, or in teaching, or counseling, or consulting to have evidence that the frames are worthy of use in a coaching relationship. This challenge—the demand for evidence-based interventions specific to the coaching profession—is the subject of the next section.

Researching evidence based interventions.

Evidenced-based coaching distinguishes between "professional coaching that is explicitly grounded in the broader empirical and theoretical knowledge base and coaching that was developed from the 'pop psychology' personal development genre" (Stober & Grant, 2006, pp. 4-5). As shown above, the theoretical base is huge, and many coaches are actively engaged in the process of identifying themselves with particular theories. Kauffman and Bachkirova (2008) are among those calling for the next phase of work—applying theory to practice in coaching—and doing so with empirical research. *Coaching: The International Journal of Theory, Research and Practice* was first published in 2008 and is a milestone in the

professionalization of coaching. This journal is dedicated to research about the way coaching is done today, and to the identification and use of new ways of coaching, as the needs of our clients change. The Executive Coaching Forum (2008) suggested, however, that doing research in coaching relationships has its own set of challenges. For instance, in "real" contexts a larger number of possible stakeholders (e.g. managers of the executive clients) may have to be considered which is not the case when college students are used as research participants in simulated situations.

Drake (2008) cautioned that "evidence only becomes significant when put into action in response to a question, in support of an outcome or in the creation of relevant knowledge" (p. 23). Indeed! Otherwise, isn't research navel gazing?

The first International Research Conference on Coaching at Harvard University was held in September, 2008. The assembled group of coaches identified 100 areas for research. A list of these research topics is available at www.instituteofcoaching.org. Additionally, The Executive Coach Forum (2008) offered a five-page, single-spaced list of researchable questions as a possible starting point.

Several research suggestions in the two sources just mentioned are specific to particular interventions, but none refer to the "best-possible self" exercise that is the germ of eutopiagraphy. Adult development, however, is suggested as a line of inquiry. The work of this dissertation will begin to fill a gap by addressing adult development and best-possible selves.

I found inspiration to push through with this research in the following quote from the Dublin Declaration on Coaching (2008):

> Research is the life blood of practice. It feeds our continuing development and brings fresh perspectives to our work. It can be the place to visit in our dilemmas and in our successes. In valuing research we are valuing our work, as one is the exploration of the

> other. Engagement in that exploration sustains our practice and fuels our own development. (p. 10)

I can't add to that.

Acknowledging the role of adult developmental theory.

Frank Ball, a faculty member at Georgetown University's Coaching Program, recently commented that he can foresee a day when it is considered unethical for a coach to practice without adequate knowledge of adult development (personal communication, 2009). Axelrod (2005) wrote: "The effectiveness of coaching can be enhanced if it is based on a model of adult development that encompasses both career and personal life" (p. 118). Ross (2008) called for the establishment of an Institute of Applied Developmental Theory. I believe coaching research and practice could find a home in such an institute.

Laske (2006), who is in the vanguard of professional coaches demanding attention to adult developmental theory, said that helping professions—such as coaching—look, feel, are practiced, and experienced by adults differently depending upon the developmental level of the client and the coach. Laske concisely identified that client and coach at different stages of development differ in the following ways:

- view of others
- level of insight
- values
- needs
- need to control
- form of communication, and
- organizational orientation.

As an example, when a client and his/her coach view others differently each is likely to approach problems and solutions differently. A client who is an organization leader and views his/her employees only as cogs in a machine may think the only solution to a challenging task is

to give more specific direction and rules to the employees. The leader's coach, who views employees as important collaborators in problem solving, may encourage more active engagement with and creativity from the employees. Most importantly, from a coaching effectiveness perspective, coach and client may not be aware that each may have a different view of others and any discussion between them is likely to be frustrating at best. Being able to identify these different points of view is a critical capability for the coach. And being able to help the client open up to new ways of thinking about others can be an important developmental outcome of coaching. These outcomes are referred to by constructive-developmentalists as subject-object shifts (Kegan, 1982, 1994).

> *Object* refers to those elements of our knowing or organizing that we can reflect on, handle, look at, be responsible for, relate to each other, take control of, internalize, assimilate, or otherwise operate upon....Subject refers to those elements of our knowing or organizing that we are identified with, tied to, fused with, or embedded in. We *have* object; we *are* subject. (Kegan, 1994, p. 32)

The shift in "subject-object shift" refers to a movement along the developmental path. I will return to a more extensive explanation of subject-object shifts in Chapter II: Literature Review because a grasp of this concept is fundamental to Kegan's theory and to its application within this dissertation effort.

Berger and Fitzgerald (2002) identified implications of subject-object shifts in the context of executive coaching. Attention to shifts during a coaching conversation can help clients: 1) identify their own hidden assumptions (those to which they were subject, and make them object); 2) sustain their new insight and not fall back into old ways of thinking; and 3) work through the implications of a more complex world. "An increase in complexity can shake up a client's way of seeing and dealing with the world, thus affecting the client's self-concept, relationships, goals, and plans" (Berger & Fitzgerald, 2002, p. 32).

Torbert (2006a) suggested that the entire field of organization development (O.D.), of which coaching is one modality, lacks a "widespread and disciplined attention to developmental theory" (p.826). Such attention includes personal transformational practices, measurement of efficacy of such practices, the recognition of O.D. as an action science, and finally, the rigorous research required to document personal and organizational transformation. Argyris and his colleagues (Argyris & Schön, 1978; Argyris, Putnam, & Smith, 1985) defined action science as the use of reflection about the thoughts or beliefs that influence behavior and affect outcomes. They argued that these thoughts and beliefs—our mental models—may be so automatic, that without reflection, we would not even question their origins, veracity, or their possible impact on our behavior. Action science challenges us to question our mental models and to consider what other outcomes might be achieved through a changed model. Further, Kegan and Lahey (2009) wrote "the field of leadership development has over attended to leadership and under attended to development….[we] ignore the most powerful source of ability: our capacity (and the capacity of the people who work for us) to overcome, at any age, the limitations and blind spots of current ways of making sense" (pp. 5-6).

Summary.

The preceding discussion is about my positioning as a researching coach within the community of coaches. I have provided evidence that the coaching profession is not clearly defined, in part because coaches use a broad spectrum of theoretical bases that are not substantiated by empirical evidence that is specific to coaching. Additionally, I have shown that the application of theory to practice (e.g. adult developmental theory to eutopiagraphy) with research (the work of this dissertation) is timely and important to the development of the coaching profession.

I will now move to the second position I embody, that of coach within a coaching relationship.

Within a coaching relationship.

The coaching relationship is, for me, a magical place of people, purpose, and process. I will use these three vantage points as structure for the discussion of the coaching relationship and the research that I have done for this dissertation.

People.

The context for this research is my profession as a developmental coach, where I work primarily with midlife executives who, like me, are interested in their growth and development as leaders and human beings. The clients are leaders in places of power and authority within publicly traded companies. The selected participants fit the profile of my regular client base and are part of the baby boomer generation. As previously mentioned, I believe the baby boomer cohort has a special opportunity to engage in the future, given the gift of increased time. I further believe that we may face many adaptive challenges (Heifetz, 1994), and, as Kegan (1994) has written, we may be "in over our heads."

Purpose.

The purposes of my coaching are development and sustainability. In some instances, the development that a client seeks is more appropriately called learning—learning new skills, new behaviors. In this dissertation, the kind of development that interests me considers finding new ways to think about ourselves and our situations. In constructive-developmental theory, new ways of thinking happen as a result of subject-object shifts. The ultimate purpose of developmental coaching, using the constructive-developmental lens, is to understand not just "where" a client is today in terms of skill levels and regular behaviors. The goal is the find out

"WHERE" the client is in terms of his/her thinking or worldview. With this insight, I can better support and appropriately challenge the client toward his/her goals.

An entire section of Chapter II: Literature Review is dedicated to this bigger "WHERE." In Chapter V: Findings and Discussion, I delve into the implications for coaching and what it means to be supporting and challenging clients based on their levels of adult development.

Process.

In this dissertation research, I used a client's eutopiagraphy as the source material to find evidence of constructive-developmental structures. In the past, I have referred to eutopiagraphy as a "best-possible self" exercise. The "where" I looked for in a client's story was largely contextual—family, work, relationships, and occasionally, values. In the past, I did not look for developmental structures—the bigger "WHERE." Hearing eutopiagraphies, through a developmental filter, has been new ground for me as a coach and researcher.

In the past, many clients found the best-possible self exercise to be a possibilities-enhancing experience. They uncovered things about themselves, their ambitions, their yet-to-be fulfilled dreams that became very motivating. Others could not even engage in the exercise and disregarded it as useless. I wondered why certain clients "got it" and others didn't. When the exercise was meaningful, I wondered why it was so.

Any number of things, including my own competencies as a coach, might have affected the outcome of the process. As I approached this research, through a constructive-developmental lens, I wondered if a client's order of consciousness might affect his/her ability to engage in an exercise about imagining the future and the resultant insights regarding future possibilities.

The working hypothesis in this research has been that a client's narrative about his/her future(s) reveals something about the client's capacity for and complexity of meaning-making. The implication of this hypothesis is that a coach, knowing the developmental diversity of his/her clients, can individualize the coaching approach to more effectively support the growth and development of each client. Drago-Severson et al. (2007) identified a similar goal as they worked with teachers to increase their understanding of adult development in the context of adult learning. A student's "way of knowing can become more complex (i.e. change) if provided with developmentally appropriate supports and challenges" (Retrieved August 10, 2009, from http://www.ncsall.net).

As a journeying adult.

Antioch University, and specifically, the Ph.D. in Leadership and Change Program, values the concept of the reflective practitioner and this concept is integral to all of our assignments. Who I am and how I show up as a leader and coach have been important questions to ponder throughout this journey. As Laske (2006) noted, knowing more about who I am as a developing adult is critical to success as a coach. According to Laske, "The level of development of [the coach] is the singularly most important key to success in assisting others." (p. 72)

As a baby boomer in midlife, I know I will be faced with many adaptive challenges in the next fifty years. Large stretches of that time have never been experienced by any generation because the baby boomers are the first to have such a tremendous increase in our life spans during our lifetimes. Beyond the logistics of extended lifetimes in a personal microcosm, what challenges will be posed by globalization, market crashes of epic proportions, environmental catastrophes, or rogue nations with dirty bombs? How will we address these challenges? I suspect that transactional learning—figuring how to do more of X to get more of Y—will not be

able to solve the problems we will face. I, and the rest of the baby boomers, need to have some transformational development to thrive through our lifetimes so that we are not passively consumed by them. I am my own Petri dish in this regard, and am looking forward to applying this research to myself as well as with coaching clients.

Before moving on, something about the baby boomers as a cohort is appropriate.

The baby boomer cohort.

According to The Boomer Project (Thornhill, 2006) the first use of the term "baby boomers"—referring to people born between 1946 and1964—appeared in Landon Jones' *Great Expectations: America and the baby boom* (1980). The U.S. government has adopted the term and has reported that the baby boomer generation is "one of the largest generations in U.S. history" (http://www.census.gov/population/www/socdemo/age/2006%20Baby%20Boomers.pdf downloaded January 25, 2010). As of 2006, the cohort included over 78 million individuals representing 26.1% of the total U.S. population. Males and females were represented by nearly equal numbers. The racial composition was as follows: White -- 82.2%; Black -- 11.6%; Asian – 4.3%; other – 1.6%. 65.6% were married and 11.7% had never been married. Nearly 60% had some college (28.9%) or a bachelor's degree or higher (28.8%). 74.1% were employed and 22.4% were not in the workforce.

The research participants will be baby boomers, who are serving or have served, as executives in publicly traded corporations and who are anticipating some significant change within the next ten to fifteen years. I have chosen this participant profile for two reasons: 1) because it mirrors the profile of most of my coaching clients; and 2) in their lifetimes, the life-span potential of these participants has become 15-20 years longer than any previous generation,

due in large part to better health care. Because there is potentially more time in our baby boomer lives, there is more opportunity to consider how that time will be invested.

Beyond the demographic information that I have presented above, which is based on a "first boomer" birth date of January 1, 1946, what else has or can be said about this cohort that might be useful? A recent Google search found nearly four million "hits" on the term "baby boomer." A lot of the public discourse is about the impact of the baby boom bubble on society (including the financial impact of boomers as they begin to tap into the Social Security System). Another hot topic is the generational differences between four age cohorts who are in the workforce today: the traditionalists, baby boomers, Xs, and Ys. While they advised caution in the application of stereotypes, Essex and Kusy in *Fast forward leadership* (2004) suggested, for instance, that the generations differ in the kinds of working conditions and motivations that are valued by each generation. They argued that successful leaders will be those that recognize these differences and take them into account through flexible approaches to people, policy, and process.

Research about generational differences suggests that older generations are more loyal to their organizations and have a stronger work ethic (D'Amato & Herzfeldt, 2008; Essex & Kusy, 2004). Younger employees are less interested in doing uncompensated, extra work and require more recognition for their efforts. Further, younger employees feel very comfortable giving their own opinions and suggestions compared to their older colleagues (Busch, Venkitachalam, and Richards, 2008). Gen Ys report being more skillful at multitasking than Gen Xs and baby boomers (Carrier, Cheever, Rosen, Benitz, and Chang, 2009). Eaton (2008), in her study of a bureaucratic organization, found little evidence of generational differences across nine facets of job satisfaction.

O'Brien (2008) studied how baby boomer and Gen X educational leaders differ regarding the skills they perceived to be important to be a successful administrator. Boomers stressed values such as honesty, trust, and awareness of the political landscape, while the Gen X participants "stressed good communication skills, being curriculum leaders…organizational skills, and flexibility" (p. 99).

This is just a sampling of the research that is available regarding the generational differences that have been observed within various workplaces. Each of these studies concluded with a call for more research into this phenomenon.

Twenge and Campbell (2008) wrote:

> generation is a meaningful psychological variable, as it captures, the culture of one's upbringing during a specific time period. Each generation is molded by distinctive experiences during their critical developmental period. The pervasive influence of broad forces, such as parents, peers, media, and popular culture, create common value systems among people growing up at a particular time that distinguish them from people who grow up at different times. (p. 863)

As a member of the baby boomer generation, I can identify these cultural influences from a very personal perspective. They include: the admission of Hawaii as the 50th state; the first Irish Catholic U.S. president; the Vietnam War; the Beatles, the Monkeys, and Batman; the first man on the moon; the ubiquity of television; McDonalds; and, most importantly for me, the cracks in the educational and professional glass ceilings that have allowed me to be 1) one of the first women to attend a formerly, all-male, state university and 2) a senior executive in the corporate world. I can see aspects of myself in Essex and Kusy's (2004) characterization of baby boomers as having "a strong work ethic and loyalty…typically willing to spend time talking through issues at length, scheduling many meetings, and engaging in face-to-face encounters as a means of getting work done" (p. 21). And I wonder, which of these

characteristics comes from generational membership, and which comes from my own ongoing individual journey of adult development and growth?

Singham (2009) recently wrote in *The Chronicle of Higher Education* that the tendency to make assumptions about people based upon their generational positioning stands in stark contrast to our abhorrence of cultural, racial, or sex-based characterizations. Further, "the trouble with generational stereotyping is that it sucks the individuality out of our students…It makes them generic types, whose personalities and motivations we think we can discern without having to go to all the bother of actually getting to know them" (p. 104). A similar concern can be voiced about carelessly slotting individuals into different stages of adult development without actually getting to know them.

The work of this dissertation is about getting to know a very small number of individuals, who happen to have been born between 1946 and 1964. With respect to membership in a particular generation, I will be less concerned about generational characteristics and will concentrate more on the values and motivations of the individual sitting with me.

The Dissertation Questions

The following questions will be addressed:

- What can eutopiagraphy tell me as a researcher/coach about a client's meaning-making?
- What are the differences among clients' eutopiagraphies that may be influenced by their meaning making ability?
- How powerful is the intersection between constructive-developmental levels and eutopiagraphy, if at all? (Figure 1.1)

- What are the implications of eutopiagraphy within the context of developmental coaching (coaching that seeks to support clients in their adult growth and development)?

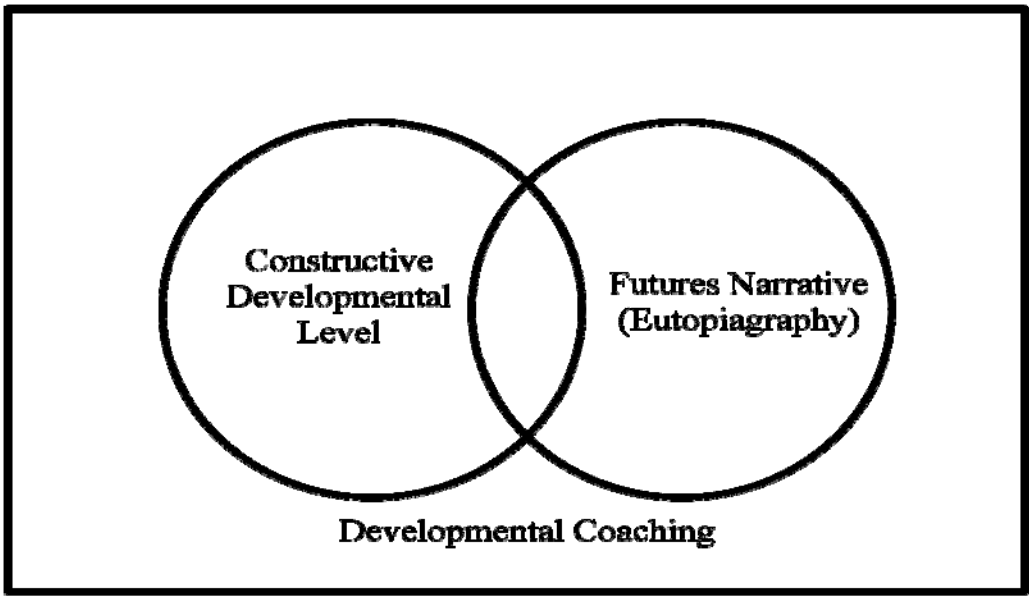

Figure 1.1. Intersection of CD levels & eutopiagraphy within context of developmental coaching

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Literature Review Overview

The literature review has two major components: 1) the theoretical frameworks of constructive-developmental theory (CDT) based on the seminal works of Kegan (1982, 1994), and theories about preferred-future selves, and 2) current research in this dissertation's "sweet spot." The sweet spot for the research portion of the literature review was empirical research that had been done at the intersection of

- coaching

- in which the coach works with a client to identify "where" or "WHERE" the client wants to go in the future (specifically using a best-possible self exercise)
- through a constructive-developmental lens (the "WHERE" lens).

Identifying the gap was the first research victory. Then I extended the sweet spot to find out how the topics mentioned above were addressed in other related fields, e.g. psychology, counseling, and futures studies. I then studied what I found and identified implications for this current research.

The last step in the literature review was to assess my work against the literature review scoring rubric designed by Boote and Beile (2005). This rubric includes coverage, synthesis, methodology, significance, and rhetoric.

Gaps in the Literature

I found the following gaps in the literature:

- minimal research regarding how coaches use a "best-possible self" exercise with their clients;
- minimal research regarding how coaches use constructive-developmental theory and its related assessment (the subject-object interview); and
- minimal research regarding how coaches use the "best-possible self" exercise as a means for learning more about a client's meaning-making capacity from a constructive-developmental perspective.

Further, I found that the world of futures studies, with its many futures archetypes (Appendix A), has not focused on the individual as a foundational unit of investigation. Nor did I find that adult developmental theory has found its way into futures studies in large ways.

The work of this dissertation can effectively extend constructive-developmental theory into the field of coaching, reformulate the "best-possible self" exercise into eutopiagraphy, and add to the way futurists consider some of the biggest issues of our day.

Dissertation Structure by Chapter

The dissertation has five sections. These sections are:

- Preface—establishing the background of "eutopiagraphy."
- Chapter I: Introduction—covering the importance of this work, my situation in it, the identification of research questions, the subjects of the literature review, and the broad identification of gap areas in coaching practice and research.
- Chapter II: Literature and Research Review—covering the theoretical foundation of constructive-developmental theory based on Kegan's (1982, 1994) seminal work, preferred-future selves, and research at the intersection of coaching, future selves, and constructive-developmental theory.
- Chapter III: Methodology—discussing the criteria for the selection of an adapted version of the subject-object interview—and its roots in thematic analysis--as my research tools, the process of conducting a subject-object interview, the selection of participants, and issues of credibility and ethics.
- Chapter IV: Findings—identifying the research outcomes.
- Chapter V**:** Discussion and Conclusions—addressing the significance and limitations of the dissertation research, and providing suggestions for future research. Implications for the study of leadership and change are also included.

Scope and Limitations

I have focused on the use of one type of coaching intervention, eutopiagraphy, to understand what can be learned about one's level of adult development through this intervention. Because of my fascination with extended lifetimes that will be experienced for the first time by baby boomers, I have used participants who were born between 1946 and 1964.

The work that I have done can be classified as exploratory because I used a new technique (eutopiagraphy) that was targeted toward a new purpose (to understand constructive-developmental levels). I studied the eutopiagraphies of only eight participants looking for evidence of constructive-developmental structure and stages.

Some may argue that I should have been formally trained in the subject-object interview protocol (Lahey, Souvaine, Kegan, Goodman, & Fox, 1998). I did not choose to receive formal training because my study of constructive-developmental theory has been extensive. In Chapter IV: Findings, I demonstrate that I can effectively identify structures and uncover evidence of developmental stages. I have confirmed my ability through peer reviews of the thematic analysis, with the help of colleague who has a similar interest and familiarity with constructive-developmental theory. If adult developmental theory is to be useful to a broad reach of coaches and their clients, barriers to its use, such as extensive and expensive coach training and client assessment tools, must be minimized. I discuss the implications of this argument in the Chapter V: Implications and Discussion.

Dr. Bezold, a dissertation committee member, stated that a vision is more than just an image of a future state but a commitment to create it as well (Bezold, personal communication, 2009). The vision I have for this work compels me to move forward as he knew it would. And so, I begin.

Chapter II: Literature and Research Review

The following literature and research review addresses 1) constructive-developmental theory based on the seminal works of Kegan (1982, 1994) including applications to leadership development and coaching, and 2) theories and research regarding preferred-future selves from the worlds of coaching, psychology, and futures studies.

Constructive-developmental Theory and Research

The recurring theme within constructive-developmental theory is the progression of human development with an increasingly larger worldview that is increasingly more complex and evolves across the lifespan. Kegan's (1982, 1994) theory is about ways of making sense of ourselves and our experiences. Unlike the behavioral/mechanistic view that posits that development happens as a result of some outside factor that is applied to a person (Baumgartner, 2001), the constructive-developmentalists focus on the individual's participation in his/her own construction of meaning. The person does more than respond to a stimulus. He or she actively interacts with the environment/context/another person and comes to make meaning. The nature of that meaning-making evolves over a continuum of *subject-object shifts* (Kegan, 1982, 1994) from infancy through adulthood. The transformations occur when a person's way of making sense no longer works for the level of complexity of the environment/relationship with which the person is interacting.

In *The Evolving Self,* Kegan (1982) offered numerous ways of articulating the nature of the subject-object shift. The following excerpts show the complexity of this concept:

- "a process by which something becomes less subjective, or moves from subject to object" (p. 31);

- a process of "emergence, our subjectivity, that leads us to project it onto the world in our constitution of reality" (p. 31);
- "the evolutionary motion of differentiation (or emergence from embeddedness in the world) and reintegration (relation to, rather than embeddedness in, the world)" (p. 39);
- "getting outside of oneself" (p. 50);
- "a sequence of emotional, motivational, and psychodynamic organizations, as well as…cognitive and sociomoral ones" (p. 74);
- Subject-object shifts are about personal boundaries—"what is self" and "what is "other" (p. 74);
- "a succession of qualitative differentiations of the self from the world, with a qualitatively more extensive object with which to be in relation each time" (p. 77);
- "successive triumphs of 'relationship to' rather than 'embeddedness in'" (p. 77).

Kegan, Noam, and Rogers (1982) provided an example of a very early subject-object shift. A newborn, who has previously not felt hunger in the womb, experiences hunger after birth. The child responds to that sensation of hunger by crying and quickly the connection between crying and being fed emerges. The world has become more complex at birth with the sensation of hunger. In response to that new complexity the child learns a way of interacting with the world to have his needs met. Ultimately, the connection to a feeding source (e.g. mother) is made and the pattern of integration and differentiation of self and other begins.

Subject-object shifts reflect "the two greatest yearnings in human experience" (Kegan, 1982, p. 85)—the desire to be included and the desire to be independent. Individuals cycle

through desires to be included (in ever larger contexts) and desires to be autonomous (again, in ever larger contexts). The shifts reflect successively more complex integrations (being included) and differentiations (being autonomous).

At any given stage, I am "subject" to a relationship when I cannot distinguish myself from the relationship—the relationship "has" me. I can not get far enough away from it to know where I begin and end versus where the relationship begins and ends. Gradually, I come to be able to see the difference between what is self and what is other. At this point, I "have" the relationship, and it is object to me. I can hold it out in front of me, metaphorically speaking, and view it with some amount of objectivity. The confounding part of this theory is that at successive stages, I can desire either inclusion or autonomy. However, the journey is not linear; but, is recursive. I want inclusion in the relationship with mother; then, I want autonomy from it. I want inclusion in a group; then, I want to distinguish myself from it. I want inclusion in a career; then, I want to separate the career from myself. The "growing edge" is caused by the tension between wanting to be included and wanting to be autonomous.

According to Kegan (1994), development is "meaning-making and the evolution of consciousness…a new way of seeing ourselves…in relation to the demands of our environment" (Kegan, 1994, p. 2)— "the personal unfolding of ways of organizing experience that are not simply replaced as we grow but subsumed into more complex systems of mind" (p. 9). In Table 1.1, I have summarized the stages of development according to Kegan's model.

Table 1.1
Summary of subject-object shifts.

Stage	***Name of stage***	***Subject-Object Shifts***	
		Subject	**Object**
0	Incorporative	Reflexes	n/a
1	Impulsive	Perceptions and impulses	the difference between self and other
2	Imperial	Needs, interests, wishes	Perceptions, impulses
3	Interpersonal (The socialized mind)	Mutuality	Needs, interests, wishes
4	Institutional (The self-authoring mind)	Authorship, ideology, sense of self, self-dependence, self-ownership	Mutuality
5	Interindividual (The self-transforming mind)	Interpenatrability of self systems	Authorship, ideology

Note. Adapted from Kegan, 1982, 1984; Kegan & Lahey, 2009.

Table 1.1 shows how things we are subject to ("they have us") shift throughout development to things we hold as object ("we have them"). The arrows indicate the shifts from subject to object.

The stages of constructive-developmental theory are not fixed-in-stone destinations but are guideposts that aid in the understanding of a developmental process that can be ongoing throughout life. Each stage shift is similar to Bridge's (2003) three part concept of transition—where there is 1) a letting go followed by 2) a time of upheaval that leads to 3) a grabbing hold of a new reality. The time between letting go and grabbing hold of different realities, according to Bridges, is a time of great creativity and growth, as well as some angst. Similarly, in constructive-developmental theory, the transitional periods between stages are often very rich sources of development for an individual. In these transitional times individuals are dealing with mixed messages from both previous and succeeding stages that can be both frustrating and challenging. The experience of challenge indicates that the individual is on a "growing edge" toward the next stage of development (Lahey et al., 1988).

Table 1.1 is a simplified version of the full model. Lahey and her colleagues (1988) identified 21 gradations among stages that indicate transition or states of disequilibrium that I have not shown. Practically speaking, I do not believe that the general coach population will embrace the complexity of 21 gradations. I would expect coaches to be aware of the guideposts and to realize that there is a great deal that happens on the trip between those posts that cannot be ignored. Lahey et al. (1988) wrote that "merely distinguishing between stage X and stage Y might be adequate, but a world of differences would be lost in the gradual evolution from the disequilibrium out of stage X through to the *reequilibrium* into stage Y if we could only make a single distinction between stage X and stage Y" (Lahey et al., 1988, p. 44). To the extent that deeper understanding would be helpful, I would suggest that coaches focus on the two stages, and transitional phases, between the socialized mind (Stage 3) and the self-authoring mind (Stage

4), as there is evidence that a large majority of adults fall at or between these two stages (Kegan, 1994).

The subject-object interview.

In the introduction, I discussed the assessment phase of a coaching relationship aimed at finding out *where* the client is today, and *where* the clients wants to be tomorrow. The subject-object interview (SOI) and analysis takes this concept of *where* to an entirely different place. The fundamental question a subject-object analysis answers is: "from WHERE [emphasis added] in the evolution of subject-object relations does the person seem to be constructing his or her reality" (Lahey et al., 1988, p. 10).

The subject object interview takes about an hour and involves two parts: 1) priming the interviewee and 2) the interview itself. In priming the interviewee, index cards are provided to the interviewee. Each card presents a word such as "anger," "success," "sad," "important to me," "strong position," and "torn". The interviewee is asked to quickly note times when he/she has experienced these feelings. The completed cards serve as queues for the interviewee and remain confidential to that person. During the interview, the interviewer may ask about a word, or have the interviewee select a word of interest to him/her. The interviewee has a place to begin using the notes on the card.

Throughout the interview, a trained interviewer must remain alert to the signals that might mark particular structures in the client's telling of his/her experiences. Probing for clarification about *structure* is an important technique to be mastered. Questions that might be asked of the interviewee include: "What about success is important to you?"; "What would you risk if you didn't take a strong stand?"; "Why were you torn?"

The interview is then transcribed and analyzed to uncover territories—structures—that ultimately point to a particular stage or transitional space—an epistemological stance (Lahey et al., 1988) that the interviewee uses most regularly. The five key structures—ways of organizing and making meaning of experience—that are targets for analysis in the SOI are: values, view of others, range of perspective, control, and responsibility. (I will say more about these shortly.) In reviewing the transcript, the researcher might reflect upon the following questions:

- Where does the interviewee's ability to recognize different perspectives show up? Can the interviewee identify the difference between his perspective and that of another person?
- For what things does the interviewee take "psychological responsibility?" For instance, if an interviewee said "she made me feel stupid" this might be an indication that responsibility for the feeling of stupidity has been delegated to someone else.
- What meaning(s) did the interviewee attach to certain strong feelings? Who is involved in those feelings and how much does the interviewee have his own perspective on those feelings?

Importantly, the researcher is not looking for "themes, motives, and issues" (Lahey et al., 1988, p. 12) but for the underlying meaning of themes, motives, and issues from a constructive-developmental perspective. Drake (2007) wrote about narrative coaching in which the coach is listening for the client's story and works with the client to make sense of that story. However, Drake did not embed constructive-developmental theory as a way of understanding the client's meaning-making in narrative coaching. Conversely, the SOI is specifically used in connection with constructive-developmental theory. The use of constructive-developmental theory within

the narrative of one's preferred-future self (eutopiagraphy) distinguishes this research work and purpose from that of narrative coaching.

The nuances of structure that an interviewer looks for in the analysis of a SOI (Lahey et al., 1988) are summarized in Table 2.1.

Table 2.1
Constructive-developmental structures.

Constructive-developmental Structures (ways of organizing experience)	**Stage 2 (Imperial) Characteristics**	**Stage 3 (Socialized) Characteristics**	**Stage 4 (Self-authoring) Characteristics**	**Stage 5 (Self-transforming) Characteristics**
Values *What do I value most in life?*	Getting my needs, interests, wishes met	Mutuality; Reciprocal/stable relationships; respect for authority; empathy; others understanding me; values come from an outside "institution"/authority	Psychological independence; sense of self; my own values; I can see limitations to the institution. My independent standards are important.	I am not invested in any one system, so we can create new ones. I value transformation to something new.
View of others *What is the role of others?*	You can meet my needs. Also, if I do something, you (something external) may be able to apply consequences. I view your needs, wishes, interests in terms of the consequences for my world.	I look to an external source for direction – from a "board of directors" who know better than I do. You make me feel this way. The other's view is determining/mediating. Difference is a "problem."	I do not hold you responsible for my feelings. I feel violated if you make me responsible for your feelings. You have feelings that I am not responsible for. I am still seeking to confirm that I am doing it in a right way (idealism?)	We can participate in a process of creating a new perspective. I want feedback to know if my self-evaluations are correct.

Constructive-developmental Structures (ways of organizing experience)	**Stage 2 (Imperial) Characteristics**	**Stage 3 (Socialized) Characteristics**	**Stage 4 (Self-authoring) Characteristics**	**Stage 5 (Self-transforming) Characteristics**
Range of perspective *How broad is my ability to see another's perspectives**?***	I can see your point of view in terms of what I want/need. No internal battle. I cannot take more than one perspective. I am concerned only about my own perspective.	I can hold multiple points of view (interpersonal) e.g. mine, yours. I am responsible for your point of view. I can't imagine that you have a POV different from the one I think you have. Your POV helps determine mine. I can look at myself through your eyes.	I can generate, define, and distinguish my point of view from yours. You can have a point of view outside of the one I have constructed internally as your POV.	Other's views may help me change my own.
Control *How much control do I have over myself, and where does that control come from?*	I can recognize my impulses and begin to control them to get what I want.	I am dedicated to doing what others expect of me.	Self-assertion; reduced control by others; my choices/action may not be mediated by your POV; independent of your feelings	Getting to a particular outcome is less important than working together to get to new and different outcomes.
Responsibility *What do I take responsibility for?*	I am not responsible for my actions independent of some external you.	I do not own responsibility for choices that have to be made/choices that an authority tells me are the right choices.	I am responsible for my own feelings/decisions. I take full responsibility for my own viewpoints/actions.	I am responsible for working with you to find a better way that neither of us has considered.

Note. Compiled from Lahey et al.,1988.

In Table 2.1, I have liberally used "I" (rather than continually repeating words such as "the self," "the person," "the interviewee") and "you" (rather than "other" or "external entity") in the description of structures. I do not want to imply, however, that at a particular stage "I" am aware of my own structures. At a given stage, "I" am subject to these structures and would not be

able to describe my position as presented above. Becoming aware of the things "I" am subject to and making them something "I" can see as object, is the subject-object shift of constructive-developmental theory.

I will return to the adaptation of the SOI as used in this research in Chapter III: Methodology. At the moment, I direct attention to the discussion and research regarding constructive-developmental theory (CDT) and SOI in the context of leadership development and coaching.

CDT in leadership development and coaching.

As mentioned in Chapter I: Introduction, some coaches are using constructive-developmental theory (CDT) in their practices. In the literature review I found a number of practitioners who have written from a theoretical perspective about the use of CDT within coaching and leadership development. Several others have done empirical research at the intersection of leadership development and CDT. I found nothing at the intersection of coaching, CDT, and preferred-future selves, from either a theoretical or research perspective, that could be compared and contrasted directly to the work I have done in this research.

Laske (2006) is, in my opinion, the most prolific proponent for the use of CDT in coaching. He wrote that developmental coaching "is the foundation not only of all coaching, but equally of other kinds of working with adults" (p. 78). His constructive-developmental framework (CDF) (Laske, 1999) and his assessment—the Developmental Structure/Process Tool (DSPT)—focus on the interaction of behavioral and developmental coaching. The framework extends CDT by considering not only constructive-developmental stage, but also strengths and challenges, and current/emergent capabilities. Further, his framework addresses not only the client but also the coach, recognizing that each is on a developmental journey that may, or may

not intersect usefully with the other. Laske offers a series of courses on CDF that are quite challenging and may be well beyond what the general coach population will access or embrace.

With respect to his own work, Laske (2008) has written, "the tools…require a self transformation, since CDF tools do not exist outside of oneself. As a consequence, one cannot use the tools before having situated oneself developmentally. Whether [or not] a person can do so will depend on her developmental potential" (p. 98). In my opinion, Laske has succeeded in extending constructive-developmental theory. I suspect that others share the view that his writing style and expanded content are reminiscent of Kegan's (1982) in *The Evolving Self*. It has taken Kegan 25 years, several more books, articles, book chapters, and new language to make his latest work, *Immunity to change* (Kegan & Lahey, 2009) comprehensible on the first reading. Perhaps the future will unfold similarly for Laske!

Berger (2006) modified the terminology used by Kegan (1982) to identify the stages of constructive-developmental theory. She used Prince/Princess, Journeyman, CEO, and Elder to identify Stages 2-5. She did not make clear why she chose different terms. I can only speculate that she believed these terms are less intimidating or more accessible to her work in organization and leadership coaching. Having read extensively in the seminal works of Kegan (1982, 1994) and Kegan and Lahey (2001, 2009) I do not find any new theory in Berger's work. However, she has completed a small research project at the intersection of coaching and CDT (Berger & Atkins, 2009) to which I will subsequently return.

Berger and Fitzgerald (2002), Bachkirova and Cox (2007), and Ball (2008) wrote about the possibilities of using constructive-developmental theory in coaching. Goodman (2002) adapted the subject-object interview protocol for specific use with executives. He called his protocol the Developmental Coaching Dialog (DCD). Goodman provided anecdotal evidence

that the dialog can improve the effectiveness of an executive, as the executive can form a new perspective, or develops, through the experience of the DCD. The contributions of these authors serve as quick tutorials on Kegan's (1982, 1994) early work that may be more easily read by a broader segment of coaches than those written by Kegan. They do not extend the theoretical foundation, nor does my work. This dissertation sets the stage, however, for using CDT to understand the different ways in which people envision the future. The questions for this exploratory dissertation are: "Can the structures of constructive-developmental theory and evidence of developmental stages be found in eutopiagraphies?" and "How do people at different developmental levels envision the future?" Implications for this research include finding ways to incorporate CDT theory into the futures work of individuals, leaders, and the broader community of futurists.

Like Berger (2006), who renamed CDT stages to fit a coaching context, Torbert (2004, 2006a, 2006b) renamed the stages to fit his purposes in leadership development without extending theory. (See Appendix D for a comparison of developmental stages as proposed by Kegan and Torbert.)

Torbert is not a psychologist. His biography indicates an education in political science, economics, and administrative sciences and a professional life dedicated to the development of leaders and teams within organizations (Torbert, 2004). I mention this because his theory of action logics and action inquiry represents an assimilation of work from the field of adult development—largely the purview of psychologists—to an organizational setting. Torbert's work is important because it demonstrates the following: an important application of theory that supports practice beyond the originally intended field of psychology that is easier to read than

Kegan, and his terminology may resound more in the field of coaching and environments in which I interact.

The stages of Kegan's (1982, 1994) model have been called psycho-logics. Torbert (2004), influenced by Argyris and Schön (1974) and the field of action research, termed his stages action-logics. Action-logics are uncovered in the process of action inquiry. "Action inquiry is a way of simultaneously conducting action and inquiry as a disciplined leadership practice that increases the wider effectiveness of our actions." (Torbert, 2004, p. 1)

Torbert's (2004) theory includes at least these two developmental markers that I have not seen explicitly in Kegan's (1982, 1994) work: 1) that a person's ability to use the four parts of speech (framing, advocating, illustrating, and inquiring) consciously and effectively evolves with their development; and 2), that later stages of development include the ability to use single, double and triple loop feedback effectively (Torbert, 2004).

Four parts of speech.

Torbert (2004) proposed that fully using the four parts of speech (framing, advocating, illustrating, and inquiring) can make leaders more effective communicators—meaning that action happens as a result of speech. Torbert's premise of action inquiry is that development occurs through "conscious living in the moment" (p. 4) in which a person experiences his action and the impact of that action. The more adept a person becomes at noticing the action and inquiring into the impact, the more likely that person is to change his or her way of thinking. The complexity of thinking progresses along a continuum as the worldview changes from "I" to "you and me" to "we all" with correlated outcomes of integrity, mutuality, and sustainability and transformation.

People at early action logics use fewer and different parts of speech than do people at later logics. People at later logics use these speech parts more intentionally and effectively. An analogy comes to mind. At a young age, I learned the skill of writing with a pen and was thrilled with the pages of writing drills I produced. On this Ph.D. journey, I still use the skill of writing, but I write with larger and more complex purposes and for a wider audience whose perspectives and feedback I seek. My goal has shifted from mastery of a skill, to fulfillment of a purpose that will serve a larger good.

Single, double, and triple loop feedback.

According the Torbert (2004), the feedback we seek from our actions answers increasingly complex questions. Single loop feedback asks "Did the action I took give me the outcome I intended?" This is a question asked by someone from the standpoint of an early logic. Double loop feedback asks "Are we better served by doing this a different way?" This question comes from the midrange logics and indicates the recognition that there is someone else involved whose perspective I consider. And, finally, triple loop feedback asks "Are we working on the right goal?" This question is more likely to come from the later logics where strategic thinking lives.

I have successfully used these feedback concepts in coaching especially when a client feels frustrated by a lack of movement toward a goal. The concepts remind me of Heifetz' (1994) different types of challenges, ranging from Type I to Type III. A Type I challenge is a very common problem with a well-known solution that simply has to be implemented. A Type II challenge is one in which an expert has the knowledge to define the problem and the solution and can work with others to implement change. A Type III challenge is an adaptive challenge

that requires the leader and the followers to learn something new in order to solve the problem and requires a questioning of assumptions similar to Torbert's triple loop feedback.

Similarities between Kegan and Torbert

Among the similarities I see between Kegan (1982, 1994) and Torbert (2004) are the following ideas:

- The current logic from which a person acts is unknown to that person. The current logic "has us" until further development happens and we "have it." However, Torbert did not name this phenomenon "subject-object shifts" as Kegan did.
- Specific stages aren't absolute all of the time. As described by Lahey et al., (1988) an SOI assessment might identify that the individual is in transitional stage from or toward the five key stages. In these instances, lingering elements of the previous stage or precursors of the new stage might be apparent in the client's language. Each logic includes all of the preceding others.
- Kegan discusses authority and Torbert discusses power. I believe the concept believe is the same and signifies the reference point from which a person takes action. At different levels of development the authority or power to understand and act in the world comes from an outside source or from an internal one, and is, to a lesser or greater degree, self-derived over the course of development.
- Both theories are about increasingly larger worldviews which, although increasingly complex, also offer more options for thought and action.
- We lose something in the transition between logics that we need to reconcile in the new logic.

Dissimilarities between Kegan and Torbert

Torbert (2004) invites his readers to play with the theory and to identify the stages of themselves and others in various situations. This is psychology for the common folks. Torbert has written for business practitioners, while Kegan and Lahey's early work seems intended for clinicians. I found Kegan and Lahey's (2001, 2009) subsequent work to be more accessible and intended for a broader audience.

Fisher, Rooke, and Torbert's (2000) extensive listing of personality styles and mannerisms that are attributed to each of the different types of action logics may be a more important dissimilarity between Kegan (1982, 1994) and Torbert (2004). Lahey et al. (1988) specifically warned against the tendency to make assumptions based on personality styles indicating that the same style might be evident at any stage.

The purpose of this dissertation is not to compete with Torbert (2004) or his place in adapting constructive-developmental theory (CDT) to the world of organization and leadership development. I am looking at a piece of the developmental coaching toolkit—a best-possible self exercise—that has not been studied before in coaching research. I am taking Kegan's (1982, 1994) seminal work and Torbert's grand penthouse level adaptation of CDT to the ground floor of leadership development—to the coaching relationship that is an increasingly important leadership development modality. Further, as Torbert took CDT to organizations, I am bringing it to a specific coaching tool and to a new venue—futures studies.

Joiner and Josephs (2007) modified the stage names once again in their extension of Torbert's (2004) extension of Kegan (1982, 1994) and Loevinger (1976). They used the Washington University Sentence Completion Test (WUSCT) and Cook-Greuter's Leadership Development Profile in their research rather than the subject-object interview. Kegan (1982)

wrote that later orders of development increase the number of alternatives that one can see, resulting in increased flexibility. Joiner and Joseph's changed "flexibility" to "agility" and adapted Kegan's (1982, 1994) structures to fit their purposes in the context of executive leadership. For example, Kegan's range of perspective has become Joiner and Joseph's stakeholder agility described as "how deeply you can understand the viewpoints and objectives of those who have a stake in your initiatives" (p. 35). Kegan's value structure has become Joiner and Joseph's context setting agility which, at later stages of development, is an ability to see in a more systemic, holistic way.

Through interviews and observations of executives in the field, Joiner and Joseph (2007) found evidence of differences in the ways people at different stages of development envision the future. Their conclusions, regarding differences in vision content and capacity are presented as single instances, and might be judged as anecdotal. They suggested that individuals at latter stages of development can take a view that projects farther out into the future and that is informed by individually held values and sense of purpose, rather than co-opting the vision, values, and purpose from others. Reminiscent of Kegan's (1982) growing edge, or Heifetz' (1994) adaptive challenge, or Mezirow's (1991) disorienting dilemma, Joiner and Joseph note that the ability to take such a view is not automatic at later stages but is compelled by circumstance—a need to envision the future differently because the current view of the future doesn't bode well. This, indeed, is the driving force of my dissertation—that we will have to learn to deal effectively with adaptive challenges and disorienting dilemmas, given the pace and size of change that variously confronts or beckons us.

McCauley, Drath, Palus, O'Connor, and Baker (2006) summarized and compared the work and research surrounding Kegan (1982, 1994), Loevinger (1976), Cook-Greuter (2004),

and Torbert (2004). They called for additional research including a challenge "to explore the contributions of aspects of [CDT] theory beyond individual orders of development" (p. 634) including more work on leadership effectiveness and orders of development and the impact of coaching on adult development. My work will be among the first studies to consider the connection between coaching and adult development.

One might argue that the work of this dissertation could have been based upon Loevinger's (1976) theory of ego development, as extended by Cook-Greuter (2004), and applied by Torbert (2004) , Joiner, and Josephs (2007). I have chosen the Kegan (1982, 1994) ancestry for many practical reasons including: my previous extensive study of Kegan; the connection to my mentor, Lisa Lahey through a qualifying paper for this dissertation; and the availability of coaching professionals and colleagues who share an interest in and fascination with constructive-developmental theory—Kegan style.

In summary, regarding CDT within the coaching ranks, I have named the few practitioner-scholars who are actively engaged in the discussion. I attribute the smallness of this group to the relative youth of the topic of adult development in the coaching world and in coach training. Recalling Ball's (personal communications, July, 2009) admonition regarding his anticipated future ethical requirement for the inclusion of adult developmental theory in coach training as mentioned in the introduction, my dissertation will serve as one source of information regarding the extension and use of CDT within coaching.

I will now turn to the research using the subject-object interview that is Kegan (1982, 1994) and Lahey's et al. (1988) subject-object (SOI) tool for the identification of adult developmental stages.

The subject-object interview in research.

How have researchers used the SOI and what modifications have they made to the tool to meet their own purposes?

Berger and Atkins (2009) completed "exploratory action research" (p. 26) on the use of the SOI in a coaching relationship. They looked at the coaching participant's reaction to the use of 1) a subject object interview and 2) debriefing of the SOI analysis with specific discussion about adult developmental theory with the suggestion of stage appropriate developmental activities. Participants reported "a favorable reaction to the process" (p. 28) including new insights, validation, and personal growth. Berger and Atkins found evidence that CDT can be useful in a coaching discussion because the participants identified different and deeper insights than they had gained from other coaching tools. Some participants suggested that experiencing the SOI was developmental in and of itself. My own research work—applying CDT in a coaching discussion about the future—can be loosely construed as an extension of this study. The adapted form of the SOI that I used (see Chapter III: Methodology and Appendix D) is designed to get to deeper and richer insights than those that can be found through a more traditional Wheel-of-Life exercise (Appendix B). While not part of this current research effort, I plan to offer follow-up coaching to participants and will be curious to discover their reactions to the SOI and thoughts they may have regarding its use as a developmental tool.

Harris and Kuhnert (2007) studied the relationship between the Leadership Development Level (LDL) model using SOIs and 360-degree feedback. "This study is one of the first studies to empirically demonstrate the link between leadership development level and leadership effectiveness using the constructive-developmental framework" (p. 47). The priming words for the interview were success, conflict, change, important, and strong stand/commitment.

Lucius and Kuhnert (1999) studied military cadets and compared the students' constructive-developmental (CD) level with an array of other assessments. They found significant correlation among CD, moral development, and peer ratings and suggested that further study into the connection between CD and leadership is warranted.

Villegas-Reimers (1996) explored the use and effectiveness of the SOI cross-culturally, specifically in Venezuela. She determined "that the instrument can be successfully used" (p. 25) to assess Stages 2, 3, and 4. The priming words for the interview include: sad, angry, and torn.

Robbins and Greenwald (1994) used the constructive-developmental model to study ways of thinking about the environment. They hoped that "an increased understanding of, and respect for, people's styles of thinking may enhance the effectiveness of environmental program and policy development" (p. 31). The article did not report the priming terms used for the SOI.

Dissertations used the SOI to study such topics as conflict, undergraduate learning, pastors and seminarians, eco-tragedy, teachers in transition, organization transformation, mentoring, incarcerated males, violent men, non-violent men, and middle-aged Catholic women, among others. Each of the dissertations covered CDT and followed the SOI protocol as documented by Lahey et al. (1988). One dissertation, found at the *PsycINFO* keyword intersection of "constructive-development" and "leadership or executive", was written by Eigel (1998).

Eigel (1998*)* compared the constructive-developmental level of CEOs from successful companies against previous studies that categorized the CD level of highly educated SOI participants. He found evidence that CEO interviews reflected later CD stages than the previously studied highly educated groups. He then compared the CEO scores to middle management scores in the same successful companies and found evidence that the CEOs had

higher CD scores than this group. Finally, he found evidence that a CEO's CD level is positively correlated with measures of leadership effectiveness. As Eigel noted, a major limitation of his work regarding this last finding was the inability to score all of the CEO interviews in a timely and cost-effective manner. Instead, he extracted and scored pieces from 21 SOI interviews that were prompted by the words success, vision, change, and conflict.

None of the articles or dissertations mentioned above investigate the intersection of coaching, CDT, and ways in which people envision or make meaning of the future through the specific use of a best-possible-self exercise. I intend to help bridge this gap.

The SOI in my research -- a brief note

The subject-object interview is "about how people make sense of their particular experience in a particular context or environment" (Lahey et al. p. 292). Kegan (Bachkirova, 2009) said that the SOI is not an assessment tool but a research tool that is intended to identify development that is caused by a particular experience. The primary research question I ask is "Can structures of constructive-developmental theory and evidence of particular developmental stages be identified by a coach through the analysis of a preferred-future-self narrative?" The experience I will be looking at is a to-be-lived experience of a preferred-future self rather than a past experience. My focus provides evidence of the usefulness of extending the SOI and the underlying theory into futures studies. I had the great honor to work with Lisa Lahey as my mentor on a qualifying paper for this dissertation (Diehl, 2009b). I have confirmed with Dr. Lahey (personal communication, 2009) that the use of a "to-be-lived experience" as fodder for a developmental discussion is "appropriate and intriguingly novel."

Imagining Future Selves – Theoretical Foundations

Wheel-of-life & future self.

Based on a quick sampling of roughly 25 coaching colleagues, the use of a best-possible-self exercise is a common practice in coaching. The format of the exercise often mirrors the Wheel-of-Life or the Future Self visualization techniques documented by Whitworth, Kimsey-house, Kimsey-House, and Sandahl (2007) in *Co-active coaching*.

In the Wheel-of-Life exercise (Appendix B), the coaching client is asked to consider the future in a number of life domains (e.g. career, finances, health, relationships, physical environment, and personal growth). The client then ascribes two numbers to each domain using a scale of one to ten. The first number is the relative importance of that particular domain in the future. The second number is the client's current rating of satisfaction with the domain. Based on the outcomes of these ratings, coach and client can identify areas for goal setting and attainment that can be facilitated by the coaching relationship. For instance, the client may identify a finance future as a "10" indicating that this is an important domain. The current assessment of finances may be a "2" indicating that there is quite a large gap between where the client is today and where he/she would like to be in the future regarding her finances. Conversely, a future rating of "10" and a current rating of "10" in the domain of relationships would indicate that the client is quite comfortable with this area of life. In discussion, client and coach would likely agree to "keep on keeping on" regarding relationships because those are acceptable, and would focus their coaching attention on the domain of finances.

In my experience as a coach, and confirmed with coaching colleagues, the Wheel-of-Life exercise can lead very effectively to a number of transactional, behavioral changes for which the

client agrees to be held accountable. For example, the client might agree to increment savings by $100 per month, and report progress on a regular basis to the coach.

In the Whitworth et al. (2007) version of a Future Self exercise, the client is guided through a scripted, open ended, visualization of the future. In my use of this exercise, I ask the client to envision the future in Technicolor clarity in as many domains of life as are important. As in the Wheel-of-life exercise, the client identifies an aspect of future life that may be rich content for a coaching goal and the coaching begins.

In spite of practice-based evidence that these two exercises work, I could find no specific discussion of the theoretical underpinnings of the Wheel-of-life or Future Self visualization in the coaching literature. Two articles I found were written by positive psychologists (King, 2001), Sheldon and Lyubomirsky (2006). In both instances, their primary intent was to uncover the correlation between writing about best-possible selves and the impact on health and mood, respectively. General searches of the coaching literature were not fruitful with respect to the specific study of the use of a best-possible self exercise. However, the theoretical concept of a possible self (Marcus & Nurius, 1986) is discussed and researched extensively in the field of psychology. The next portion of this review will address this possible selves literature.

Possible selves.

The construct of possible selves derives from the notion of self-concept (Marcus & Nurius, 1986). "Possible selves represent individuals' ideas of what they might become, what they would like to become, and what they are afraid of becoming, and thus provide a conceptual link between cognition and motivation" (1986, p. 954). In this early writing, Markus & Nurius posited that the usefulness of the concept was in its ability to address "several persistent problems, including the stability and malleability of the self, the unity of the self, self-distortion,

and the relationship between the self-concept and behavior" (1986, p. 954).

Note that the original intended use of possible selves was to address persistent problems within the context of traditional psychological therapy. As a coach, I work with healthy people with strengths that clients would like to use more effectively to propel future success. In spite of the focus on problems and the past, compared to my interest in strengths and the future, I believe that the possible self concept is an appropriate stream of literature to review for this dissertation. I also note that, influenced by Seligman's (2006) leadership of the American Psychological Association, the field of psychology has embraced positive psychology, which is strengths-based, and serves to complement and expand the traditional past-oriented, deficit-based epistemologies of the field. The profession of coaching is also largely informed by the constructs of positive psychology (Seligman, 2007) and many coaching schools, including mine, clearly delineate the role of coaches to be future-oriented and strengths-based in their approach to their work.

Markus and Nurius's (1986) archetype of possible selves includes ideal selves, possible selves, and feared selves. These possible selves serve to motivate future behavior as well as help to interpret the current self. Any specific possible self can be moderated by current circumstances such as a recent success or failure, or moods, or social contexts.

From these beginnings, the study of possible selves has burgeoned in the field of psychology. A recent literature search for the term "possible self/selves" in *PsycInfo* garnered over 200 articles related to the topic. The vast majority of these studies used undergraduate college students or at-risk populations such as troubled youth or prisoners as research populations. I narrowed the search to include studies that used "middle age" as a descriptor of the research (as this is the targeted population of my research) resulting in a total of 19 articles.

The interesting, but largely irrelevant topics (with respect to this dissertation) included: weight loss, exercise, health related problems, memory loss, divorced women, low income rural women, gays and lesbians, and cultural differences. Frazier, Newman, and Jaccard's (2007) article was the only one I found that mentioned human development. "The nature of the links among possible selves, developmental processes, and psychosocial outcomes are important for understanding intentional self-development and adaptation across adulthood" (Frazier, Newman & Jaccard, 2007, p. 676). They focused on the two underlying processes of intentional self-development—control and patterns of coping—and wrote about three developmental processes: goal pursuit, goal adjustment, and optimization. I am curious to spend time with these three processes to determine how they might interact with the developmental model of Kegan (1982, 1994) in which the developmental "process" is about continual shifts between integration and differentiation, or subject-object shifts. This is an avenue for another day as this present research will not address the post-eutopiagraphic process of goal pursuit, adjustment, optimization, nor the relation of these concepts to constructive-developmental theory.

Although I found only one near perfect match (Frazier et al., 2007) in terms of relevancy to this research, other discussions from the possible self literature are worth noting.

Granberg (2006) studied people who had lost weight and how their post-weight lost selves compared to the self they envisioned for the future after weight loss. The importance of validation (evidence that the possible self is realized) and narrative reconstruction (rewriting the stories we tell ourselves to provide more options for how we experience an event*)* were identified as critical to the ways in which people overcame disappointment when expectations of a significantly different future self did not materialize after weight loss. My research will not address this post eutopiagraphic action assessment. I am focused on the very early stage of the

coaching relationship in which eutopiagraphy is used as a form of client assessment and not on the evaluation of outcomes (e.g. adult developmental progression or goal attainment) that might result from the eutopiagraphy exercise. When I extend my research and work with eutopiagraphy I will have to remember Granberg's study and include an upfront discussion of the client's anticipated ways of assessing success as a crucial factor in the eutopiagraphic exercise.

Hoyle and Sherrill (2006) argued that possible selves do not mediate behavior, as suggested by Markus and Nurius (1986). Rather, they viewed possible selves as part of an overall control process of self-regulation (defining goals and the specific behaviors required to attain those goals.) Again, the concept of self-regulation toward the attainment of goals identified through eutopiagraphy is important for later extensions of this research, but is not immediately relevant.

Lockwood and Kunda (1999) researched the connection between possible selves and the impact of role models. They found that a selection of a role model could be positively or negatively correlated with the client's possible self depending upon the gap the client saw between his own possible self and the role model. (Inspired by Lockwood and Kunda I included "role model" as one of the priming words for eutopiagraphy.)

Ogilvie (1987) found evidence that an undesired self may be more motivating than an ideal self. Motivation as a foundational theoretical concept is not part of my research.

Jones and Nisbett (as cited in Pronin & Ross, 2006) discussed the concept of an actor-observer difference—the difference that arises from whether or not a client is attending to circumstances or to feelings—and the effect the difference might have in the development of possible future selves or the reconstruction of past selves. Sieler (2003), a proponent of ontological coaching, which demands a focus on moods, emotions, and the body as sources of

insight for a client, extensively uses the actor-observer construct. He posited that the actor-observer dichotomy is similar to subject-object models. In synthesizing the writing of Jones and Nisbett and Sieler, I can find some consensus that one's stage of adult development may mediate the content and meaning-making of eutopiagraphy.

With respect to my "research sweet spot" regarding CDT, coaching, and preferred futures selves, the journey down the trail into psychology's use of possible selves has informed the current dissertation work. I am comfortable, however, that my search has been broad enough to indicate that the confluence of possible selves and CDT has not been the subject of theoretical assimilation or research. This dissertation work helps to fill this void in the literature.

Before leaving the discussion about possible selves, I want to point out a nuance. My work is about a preferred-future self. Recall that the definition of eutopiagraphy (see the Preface to this document) relates to a self that is not only desired but is values-based and chosen because it honors something unique to the individual. My version of a preferred-future self is not the same as Marcus and Nurius's (1986) unattainable ideal, nor a feared self, nor one of many possible selves. It is what it says it is—preferred—and this makes my concept of preferred-future self different from that which was conceptualized by Marcus and Nurius. Therefore, I expect that this work can enrich the currently existing literature.

Futures studies and the individual.

In the early pages of this document, I provided several quotes from futurists regarding the importance of futures studies. I also noted a paucity of theory or research regarding futures studies from an individual's perspective. I return to that discussion now.

Dr. Clem Bezold, founder of the Institute for Alternative Futures (IAF) indicated in an email exchange (Bezold, per email exchange, July, 2009) that "most futures work deals with the

external environment." The areas of research that are generally undertaken by futurists are large, socio-economic concerns such as the environment, the economy, technology, and cultures. He and his colleagues at the IAF have posited that personality preference styles, as assessed through the Myer-Briggs Type Indicator (MBTI), affect how people consider the future in terms of details, concepts, values, and feeling. The MBTI styles can also be considered when forming teams for futures work as people with different styles attend to different things. I have found only anecdotal reference to the use of MBTI as a factor in developing futures studies teams. The MBTI tool is not an adult development assessment tool. It is, however, a tool that can provide insight into the way an individual approaches futures studies.

Hayward (2003) wondered about the primary reasons that futures research is not heeded. He found evidence that an individual's ability to act on foresight might be linked to that individual's level of adult development. Hayward referred to the adult developmental models of Loevinger (1976) and Cook-Greuter (1999): as humans develop, their worldview increases, and hence the number of options they can consider and act upon also increases. He found evidence that suggestions for future action that require someone to acknowledge and understand another's point of view are not likely to be heeded if that person has not grown into a level of consciousness that would support a new type of thinking.

Wheelwright (2008, 2009) adapted many of the theories and concepts of futures studies to design and test a methodology for the development of a personal future. He did not include adult development in his writing. Wheelwright used scenarios, trend analysis, and the idea of foreknowns, which he attributed to Jouvenal (1967). Foreknowns are those things that we take for granted. Wheelwright included in the list of foreknowns such things as life stages, life trends, and life events.

After a review of Wheelwright's (2008, 2009) work, I believe that he accepted far too many experiences of the past as foreknowns in the future, specifically in terms of life stages and life events upon which he has based his personal futures workbook. Part of my thesis is that many of the things we have taken for granted in terms of life stages and life events are moot, given our extended life spans and the adaptive challenges that an extra 15 to 20 years of life might present to us. Because these old truths are falling away, thinking about our futures is important to successful navigation in the new world in which we will find ourselves.

Further, Wheelwright's (2008, 2009) work struck me as very transactional and behavioral in nature. Identify the Ys (life stages, life trends, and life events). Determine which Xs lead to those Ys. Make a "to do" list. Implement the plan. Conversely, I am intrigued by the transformation of thought that may offer up previously undefined "Ys" that require new Xs.

Dian (2009) asked the question, "is our human ability to plan and visualize the same for everyone, or are there degrees to which we differ?" (p. 60). Writing in the Journal of Futures Studies, she described her development of a Foresight Styles Assessment that is build upon her six styles of the use of foresight. The six styles are: Futurist, Activist, Opportunist, Flexist, Equilibrist, and Reactionist. Each style represents a combination of four capabilities: temporal orientation, holistic or dual-process thinking, structural orientation, and activity orientation. Her theory, and the related research, was focused on determining the correlation between the six styles and the four capabilities. However, she did not rely on constructive-developmental theory as her theoretical foundation, although several of the four capabilities have markers that are similar to those of CDT.

Perhaps the biggest distinction I can make between Dian's (2009) theoretical baseline and CDT is that she was focused on the likely action that someone will take depending upon

his/her foresight style. Kegan (1982) wrote that one's constructive-developmental stage is not a predictor of action. How one makes meaning from an experience may or may not result in some particular path of action. Nonetheless, I think there might be interesting work to be done regarding the correlation between the Foresight Styles Assessment and eutopiagraphy. Perhaps there is a connection that Kegan has not found.

Other Coaching Research

I have found no empirical research that investigated the use of possible selves, coaching, and CDT. The only two mentions of a best-possible self exercise were done by positive psychologists (King, 2001; Sheldon & Lyubomirsky, 2006) whose work was directed to the use of a possible self writing exercise and its impact on health and mood elevation, respectively. However, the coaching literature does contain research in other areas that are important for different purposes. This research includes:

- the effectiveness of coaching (Bowles, Cunningham, De La Rosa & Picano (2007); Grant, 2003, 2008; Green, Oades, & Grant (2006); Jones, Rafferty & Griffin, 2007; Kombarakaran, Yang, Baker, & Fernandes, 2008);
- the impact of personality on coaching effectiveness (Stewart, Palmer, Wilkin, & Kerrin, 2008);
- life coaching compared to counseling (Griffiths & Campbell, 2008); and
- the integration of theory into practice (Ladyshewsky, 2007).

I believe the research in these topics is illustrative of the state of the coaching profession. As these very recent studies indicate, we are still a community seeking to earn a place at the table of helping professions. The fruit of research into CDT and coaching (not to mention the

connection to futures studies) is only beginning to ripen and is one of many areas that will be addressed in coming years, urged on by the support of such groups as the Executive Coaching Forum and the Institute for Coaching at Harvard.

Assessment of the Literature and Research Review

Boote and Beile (2005) constructed a rubric for analyzing the effectiveness of a literature review. The five categories to be assessed in their rubric are: coverage, synthesis, methodology, significance, and rhetoric. I will make use of their rubric as a framework in the following summary and evaluation of the literature review.

Preparation for this literature review included work on two previously completed individualized learning achievements (ILAs) (Diehl, 2009a, 2009b). The subjects of those ILAs were: constructive-developmental theory and the subject-object interview; purposes and approaches in the field of futures studies; and the construct of possible selves from the field of psychology. Through these ILAs I was able to establish that the sweet spot for this research—the intersection between constructive-developmental theory, coaching, and preferred-future selves—has not been previously studied. Establishing the importance of my exploratory work into this intersection has been a primary focus of the current presentation.

My work is informed by the field of futures studies and the importance of studying the future, as discussed in the early sections of this dissertation. While literature in futures studies is rich with theory and practice regarding large social issues, there is limited consideration of the individual in this area. I have presented the very few articles that consider the individual, including those that are tantalizingly close to my own interests.

Because I found no empirical research regarding a very common practice in coaching, the best-possible-self exercise, I considered the literature of possible selves from the field of

psychology. I defined the nuances of the term preferred-future self in the context of eutopiagraphy. Because I was in virgin territory, I knew that synthesis of the research done in tangential areas, such as possible selves, would be critical to my research interests. I have discussed that much of the synthesis from psychology's presentation of possible selves will be most applicable in the follow-on work to this dissertation.

I have presented research in the field of coaching that identifies others who are nibbling at the edges of this dissertation's sweet spot and have provided a sense of other coaching research without attempting to do a complete meta-analysis of the state of coaching research as it exists today. I suggest that research aimed at establishing the effectiveness of coaching is at the top of the list of current research topics because the profession is still trying to mark its position in the world of helping professions.

Having found several scholar/coach-practitioners who have written about constructive-developmental theory and its potential use in coaching, I have suggested that my work will be one of the first to empirically research constructive-developmental theory within coaching, and the first to apply CDT to a common practice in coaching, the best-possible-self exercise.

Most of my investigation into research methodologies has been focused on the use of the subject-object interview as a method for the assessment of constructive-developmental stages. Much of the research using SOI seems to have been aimed at providing evidence that the SOI, originally intended for use in clinical assessment settings, can be used effectively in non-clinical settings, including leadership development. This is important because coaching occurs in such a non-clinical setting.

My research has very practical implications for the work I do with my clients as they share their visions of preferred futures selves through eutopiagraphies. I could continue with

previous incarnations of this type of client work resulting in “to do” lists regarding future goals. Or, I can apply constructive-developmental theory that provides insight into the “to be” challenges that clients identify. This is the heart of transformative developmental coaching, and the end goal for my research.

This dissertation research is focused and unique, informed by futures studies and possible selves, based upon an adapted version of well tested methodology, and significant to the field of coaching through the addition of empirical research regarding a common coaching practice.

Chapter III: Methodology

In early musings about the research question and methodology for this dissertation, I was drawn by the query "what do you imagine the future to be." The trail of investigation that I followed included the following landmarks:

- the broad world of anticipatory anthropology ("anticipations of a coming socio-cultural future" (Textor, 1990, p. 141 as cited in Bell, 2008));
- futures research (concerning probabilities of certain futures (Hideg, 2002));
- futures studies (concerning alternative futures, consequences, and choices (May, 1997));
- scenarios (ways of organizing thoughts about the future (Glenn, 2008));
- possible selves literature (Marcus & Nurius, 1986) and autobiography;
- the concept of a preferred future and eutopia (Dator, in Stevenson, 2006);
- the concept of eutopiagpraphy—a narrative scenario about a preferred-future self used in the context of developmental coaching;
- the research stimulus that I presented to the participants: "Please tell me about your preferred-future self."

As mentioned in the Preface to this dissertation, the concept of a preferred future has been specifically defined as desired (Razak, 2000) and values-based (Bezold, 2009). Dator used the word eutopia to describe a preferred future. He said eutopia is "the best possible real world you can imagine and strive for, always re-evaluating your preferences as you struggle toward it" (personal communication, as cited in Stevenson, 2006, p. 668). Eutopia is different from its homophone *utopia*, Thomas More's term for an imaginary, ideal place.

I have extended "eutopia" to "eutopiagraphy"—meaning narratives of preferred-future selves. Biography and autobiography are narratives about a person's past and are recognized as part of the qualitative research tradition (Miller & Crabtree, 1992). Volumes have been written about the purpose and analysis of these representations of a person's life from birth to the present day (Evans, 1993; Marcus, 1995; Roberts, 2002; Roos, 2005; and Stanley, 1993). In this dissertation, I am using a new concept—imagining one's future and telling a story about it, a representation of a preferred future—a eutopiagraphy.

The purpose of this research is to find evidence of adult developmental structures and stages through the analysis of eutopiagraphies provided by eight participants. As the data collection tool, eutopiagraphy stands on the shoulders of several methodological approaches: the subject-object interview (from constructive-developmental theory), futures scenarios/archetypes (from futures studies), and autobiography (from the broad tradition of qualitative research). Certainly, the subject-object interview (SOI) protocol, as I have presented it in Chapter II, serves as the pack animal, carrying the heavy load, for the research. I have adapted the research steps from the SOI, a tool that has been extensively evaluated for reliability and validity (Lahey et al., 1988). I will return to the discreet process steps of this research but before doing so, I will recognize the other methods that have informed my work by including a short discussion of scenarios and autobiography.

Scenarios from the World of Futures Studies

"No matter how it is constructed, how full and rich or meager and lean, how factual or fictional, how particularistic or universalistic, the 'scenario' gives methodological unity to futures studies. It is used by all futurists in some form or another and is, thus, by far the most widely shared methodological tool of the futures field" (Bell, 2008, p 317). As shown in

Appendix A, the scenario could be: possible or probable (Razak, 2000); surprise free, optimistic, or pessimistic (Cornish, 2004); or might anticipate continued growth, collapse, steady state or transformation (Dator, 1979, as cited in Inayatullah, 2008, p. 17). A scenario about the future could be used or disowned (Inayatullah, 2008). A used future is someone else's future that is accepted as one's own, perhaps without question. For example, a midlife baby boomer who has not considered the reality of an additional 15 to 20 years of life might use the experience of her parents' retirement and assume an all too early acquiescence to old age and decline. Or, that same person may disown a vision of the future by giving up her pursuit of a long held dream.

A scenario can be a "single stunning image of the future, either highly probable or totally abominable, a vision so vivid and compelling that it inspires people to strive to achieve it or a nightmare so dreadful that people will struggle to avoid it or prevent it from happening" (Bell, 2008, p. 317). Bell stated further that a scenario can spring from a particular set of past experience or knowledge, or can be borne of the imagination. In this research, I have avoided the worst case scenarios, or the feared self (Marcus & Nurius, 1986), because I apply positive psychology's focus on strengths and optimism (Seligman, 2006) rather than weaknesses and pessimism in coaching, and it is logically consistent for me to remain true to that approach in this dissertation.

Glenn (2008) wrote that a scenario is "a way of organizing many statements about the future…so that one can clearly see and comprehend the problems, challenges, and opportunities" (p.2) that might arise. He defined a good scenario as one that is plausible, internally consistent, and interesting enough to engage participants in strategic responses. The goal of scenarios is not to predict the future but to illuminate and influence the assumptions and intervening variables that may lead to any number of alternative futures.

The world of futures research and futures studies is rich with tools and methods beyond scenarios. I have included a brief summary of many of these other forms in Appendix E.

Through the participants' eutopiagraphies, and using constructive-developmental theory, I looked for ways in which they organized meaning about an archetypical scenario element—their preferred future. Through the priming and probing parts of the subject-object interview the participants uncovered problems, challenges, and opportunities associated with their preferred-future selves. These are the bits of a subject-object interview that revealed constructive-developmental structures and stages. I was interested in the meaning that the participants attached to these problems, challenges, and opportunities. Also, I was curious to learn if the participants' narratives included elements of used or disowned futures, and the meaning attached to these stories, as well. In the analysis of the eutopiagraphies in Chapter IV, I will identify some internal inconsistencies in the narratives, and believe these to be indicators of an "adaptive challenge" (Heifetz, 1994) or "disorienting dilemma" (Mezirow, 1991), or a "growing edge" (Kegan, 1982) that might be indicative of a developmental shift between stages of adult development.

The scope of this research does not include any post-eutopiagraphic reflection or action that the participants may have undertaken.

Autobiography

When the term eutopiagraphy came to me, I was immediately intrigued by the possibility that it represented an extension of autobiography—a story someone tells about a personal past. I have wondered what it might be like to walk into a bookstore and find shelves of eutopiagraphies—stories about how people prefer and intend to spend their futures. Might a reader be interested in a eutopiagraphy for many of the same reasons that would stimulate an

interest in autobiography? Would any of the elements used to analyze and understand autobiography, as depicted in Figure 3.1, have consequence for understanding eutopiagraphy?

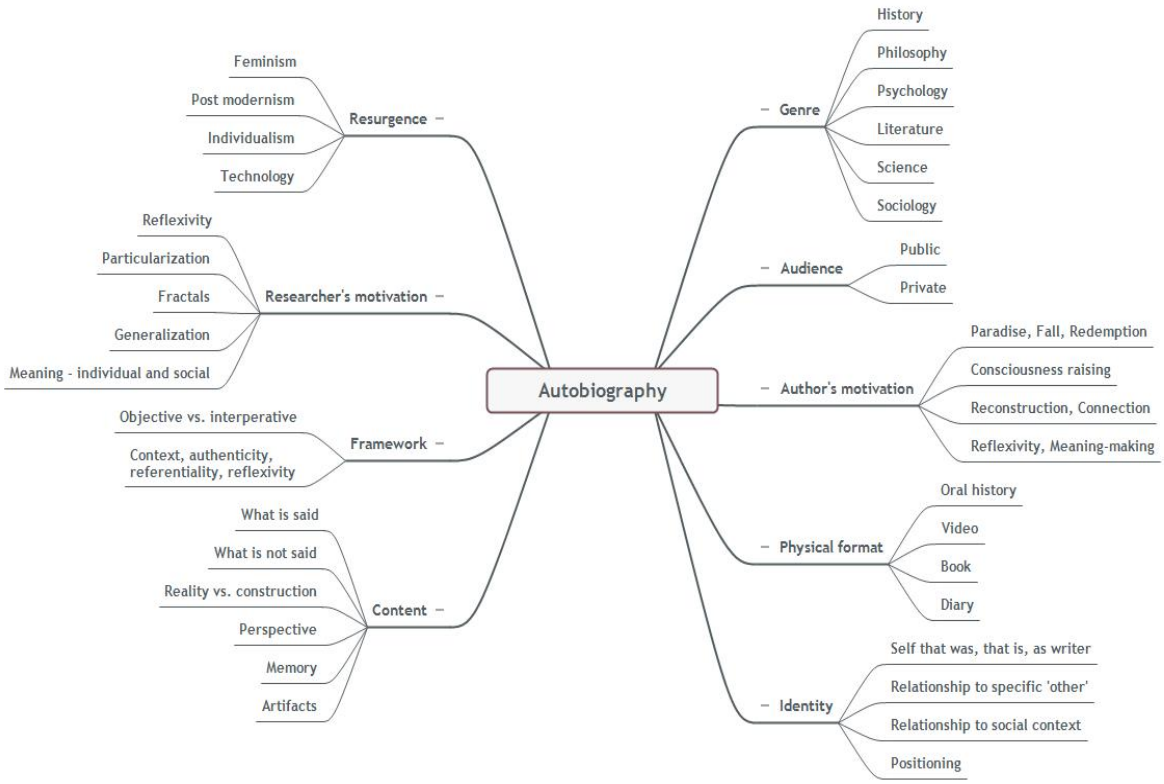

Figure 3.1. Selected issues re: autobiography as research
(Compiled from Evans (1993), Marcus (1995), Stanley (1993), Roberts (2002), and Roos (2005))

In reviewing a few highlights of the mind-map in Figure 3.1, could a researcher look at eutopiagraphy as a particular genre (Marcus, 1995)? Adapting Marcus's discussion regarding autobiography as genre, might eutopiagraphy serve the future (as autobiography might serve history), or philosophy, or psychology, or science, or sociology? Marcus eschewed the notion that autobiography has to be any single one of these and suggested that constructing an arbitrary boundary limits what can be recorded or learned from the experience of autobiography—both in its writing and in its reading. As I will discuss further in Chapter V, the eutopiagraphies I have

heard are not constrained by any arbitrary limits of genre, and have included elements of personal philosophy, psychology, and sociology.

Marcus (1995) and Stanley (1993) also suggested the importance of considering for whom the autobiographer has written. Was the intended audience public, private, the divine or the future? The audience can likely be tied to the author's motivation in writing his/her story. Roos (2005) wrote that the autobiography may be intended to be an historical accounting of reality and interpretation of that reality (Paradise). Or it can be just text, written through the lens of current experience (The Fall). Or, finally, autobiography can be viewed as a means of making sense of a person's existence within the reality that is described. The author is both researcher and researched inextricably (The Repentance). It is fascinating to replace each instance of "autobiography" in this paragraph with the word "eutopiagraphy." In Chapter V, I will ask, "Who is the audience of a particular eutopiagraphy and what is the author's motivation for writing? In talking about a preferred-future self, did the participant come to terms with some experience of the past or expectation of the future?"

The author of autobiography may have written in an attempt at consciousness-raising with an underlying motivation to urge some significant social reform (Stanley, 1993). This is the same motivation of some futures scenarios, of which eutopiagraphy is an example.

If autobiography can be viewed as social history, then Tilly's discussion (as cited in Elliott, 2005, p. 304) of reconstitution and connection can come into play. Autobiography may serve to simply document the events of a person's life (reconstitution). Alternatively, it may act as the glue that binds that person's life events to a bigger social structure (connection). Regardless of the underlying motivation, a common theme of the author's reflexivity, or self-awareness and meaning-making, appears to be a foundational element of autobiography.

Eutopiagraphy is clearly a reflexive, meaning-making process. Might there be a concept of pro-constitution where the author outlines a "to do" list of events for the future? Or, might there be a bigger connection—one that helps the author make sense of a preferred future in the context of a larger social structure? I have suspected that such a larger connection would be more likely to be found in the eutopiagraphy of someone at the self-transforming Stage 5 position of adult development. From this position I would expect that the author would take a more system-aware view of the future—a future that might be totally different, perhaps even better, than anyone has ever imagined. This possibility, of imagining a previously unconsidered preferred future, will become an implication of the research. For instance, consider the possibility that people at certain developmental stages are more creative in their views of preferred futures with the result that new solutions are found to new problems. Wouldn't that be cause enough to find ways to encourage development, perhaps through developmental coaching? I think so!

Barthes (as cited by Stanley, 1993, p.48) identified three "selves" that an author may embody—the "self who was," the "self who is," and the "self who writes." None of these exists in static form and each is affected by the others in a dynamic evolution of re-creation of identity. With eutopiagraphy, I am considering the "the self who will be" and can imagine that this new addition is dynamically connected to the others, as well.

In discussing autobiography, Stanley (1993) wrote that the researcher needs to be cognizant not only of what is said, but of what may not be said, being alert to the possibility of selectivity in the recounting and reconstructing of memory and ultimate interpretation that may color the narrative. Isn't the same caution appropriate to the study of eutopiagraphy? What parts of one's story of the future may be co-opted (used)? What parts are disowned to make a better story, or as a form of self-protection or aggrandizement?

Autobiography is a curious mix of facts, beliefs, and values that may be specifically constructed by the author to establish or portray a particular identity (Roberts, 2002). The same may be true of eutopiagraphy. I have relied on the hope, that by agreeing to contribute to this research, the participants have been forthcoming and true to themselves in their eutopiagraphies. Trust goes both ways. Did the participants trust that I will not misuse or intentionally misinterpret their meaning making to fit the research purposes?

Finally, as eutopiagrapher, I must remember and heed what Josselson (2005) wrote about being a biographer:

> I worry about the intrusiveness of the experience of being [written about], fixed in print, formulated, summed up, encapsulated in language, reduced in some way to what the words contain. Language can never contain a whole person, so every act of writing a person's life is invariably a violation. (p. 333)

Indeed, the tiny bits of information I have gleaned from the participants' eutopiagraphies, are just that—tiny bits. I have been careful not to work too hard to find something that may not be there at all and have used a peer reviewer to test the analysis and to keep myself honest on this point.

My intention in writing this brief section about scenarios and autobiography has been to honor the place that these two methodologies have served as muses in my work. The specifics of a subject-object interview (SOI), to which I will now turn, are quite dry without the background color that these methodologies add to my thought processes and the creative use of an adapted SOI.

Methodological Details.

Recruitment, selection, and logistics planning with participants.

In the proposal that was approved for this dissertation, I did not anticipate the use of a pilot. As participants began to volunteer through a convenience selection process, I noted that they were geographically dispersed across the United States that precluded the feasibility of in-person interviews. The initial complement of volunteers did offer me the opportunity to practice my interviewing skills, however. Additionally, I began to get some insight as to the usefulness of the selected primes.

I initially interviewed seven people over the phone and one in person. With the approval of the committee, I have used one of these interviews to support Part I of the peer review process that I will discuss shortly. While unintended, the experience of talking with these volunteers has proven to be very helpful to the ultimate methodology that I employed. I will discuss the insights and subsequent changes I made to the data collection methods as a result of practicing in advance of the formal research. First among the insights is the suggestion that a pilot should have been included in the original research plan.

The analysis that I will present in Chapter IV is based on the eight participants who were interviewed in person for this research. Each was recruited through a recruitment letter (Appendix G) that I sent to my community of fellow coaches, family, and friends. The participants were midlife baby boomers (people born between 1946 and 1964) who were considering some amount of change in their current situation (e.g. career changes, retirement, and/or, geographical relocation) within the next 10-15 years. Additionally, each had served or is serving as an executive in a public corporation. These participant criteria were intentionally

chosen to mirror the population I coach most regularly. Finally, I did not have a previous relationship with any of the participants.

The interview.

The following process is adapted from The Subject-Object Interview (Lahey et al., 1988).

Each interview was scheduled for 60 - 90 minutes and followed the multi-step protocol outlined by Lahey et al. (1988). The steps were:

1. preparation for interview
2. greeting and introduction
3. interview set-up
4. participant inventory of experiences
5. conduct interview, test stage hypotheses, and complete member checking
6. transcription, analysis, and stage assessment
7. peer rating (for a selected number of interviews).

I will present the detailed process as originally approved by the committee and used for the in-person interviews. Where my practice process differed from or informed the process of the eutopiagraphies used for my research, I will note those changes in parentheses and in italics.

Preparation for the interview.

During the preparation phase, I gave the participant a deck of 5" x 8" index cards with the priming words and phrases I chose. (*In the practice sessions, the priming words were emailed to the participants as I did not meet the participants in person. See Appendix H.*) Per the SOI protocol, the words and phrases used were not prescribed by the protocol. I chose them to fit the context of the experience that was being researched. The research was about anticipated experiences in the future. The words I used were: opportunity; risk; success; challenge; torn;

role model; strong stand/non-negotiable; important to me; and, let go of/release. (*I had originally intended to use the prime "fear/undesirable" but eliminated it as the practice participants regularly indicated that their responses to this word were duplicated by their responses to the primes "risk," "challenge," and "torn".*) I also provided a handout with a short explanation of the words (Appendix H). (*As a result of the practice sessions, I expanded the explanation of the primes on Appendix H. The modifications are shown in red*.)

I had pens for the participant and me, a notebook for my own purposes in the interview, a consent form (Appendix I), and two audio recorders. The second recorder was for disaster recovery. (*In the practice sessions, I sent the informed consent and received the signed statement by email.*)

Greeting and introduction.

At the agreed upon time and place, I greeted the participant and invited him/her to sit comfortably at a small table. The purpose of this phase was to introduce myself to the participant and put him/her at ease in the research setting.

Interview set-up.

I briefly explained the research purpose and process and collected the participant's informed consent form. Following is the script I used for all participants.

> The research I am doing has to do with how people anticipate change and how they make sense of the way they feel about their lives in the future. Today, I would like you to tell me about your preferred-future self—for instance, who you want to be in the future, doing what, and with whom. What are some of the experiences you'd like to have? I would like you to consider a future that is within ten to fifteen years from today.
>
> I will be showing you some words and phrases that may help spur your thoughts about your future and you'll have an opportunity to take some notes for yourself. This will take about 10-15 minutes. Following that, I will ask you to choose a few of the words or

> phrases that you have considered, and talk to me about the experiences you imagine you will have in the future.
> Our discussion will last about 45 minutes and I will be asking you some questions about your future to know you better and understand what is important to you with respect to your future.
>
> At this point, and as part of standard research protocol, I would like to ensure that I have your informed consent to proceed. Please read the attached form (Appendix I) and let me know if you have any questions.

Following receipt of the signed informed consent form, I shared the priming words with the participant and continued as follows:

> The words on these cards may be useful in sparking some ideas for you about what may be important to you in your future. Please select any and all cards that are meaningful, and jot down a few thoughts for yourself about that word or phrase in the context of your thinking about the future. Any notes on the cards are for your eyes only. I have prepared a quick definition of what I mean by each of these words or phrase if that would be useful to you.
>
> Are you ready to get started? Great! Please take 10-15 minutes to consider the words and phrases on these cards. I will stay in the room in case you have any questions, or if you want to stop at any time.

Participant inventory of experiences.

During this 10-15 minute period, the participant completed notes on the priming cards. (*In the practice sessions, the participants made notes on the copies of Appendix H that I had emailed to them.*) The point of this part of the interview protocol was to give the participants time to think and have something specific to talk about in the interview. The inclusion of priming words in Kegan's research was a modification made when he realized that healthy clients often had difficulty talking about their experiences without some assistance, such as the priming words. Unhealthy individuals, in a clinical setting, are generally more facile with identifying important experiences and the meanings (in the context of a subject-object interview)

that are attached to those experiences because they are already focused inward (Lahey et al., 1988).

As I will discuss in the analysis, participants only chose those words that were most salient to them, which is acceptable according to the SOI protocol.

The interview and stage hypothesis testing.

Following the participant's notation of anticipated future experiences regarding the priming words, I received permission from the participant to begin the audio recording.

I invited the participant to choose a prime(s) that was/were particularly interesting. My role in the interview, according to Lahey et al. (1988), was two-fold: 1) to be an empathetic listener who supports and encourages the participant; and 2) to be a reflective practitioner—looking for evidence of self-reflection and boundary from the participant, and willing to challenge the client respectfully when the level of detail was not sufficient to be useful in a subject-object interview. According to the protocol described in Chapter II, I listened and probed for evidence of constructive-developmental structures (values, view of others, range of perspective, control, and responsibility) as shown in Table 2.1.

Being an empathetic listener and a reflective, challenging practitioner are not new skills for me. One challenge for me in this research effort was to adapt the skills I have honed in a coaching relationship within a different context—the subject-object interview. I did not undertake this challenge lightly. I built my credentials through extensive reading in seminal work (Kegan, 1982, 1994), a mentoring relationship with Lisa Lahey, face to face training with Kegan and Lahey regarding their Immunity to Change (2009) tool (to which I will return in the discussion of the research implications), and regular participation in a mastermind group of coaches who share my interests in adult developmental theory and application to coaching.

One thing I did not have to be in the subject-object interview was a coach.

> When we are being subject-object interviewers we are not teachers or therapists [or coaches!]….we are not trying to alter anything, or facilitate a process for altering anything about the interviewee. We are not trying to alter thinking, feeling, or behavior; we are not trying to teach, change, help, advise, invite someone to rethink something, to learn the reason for their [sic] ineffectiveness, to settle their puzzlement, or to try on a new way to frame something. Interviewees often do feel they have learned something from the process, but this is neither our intent nor our agreement to promote. We are just trying to understand how the self is organized. Remembering this can be a relief. (Lahey et al., 1988, p. 305)

What, then, was expected of me in the subject-object interview and how did I interact with the participant? I was looking for more than content. As mentioned several times in the earlier sections of this dissertation, the research interviews were used to understand less about a "to do" list regarding the future and more about how participants made meaning of who they are "to be."

If a participant was full of future experiences, my job was to find a few of these that were particularly salient to the participant, by asking him/her to choose one or two. When content like this was given, I would probe for something more by asking "why would that be important to you?" By asking follow-on questions, I was testing my hypothesis about the participant's developmental stage. If I accepted only content with these stories I would not have been able to find the all-important structures of constructive-developmental theory. While finding the "where" of the participants, I might not have found the "WHERE" of their meaning-making.

According to Lahey et al. (1988) each 60 - 90 minute interview is likely to contain around eight bits of information that might be evidence of developmental structure. Choosing one response and calling it a definitive indication of a particular stage would have been inconsistent with the SOI protocol. Further, the protocol requires that the researcher test for the

negative case, or a disconfirmation of a particular stage. For instance, if I identified something as Stage 4 evidence, I also had to look at how it was or was not another surrounding stage.

The testing of stage hypotheses throughout the interview is a critical part of the subject-object interview. I knew I had to be cautious to probe for meaning throughout the interview, rather than accepting my first hypothesis. The SOI protocol does not prescribe a particular set of questions that an interviewer can use. In reading the SOI manual (Lahey et al, 1988) and dissertations that used the SOI, I took note of the following questions that I could use in response to an experience that a participant was sharing:

- Why might that be important to you?
- What might you risk if that did not happen?
- Is there an underlying assumption that you are making with respect to that part of your future?
- What would surprise you about your future if it were to happen?
- What might change that experience for you?
- What is the best, worst, scariest, most satisfying outcome that might happen from that experience?

Lahey et al. (1988) often used the question "why?" albeit, carefully. My coach training included extensive cautions about the use of "why," because it can put the coaching client on the defensive if not handled appropriately. Because I am already sensitized to the use of "why" I more naturally began the questions with "what" and "how" or "can you say more about that." (*In reading and analyzing the practice interviews, I became aware of the need to press more for*

structure. This was the most important outcome of the practice interviews and is a strong argument for the inclusion of a pilot in future research of this type.)

At the end of the interview, I completed the process of member checking (Creswell, 2007) with the participant. I did not share my working hypothesis of the developmental stage, consistent with SOI protocol. Through the member checking process I tested my understanding about the important experiences that the participant had mentioned. Member checking thus served two purposes: 1) it was an indication to the participant that I had been actively listening; and 2) it showed that I understood his/her expectations for the future.

I thanked the participant and brought the interview to a close.

Transcription, analysis, and peer review.

The audio-recorded interviews were transcribed by a professional transcriptionist. Upon receipt of the transcript, I began the process of identifying structures and evidence of developmental stages using an adapted version of the *process formulation sheet* included in the SOI protocol document (Appendix J). The adaptation that I used (Appendix F) included specific reference to the structure I identified in the transcript and a less rigorous staging process than used in the SOI protocol.

As I mentioned in Chapter II, the full SOI analysis includes the possibility of 21 stage gradations and documents evidence of transitional stages within the ordinals of Stage 1 through 5. Given the participant population, and consistent with other research into the dispersion of populations across the stages (Kegan & Lahey, 2009), I expected that most of the participants would be in or around Stage 3, 4, with minimal representation of Stage 5. At this point in the exploratory investigation of the use of the SOI within a coaching intervention (a preferred-future-self discussion), the discreet stage within 21 possibilities, and inter-rater reliability of that

discreet assignment, were not my concerns. Rather, I wanted to demonstrate that a modified version of a commonly used best-possible-self coaching exercise, can serve a larger purpose. By changing the prompts, from those that are traditionally used in the Wheel-of-life exercise (Appendix B) to SOI-informed prompts (Appendix H), I wanted to know if a coach can find not only *content* but *meaning* in the consideration of one's preferred-future self—from a eutopiagraphy.

The subject-object interview as thematic analysis.

The analysis of data garnered through the subject-object interview (SOI) falls under the research category "thematic analysis." While I have adapted a previously validated tool, identifying the methodological heritage of the SOI is appropriate. Boyatzis (1998) called thematic analysis the "search for the codable moment" (p.1). The codable moments I sought were the bits of narrative that are evidence of a structure that is defined by constructive-developmental theory (CDT). The work of this dissertation research was to recognize, code, and interpret the CDT structures, at the ordinal levels (Stage 3, 4, or 5) as depicted in Appendix F.

The standard steps of thematic analysis include: deciding on units of analysis; identifying the codable moment; developing themes and codes; scoring, scaling, and clustering themes; and reaching consistency of judgment (Boyatzis, 1998). Note that in my work, I did not develop new themes or codes, but relied on the themes (structures) and codes (stages) that define constructive-developmental theory. I will return to my use themes and codes shortly.

Determining the unit of analysis influenced how I present the findings in Chapter IV (Boyatzis, 1998). In this research, the unit of analysis was the individual research participant. In Chapter IV, I review the narratives of each individual participant, identify the codable moments (the unit of coding) in each narrative, and present my analysis.

The themes I used came from the structures that have been identified by Kegan (1982, 1994): values, view of others, range of perspective, control, and responsibility. In the analysis of each eutopiagraphy, to be presented in Chapter IV, I identify how these themes evidenced themselves in particular constructive-developmental stages using the rubric in Table 2.1 as the primary coding reference.

I used a nominal scoring (Boyatzis, 1998) and the codes were the developmental stages. Because no one bit of information was enough to apply a specific code, I clustered bits of narrative that led me to a particular stage. Mine was a form of theoretical clustering based on the related characteristics within a particular constructive-developmental stage (for example, Stage 3 vs. Stage 4) and viewed through the lens of the various themes (values, view of others, range of perspective, control, and responsibility).

I used a peer reviewer to ascertain the reliability of this exploratory work. "Consistency among various raters is attained when different people observing or reading the information see the same themes in the same information" (Boyatzis, 1998, p. 147). I used a two part peer review process as identified in Appendix K--Peer Review Process. In both parts, I provided the raw material—the recordings and transcriptions of the interviews—and my analysis, which used the format provided in Appendix F, to the peer reviewer. The summary of constructive-development evidence provided in Table 2.1 served as the standard rubric in the analysis of the interviews. The peer reviewer was familiar with constructive-developmental theory but had not been exposed to the particular way in which I have formulated the themes in Table 2.1. Therefore, in the Peer Review--Part II, the type of reliability I sought was rater-expert reliability (Boyatzis, 1998).

Peer Review--Part I.

The peer reviewer I chose, Mr. Steve Heller, is the President-Elect of the Washington, D.C. chapter of the International Coach Federation. He has attained the ICF certification of Professional Certified Coach (PCC) and is on the faculty of the Georgetown University's Leadership Coaching Certificate Program. He has read the adult development literature extensively and has been assessed using the MAP tool. Georgetown University offers the MAP assessment to all of its coaching students and uses the feedback sessions as the stimuli for training and discussion regarding constructive-developmental theory. I chose this reviewer because of his credentials and because we have a solid capability of giving and receiving detailed and honest feedback that has grown from our association as colleagues in the executive coaching program of a major telecommunications company. Additionally, we participate in a monthly master mind group of coaches who share our interest in constructive-developmental theory and its application to executive coaching.

As noted in Appendix K, the purpose of our first peer review meeting was to test my knowledge and appropriate application of the theory to a transcribed eutopiagraphy. This was a learning and feedback session. I asked the peer reviewer to play the devil's advocate regarding my understanding and application of theory, based upon his understanding of theory and his experience with its application in coaching and coach training.

We established that we shared a common understanding of constructive-developmental theory through a discussion of Table 2.1 and Appendix D. We then listened to the original recording of a practice interview completed with "Jerry" while reading through the transcription of the interview. Throughout the discussion, we made reference to my constructive-developmental analysis of "Jerry's" eutopiagraphy. We stopped the recording where evidence of

structure was seen by either of us and challenged each other as to its actual existence and likely stage. In working with the reviewer, I learned that there were places where I should have pushed harder to ask questions that would unveil structure. Asking questions such as "where does that value of being a "present" grandfather come from?" might have elicited more evidence of structure. In the end, the reviewer and I were in general agreement regarding the identification of structure and stage analysis.

Following is the final version of my eutopiagraphic analysis to which we agreed.

Table 3.1
Process formulation sheet: Jerry.

Demographics **Age: 56**		**Male**	**CEO, Hospital Administration**
Bit # (Interview page/line)	**Theme** (values, view of others, range of perception, control, responsibility)	**Stage estimate** (3,4,5)	**Evidence and tests of stage hypotheses**
# 1 (1/35-36) (1/25-26) (2/50) (2/56) (2/85)	Values	4 ➔ 5	Jerry was keen to differentiate his approach to leadership development from the rest of the pack. He felt strongly that his method was an important advance over what is available "classically." That he has defined standards that are different from the conventional ideas regarding leadership, and "doing what it is we are passionate about, what it is we must do" is evidence of movement beyond Stage 3. His recurring mention of working with clients toward breakthrough or transformational change indicated a move toward Stage 5. He wanted to be an inspirational speaker, helping others move to a new level –"helping others learn from our cumulative learning… [and] get unstuck." Yet, he was pulled back toward his own well-established 4-ish identity and saw venturing into his new work as "taking the big leap off the cliff." Developmentally, as he moves toward Stage 5, his stage 4 identity is at risk.
#2 (10/420-427) (7/278-282)	View of others and Range of perspective	5	Jerry referred to his wife, with whom he intends to work in his preferred future, as having skills that he would "never have in a hundred years, and vice versa." He described instances where they have had different approaches in client settings and he found these differences helpful, even to the point of modeling conflict management for him and their clients. This desire to work with people "who bring gifts that we don't have" is indicative of a Stage 5 perspective.

Demographics			
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#3 (4/168-169) (5/194-195) (6/266-267)	Control	4➔5	Jerry was willing to trust what will unfold in the future, because he trusts the process of stepping off the cliff: "trust the wing set and go. It's worth the risk of leaping off that comfort and past success cliff" (He wants to give up his Stage 4-ish identity). He was very process-oriented, not looking at particular outcomes with his clients, but wanting to have the experience of "[going] deeper down, peeling the onion back, until they can get down to the core issue of…what's in the way, what's the false evidence, what's appearing real." Throughout the interview he talked about the process of working with his clients. This process orientation is a clear Stage 5 marker. Vestiges of Stage 4 identity continued to appear when he imagined a conversation with a client: "we're not going to recommend anything to you that we either haven't personally experienced, led, or have some other experience that it works." A person making sense from a Stage 5 perspective would leave open the possibility that through working together a new/better outcome might reveal itself.
#4 (8/351-358)	Responsibility	5	Jerry said "there's a lot of "fed up" out there. People just saying, what do we need to do to get to a point where we can really talk about the people standing in the middle of the road. And do it in a safe, constructive… take us to the next level [way]". He wanted to work with people to get them to that next level, whatever it is for them. He felt responsible for/driven to working with others to find a better way that neither has constructed.

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Bit # (Interview page/line)	**Theme** (values, view of others, range of perception, control, responsibility)	**Stage estimate** (3,4,5)	**Evidence and tests of stage hypotheses**
#5 (9/380-393; 398-400))	View of others	3➔4➔5	In a very interesting bit, Jerry seemed to move from Stage 3 to 4 to 5 in his view of others. He started out saying he'd be so frustrated with others who don't agree with him or won't veer off their own game plan (3-ish), moved through wanting to push them to do things his way (4-ish) and ended up saying "hey, maybe we're out in left field" and could learn more (5-ish).
#6 (9/401-402)	Range of perspective	5	As a follow-on to the discussion in Bit #5, he said if he ever got stuck in one position he would want to be called on it and be given the opportunity to change his mind. This is Stage 5 evidence of being open to others' viewpoints to change his own.
#7 (12/530)	Control	5	At the end of our interview, I asked Jerry, "If you ever engaged me as a coach, what would you want from me?" He replied, "Don't sell me short on my fear crap, really push me hard in terms of, ok, if you can choose what you just shared with me, what's in the way of choosing it and getting on with it." While I tended to believe Jerry was in Stage 4 going to Stage 5 throughout, this last bit was pretty clear indication of a Stage 5 meaning maker. He knew he has "fear crap", was interested in working with someone else to arrive at something new, and was open to that someone else holding him accountable to get to a new place.

Demographics **Age: 56**		**Male**	**CEO, Hospital Administration**
Bit # (Interview page/line)	**Theme** (values, view of others, range of perception, control, responsibility)	**Stage estimate** (3,4,5)	**Evidence and tests of stage hypotheses**
	Overall stage estimate ➔	4 ➔ 5	Jerry was clearly past Stage 3 because of his desire to follow his own heart into transformational work. His openness/desire to work with others toward that transformation is very Stage 5-ish. My only reservation in arriving at a full Stage 5 assessment is the sense that he may believe he has *the* answer, *his* answer, based on his own experience and beliefs. In SOI parlance, this is a vestige of a Stage 4 meaning making.

The last step of the Part I--Peer Review process was to get Mr. Heller's feedback regarding my understanding and application of constructive-developmental theory. The positive feedback I received from Mr. Heller came in the form of his enthusiasm for the work. He has requested permission to use Chapter II as a teaching tool for his coaching clients and other interested parties. He was enthusiastic about using the eutopiagraphic process in his own work and we discussed the possibility of marketing this process through seminars to other coaches who are inclined to use constructive-developmental theory with their clients. I will return to this discussion in Chapter V as part of the review of implications that derive from this research.

In accordance with the approved proposal, I met with the dissertation chair following Part I--Peer Review. Dr. Wergin approved the deletion of the prime "fear/undesirable" and the expansion of the description of the priming words as shown in red font in Appendix H.

Part II of the peer review process occurred after I collected and analyzed all of the participants' eutopiagraphies. The process is explained in Appendix K. I will return to the

discussion of Part II--Peer Review in logical sequence after I present the research findings in Chapter IV.

Summary of Chapter III

The methodology I used for this research is an adapted form of a reliable instrument known as the subject-object interview (SOI). This work has been informed by two supporting methodologies-autobiography and scenarios. I will present the findings in Chapter IV, using an adapted version of the process formulation sheet created by Lahey et al. (1988) and portrayed in Appendix F.

I will move now to the eutopiagraphies of the participants and the analysis of these stories, using a constructive-developmental lens.

Chapter IV: Findings

The purpose of this exploratory research was to find evidence of adult developmental structures and stages, as defined by constructive-developmental theory, through the analysis of transcribed eutopiagraphies. The questions that I addressed were:

- What can eutopiagraphy tell me as a researcher/coach about a client's meaning-making?
- What are the differences among clients' eutopiagraphies that may be influenced by their meaning making ability?
- How powerful is the intersection between constructive-developmental levels and eutopiagraphy, if at all?
- What are the implications of eutopiagraphy within the context of developmental coaching (coaching that seeks to support clients in their adult growth and development)?

As described in Chapter III: Methodology, I used an adapted version of the subject-object interview to collect the participant's narratives of their preferred futures selves – their eutopiagraphies.

This chapter will include the following sections:

- Analysis for each participant's eutopiagraphy and estimate of constructive-developmental level;
- Part II of the peer review;
- Discussion regarding the intersection of eutopiagraphy, adult development, and developmental coaching;
- Summary of insights that might inform the field of futures studies.

This research cannot draw generalizations about the domains that midlife executives consider when talking about their preferred futures. However, dimensions have been raised that may be of interest to the futurist community and that may spur additional research.

Throughout this chapter, I will respond to each of the dissertation questions using the data derived from the participants' eutopiagraphies and will establish the foundation for the discussion of implications and conclusions in Chapter V.

Analysis of Eutopiagraphies

I engaged eight participants selected by convenience through referrals made by other coaches and friends. All participants met the demographic requirements regarding current age (born between 1946 -1964) and all had served, or are serving, in executive positions in public companies. All participants read and approved the informed consent (Appendix I).

Following is the demographic summary of the participants.

Table 4.1
Participant demographics.

	Participant Alias	**Age**	**Gender**	**Race**	**Last or current executive position**	**Current status**	**Future timeframe used as reference**
1	Kelly	46	F	White	Principal, Professional Services	Employed but recently RIF'd (terminated due to reduction in force)	Immediate
2	Lisa	55	F	White	Principal, Professional Services	Employed full time	< 5 years
3	Donald	54	M	White	VP, Sales Telecommunications	Employed full time	5-7 years

	Participant Alias	Age	Gender	Race	Last or current executive position	Current status	Future timeframe used as reference
4	Carol	57	F	White	VP, Financial Services Secondary Mortgage	Employed full time	3-5 years
5	Jamie	53	M	White	VP, Marketing Telecommunications	Recently RIF'd; seeking employment	Immediate
6	Ken	51	M	Hawaiian	VP, Human Resources Hospitality	Recently RIF'd; employed part time	Immediate
7	David	55	M	White	VP, Operations Construction	Recently RIF'd; seeking employment	< 1 year
8	Anthony	51	M	Hispanic	VP, Engineering Telecommunications	Employed full time	Immediate

Half of the participants had been affected recently by reductions in force (RIF) in their organizations, sadly reflecting the state of the economy in 2010. (Note that all of the participants came from the Washington, D.C. area that is popularly believed to be recession proof due to the huge and growing impact of the federal government on the local economy.) The economy was also part of the discussion for those fully employed participants as they faced the impact of market downturns on their retirement savings. Further, most of the employed participants expressed concern that their jobs could be eliminated at any moment if the economy does not recover. At a very macro level, then, financial security, or lack thereof, was top of mind for most. Without exception, the participants indicated that they enjoyed the opportunity to think and talk about their futures—reporting that the timing was fortuitous and the topic germane to their

current circumstances. I will return to a deeper discussion of the domains discussed in the eutopiagraphies, following the review of their individual stories.

All interviews were done in person in quiet locations that permitted private discussions and high quality recordings without distracting background noise. All interviews lasted about 60 minutes, excluding preliminary and post-interview exchange of niceties. To maintain consistency in the set-up of the interview process, I read the planned script (see Chapter III: Methodology) and emphasized that I was interested in anticipated experiences, not just a "to do" list. Following the set up, the participants reflected upon the priming words and made notes for themselves on the cards they selected.

In two cases (David and Ken) the participants used the full fifteen minutes to take notes on the priming cards. The other participants needed less than ten minutes. I have not ascribed any meaning to these time differences. I am just noting them for possible future investigation.

When the participants indicated they were ready to begin the interview, I confirmed that I had permission to record the discussion, started the recording, and the eutopiagraphies began.

I began by saying, "Please tell me about your preferred-future self. You can refer to any one of the words, and any of the notes, on the cards as a starting point." The particular words that were chosen were not important to me. What was important, however, was that the words were effective in stimulating reflection about to-be-lived experiences in the participant's preferred-future self.

The discussions proceeded freely. As planned, I did not have a list of pre-established questions to ask. Using what I believe are good coaching skills, I stayed with the participant, following his/her story, and asked questions for clarity, especially for the purpose of testing hypotheses about the participant's constructive-developmental stage. Wherever two coaches are

gathered together, there is often an exchange of "killer questions"—questions that seem to work particularly well in getting additional insight, either for the coach or for the client. The questions I used may be a potentially interesting artifact of the research to which I may return in subsequent research.

The audio-recorded interviews were professionally transcribed by a HIPPA certified transcription service. Upon receipt of the transcripts, I reviewed them while listening to the original audio recording. The transcripts were accurate with only a few instances where a word or two was not clear to the transcriptionist. Following the review and minor clean-up of each transcript, I forwarded it to the appropriate participant and requested his/her review and approval of the final version. Any corrections noted by the participant were incorporated. The final reviewed copies of the transcripts served as the source data for the analysis. Member checking was accomplished through the participant reviews of the transcribed eutopiagraphies. Additionally, and consistent with good coaching practice, I checked my understanding of the participants' stories in the course of the interviews by reflecting back to them the salient points of the interview.

The analysis that follows uses an adapted version (Appendix F) of the Process Formulation Sheet (Appendix J) designed by Lahey et al. (1988). To protect the identities of the participants, I have assigned aliases to each of them and to any names of people or organizations that were mentioned in the course of the interviews. The order in which each participant will be presented in the analysis is inconsequential, reflecting only the order of the receipt of the final approved transcripts from each participant.

The following eight sub-sections of this chapter include background information for each participant and the analysis of his/her constructive-developmental level derived from the

participant's eutopiagraphy. The presentation of these eutopiagraphies provides evidence that is responsive to the first of the research questions—"What can eutopiagraphy tell me as a research/coach regarding a client's meaning making?"

Kelly.

Kelly is a 46 year old, white female and the divorced mother of one teenage son. She is a principal in a large professional consulting firm. Late in 2009, a reduction in force (RIF) affected 40% of the principal level of employees. Kelly is one of the impacted employees. At the time of our discussion Kelly was still pursuing her options within the firm as well as looking for employment in other organizations. Importantly, she had worked for this firm for over 20 years – representing all but11 days of her professional career.

Kelly's preferred-future self is one in which there is balance between her work life and her personal life. She mentioned that her biggest challenge is to determine what makes her happy so that her own values could drive her feelings of success in career, family life, and relationships. She described having spent a career and a failed marriage trying to make other people happy.

The firm she works for is widely known for its highly competitive environment and a culture of long hours and extended travel. In fact, the firm members regularly and proudly identify themselves with this culture and have adopted a moniker that I cannot divulge as the confidentiality of the firm's name would be compromised. They enjoy, value, and are valued by the firm for their consistency in dress, style, and buy-in to the corporate culture, especially in client-facing situations. The importance of Kelly's identification with this culture will be shown in the following process formulation sheet.

Table 4.2
Process formulation sheet: Kelly.

Demographics **Age: 46**		**Female**	**Principal, Professional Services**
Bit # (Interview page/line)	**Theme** (values, view of others, range of perception, control, responsibility)	**Stage estimate** (3,4,5)	**Evidence and tests of stage hypotheses**
# 1 (1/3-4) (2/49) (4/179-180) (6/235) (6/249) (6/259-261)	Values	3➔4	Kelly was beginning to recognize the need for identifying her own sense of values. It has been easier for her to do what work requires of her (3-ish) rather than "figure out what I really want to do." This sounds like an emerging 4-ish desire for independence and a realization the Stage 3 institution (work) may be flawed. She described her challenge (her growing edge?) as "looking inside to say what will make me happy or not" – a 4-ish need for independent standards. This is a theme that is repeated often in the eutopiagraphy. For example, she said, "I don't know how I will define success" because success has been clearly defined by her employer. And, "I really do need to start thinking of how to better evaluate self worth than through that [work]." One value that is clear – "non-negotiable"— is that her son comes first.
#2 (1/32)	Values	3➔4	When asked what is scary about leaving a career she's known for 20 years, she describes the prospect as "terrifying" because she is so identified with the work institution. That she was so self-defined by her corporate culture was evidence of Stage 3 meaning-making. That she was beginning to realize this put her on the path to Stage 4.

Demographics **Age: 46**		**Female**	**Principal, Professional Services**
Bit # (Interview page/line)	**Theme** (values, view of others, range of perception, control, responsibility)	**Stage estimate** (3,4,5)	**Evidence and tests of stage hypotheses**
#3 (2/61) (2/87)	View of others	3➔4	She described being a people pleaser and "if someone else is happy then that makes me happy, versus really focusing in." She had not determined what makes her happy (an independent standard). Others' views determined her happiness. Stage 3-ish. Yet, in a move toward Stage 4, she said "I really need to figure out how to change that about myself." And "I need to learn how to think more about that 'cause in the end I think I'd be happier."
#4 (2/88) 4(128-140)	Range of perspective	3	Yet, there was a slide back to Stage 3 when she noted that if she's happier then other people in the relationship would be happier. In a Stage 3-ish way, she was responsible for others' happiness. With respect to finding a life partner, she was torn. She wondered aloud if she really wants/needs a partner or if that is the norm that is expected. She had not fully established that her desire to find a partner was not prescribed by social convention.
#5 (10/442-445)	Responsibility	4	With respect to her son, she knew she is not responsible for the decisions he will make. "What he's going to do, what he's going to decide, and what's going to make him happy is out of my control."
#6 (12/509-513)	Control	3➔ 4	She mentioned that she keeps pushing to make others happy..."it's hard for me to walk away even still knowing [that I'm not happy]…I need to figure out how to fix that."

Demographics **Age: 46**		**Female**	**Principal, Professional Services**
Bit # (Interview page/line)	**Theme** (values, view of others, range of perception, control, responsibility)	**Stage estimate** (3,4,5)	**Evidence and tests of stage hypotheses**
	Overall Stage Estimate	3➔ 4	Kelly was faced with a challenge that may be a growing edge for her – being rif'd from her company after 20 years. She has been well rewarded professionally for adopting the socialized Stage 3 identity. She knew she did not have a firm grasp on her own values, particularly with respect to what will make her happy and fulfill her, but she knew this was important work to do. I viewed this last awareness as evidence of Stage 4 meaning-making.

I did not see any evidence of Stage 5, even in an emerging sense, in Kelly's eutopiagraphy. She seemed fully invested in the work of finding out who she is by going inside herself. There was no bigger system and no need to work with others to create something bigger or better than her. In the cycle of connection and autonomy, she seemed very much focused on the autonomy side, saying that she needed to know more about herself before she can hope to create a future that will make her happy based upon her own value set. My overall stage estimate based on her eutopiagraphy is 3➔4.

The final question I asked all of the participants was "If you were to engage a coach with respect to your preferred-future self, what would you want from that person?" Kelly provided some validation on my stage estimate (3➔4) by responding that she would want help in determining her values and her vision and then designing a practical approach to make that vision a reality. As much as she acknowledged needing and wanting her own set of values (a

Stage 4 indicator) she wants outside help to determine those values (a Stage 3 indicator). Contrast this with the practice interview with Jerry that I presented earlier. Jerry (Stage 4➔5) wanted a coach who would hold him accountable to values he already had identified and held strongly. At the completion of each eutopiagraphic analysis, I will present the participants' self-defined potential use of a coach. These differences foreshadow clear implications for developmental coaching and thus will respond, in part, to one of the research questions.

Lisa.

Lisa is a 55 year old, white, female currently employed as a principal of a professional services firm that primarily serves government agencies. She is well into her second career as a human resource and organization development expert after retiring from a senior executive position in the U.S. government several years ago. She is married and has three grown children.

Lisa has travelled and lived abroad for extended periods of time. She is fluent in both English and German. She talked to me about a preferred future that she envisions occurring within the next five years, which was bounded by her assertion that "I don't know what's going to happen after five years."

Table 4.3
Process formulation sheet: Lisa.

Demographics **Age: 55** **Female** **Principal, Professional Services**			
Bit # (Interview page/line)	**Theme** (values, view of others, range of perception, control, responsibility)	**Stage estimate** (3,4,5)	**Evidence and tests of stage hypotheses**
# 1 (1/21 & 27-30) (6/273-277)	View of others	4 ➔ 5	Lisa said that she sees herself "doing more of…empowering the next gen…let's bring them along [by sharing the knowledge]…let's reach these young people….that's one way I can contribute." She said, "I love working with some of…the young folks I've adopted, and I jazz them up and I send them presentations and ask them what they think…trying to get them engaged, that's my favorite thing, bringing together a team." These bits relay a strong preference for working with a team to get to new outcomes—an indication of Stage 5 meaning making.
#2 (1/21-24) (10/439-450)	Values	4	She said "being retired from my first life is very freeing. I don't have to look for risk. I don't have to look for success. I'm not torn, okay, and there's nothing to let go of because I already let go of it." (In these few thoughts she dispatched four priming words – risk, success, torn, and let go of!) Later in the interview she defined herself as being "content." She put aside these priming cards because they are just not part of her preferred-future self. She has defined herself and she's good with it.

Demographics **Age: 55**	**Female**		**Principal, Professional Services**
Bit # (Interview page/line)	**Theme** (values, view of others, range of perception, control, responsibility)	**Stage estimate** (3,4,5)	**Evidence and tests of stage hypotheses**
#3 (1/37-46) (2/64-66)	Values	4	A few years ago she realized "I didn't have to prove anything… to myself….I was never entertained by – or I was never motivated by proving something to somebody else…I was my worst critic." She modified the "never" by saying that the shift occurred eight or nine years ago. "I want to be—I wanted to be everything and then all of a sudden I realized – or not all of a sudden, over the years I realized, it's ok if I'm not." She has declared her psychological independence (Stage 4) and finds it "freeing."
#4 (2/77-82) (2/86-88)	Values	5	In response to my question, "what are you striving for now?" she said, "I think meaning, contribution, having a place, keeping vital, sharing, being encouraging, helping people to see in a positive or appreciative way…it's more about the bigger picture…I like different, different, different." This is all Stage 5-ish – not invested in any one system, transforming, with other people, to something new. And, continuing on this thought… "It's the opportunity to shift something, to be open, to stay open and catch yourself if you're not. Help others be open and also to have the courage to speak up when others are not."
#5 (3/98-100)	Values	4	"I do want to have the courage to always speak up. So many years I didn't, I let it happen and I don't think that's the right way to be." Here, she is seeing limitations to the conventional, institutional ways of communication in the workplace and is taking a stand based upon her own independently established values.

Demographics **Age: 55**	**Female**	**Principal, Professional Services**	
Bit # (Interview page/line)	**Theme** (values, view of others, range of perception, control, responsibility)	**Stage estimate** (3,4,5)	**Evidence and tests of stage hypotheses**
#6 (4/166-169)	Values	4	Lisa repeated that she really makes the rules for herself. I tested by asking "so there's not an outside thing that you're trying to live up to or something at this point, is that it? She responded, "exactly, that's exactly it."
#7 (5/183-191)	Control	5	Stage 5 characteristics include more about process and less about outcome. When asked what she must have (looking for *non-negotiable*), Lisa responded "I can't think of anything I must have, except mental stimulation and keeping those challenges going mentally." This sounds like evidence of Stage 5 openness to the process rather than the outcome as well as the source of control that is clearly internal.
#8 (5/205-214)	Range of perspective	4	In talking about differences in values between herself and her children, that have become divisive, she said "they've made that choice…and I've made that choice…I must live with [my] values." And, her children must live with theirs. She has her perspective. They have theirs for which she is not responsible. A Stage 3 indicator would be discomfort with conflict and a drive to make it go away. Perhaps movement to Stage 5 would be some willingness to continue to work to find common ground with her children. She seems to be comfortable with them being in their space, while she is in hers.
#9 (7/292-295)	Values	5	I asked her to respond to the statement, "I'm the kind of person who…" and she said "I guess anything's possible. …open to any kind of idea and doesn't have to be mine, as a matter of fact, it's probably better if it's not!" She is not invested in any one system and is open to creating something new with others.

Demographics **Age: 55**	**Female**		**Principal, Professional Services**
Bit # (Interview page/line)	**Theme** (values, view of others, range of perception, control, responsibility)	**Stage estimate** (3,4,5)	**Evidence and tests of stage hypotheses**
#10 (8/336-342)	View of others	4	In response to the question, "where does feedback come from?" she said, "gut checks and am I doing what I need to do...I validate with my husband or a couple of my friends on things, I guess." This is the Stage 4 element of seeking to confirm she's doing the right thing.
	Overall Stage Estimate	4➔5	Lisa gives no indication of any lingering Stage 3 attributes that would cause me to doubt at least Stage 4. She's a woman who knows who she is and what her values are (Stage 4) and wants to continue to contribute and to learn from and create something bigger with others.(Stage 5)

As with Jerry and Kelly, Lisa's response to my final question appears to validate the stage assessment of 4➔5. I asked, "If you were to seek out a coach, someone that would be there with you on this preferred future journey, what kinds of things would you want from that person as a coach?" She said,

> I look at everybody I meet as a coach…So, like, I'm learning right now, it's just amazing to me, when you say something and you're talking about some of these words and I think, Whoa, you know, maybe I need to think about that a little bit more. Or even when I'm coaching…I'm thinking, Wow, this can help me have a deeper understanding. So, I think every single person out there is my coach now. It's just learning. It's like being open to it. It's really wild.

Lisa is someone who wants to use an outside source to validate her own ideas (Stage 4) and considers the possibility that ideas from others may modify her own (Stage 5).

Note the difference between Lisa and Jerry, whom I also estimated as being 4➔5. While he had many of the same Stage 5 structures evidenced by Lisa, recall that I was concerned that

Jerry thought he had the right and only answer (4-ish), where Lisa seems not to want to impose her own particular mindset in working with others (more 5-ish).

Donald.

Donald is a 54 year old, white, male who is employed as a Sales VP in an international telecommunications company. He is married and has 3 sons who are in high school. Because of his long-term financial responsibilities—college educations for his children—he is not considering a midlife career transition for another five to seven years. He is concerned, however, that his position may be at risk if the economy does not recover.

His preferred-future self includes "trying to be able to do what I want to do…but also trying to somehow make that a productive lifestyle going forward." He says he could see himself "doing a lot of nothing" and the biggest decision of the day being "where am I going to dinner?" He says he is torn, however, between doing nothing and being productive.

Table 4.4
Process formulation sheet: Donald.

Demographics **Age: 54**		**Male**	**VP, Sales -- Telecommunications**
Bit # (Interview page/line)	**Theme** (values, view of others, range of perception, control, responsibility)	**Stage estimate** (3,4,5)	**Evidence and tests of stage hypotheses**

Demographics **Age: 54**		**Male**	**VP, Sales -- Telecommunications**
Bit # (Interview page/line)	**Theme** (values, view of others, range of perception, control, responsibility)	**Stage estimate** (3,4,5)	**Evidence and tests of stage hypotheses**
# 1 (1/41-44) (3/110-113) (3/118-121) (2/89-92)	Values	4	Throughout the interview, Donald repeated the theme of doing more of what makes him happy and an increasing unwillingness to put up with people and things that don't. For instance, he said "the older I get, the less patience I have with dealing with people I don't like, whether that's a customer…an internal or external relationship. If I can't sit down…and have a glass of wine with somebody I don't want to spend any time with them. And that's a bit of a problem…in this kind of role [because I] have to deal with all sorts of different types of folks." For Donald, the "institution" that is his work environment and his role in it, no longer works well for him. He wants to find ways in the future to overcome this and interact only with people who share his values for civility and respect.
#2 (3/123-131)	Range of perspective	4	I asked, "what is it about that conflict and that difficulty; do you have a visceral reaction to it?" Note that he did not respond in a Stage 3 way where harmony is important and therefore conflict is bad. Rather, he said, "to me it's just unnecessary. There's always more than one way to get done what you want to get done." His response is not about resolving the conflict by some norm (Stage 3) but by realizing that several points of view exist (Stage 4) and they can/should be considered without the stress of unnecessary confrontation.
#3 (4/139-141)	Control	4	Donald recognizes the importance of another's point of view but does not want to be controlled by it. He said, "a person who recognizes the value of somebody else as opposed to the self importance of I want to get it done (Stage 4)… [but] I got to get it done; I got to do it myself. And if you don't want to be following…then get the hell out of my way."

Demographics **Age: 54**		**Male**	**VP, Sales -- Telecommunications**
Bit # (Interview page/line)	**Theme** (values, view of others, range of perception, control, responsibility)	**Stage estimate** (3,4,5)	**Evidence and tests of stage hypotheses**
#4 (5/170-198)	Responsibility	4	Donald talked about how his current work is feeling stale. Yet, he looks out around him and sees all of these changes (social media, technology). He's not sure he wants to step into the new world. He fears it will be hard for him to learn new skills. From a Stage 4 perspective, what's interesting is that he takes responsibility for how he feels. The world hasn't done something to him, it just is. How he reacts to it, is up to him.
#5 (6/243-245)	Values and Range of perspective	4➔5	Donald is beginning to question his own standards and skills that may be getting in the way. He said, "I think I'm becoming more and more aware of weaknesses that can result in a reduction of productivity or even a perception that Donald's not good at that or here's where you need to improve." Not only is he questioning himself, he is seeing value in the input that others may have that may help him evolve to something new.
#6 (7/277-294)	Control	4➔5	Donald is going to have new responsibilities within his firm shortly. He'll be moving from a very metrics driven role to a strategy role where he'll be working with marketing and public relations teams to build a new vision of the company. He's excited about this shift. He's willing to give up the daily metrics (a particular outcome) to get to something new and different. This is a "growing edge" opportunity for him because "even planning for anything outside of the next 90 days really is something that I've not spent a lot of time doing, because it's all tactical."

Demographics **Age: 54**		**Male**	**VP, Sales -- Telecommunications**
Bit # (Interview page/line)	**Theme** (values, view of others, range of perception, control, responsibility)	**Stage estimate** (3,4,5)	**Evidence and tests of stage hypotheses**
#7 (10/432-441)	Range of perspective	4➔5	In talking about a plan that his company has to work with an executive coach he said, "as a company we are going to do…an assessment of leadership and bringing someone in from the outside to sort of help…The same people have been around for a while but I think from a personal perspective it's an area that I kind of need some, everybody needs help, but I think I definitely need some help in that one if I'm going to act on any or bring any change as opposed to have it changed for you." Classic of Stage 5, he's saying other views may help him change his own.
#8 (11/471-475)	Responsibility	4	I asked what a next step might be in terms of the discussion we've been having. He said, "I've already thought about it and I've actually spoken to an executive coach and I have a friend who's…in the HR business. To me it's part of the process of doing things differently and not just showing up every day and waiting for something to happen. It's more about making something happen that's in your own best interests." From a Stage 4 perspective, he owns responsibility for his decisions and feelings and is responsible for his own actions and viewpoints.
	Overall Stage Estimate	4	While there are hints of working with others to create something bigger beyond his own ideals, Donald's own standards and ideology seem to pervade his comments and his desires for the future. There is some sense of emerging Stage 5, but I'm more comfortable saying he's making meaning at the Stage 4 level.

The question regarding the potential use of a coach to help Donald in his pursuit of his preferred-future self stimulated the following response:

> I think it's important to have a plan… [set] some goals that are your best interest…One of my objectives is to put discipline around that….I just know that there's things out there that cater to what I like to do personally, play golf, go out to dinner, drink red wine…and being able to work as a team and get stuff done.

Unlike Kelly, he knows what his values are and wants help with the discipline of doing the work to find and make his preferred-future self a reality. Unlike Lisa, his outcome is much more about himself than some larger purpose. (Donald was ultimately chosen by the peer reviewer as the source material for Part II of the peer review that I will present following the analyses of eutopiagraphies.)

Carol.

Carol is a 57 year old, white female and is an operational VP in a major secondary mortgage institution. She is married with children. Her timeframe for making a move out of her current position is three to five years.

As she considered her preferred-future self the initial concern was in response to the priming words "risk" and "let go of; release." Carol said, "What I worry about and what will I give away [is] the kind of safety of a good job with a defined day that allows you to define yourself in a box that is a successful box…that by all intents and purposes is defined as a very successful box." As I listened to her eutopiagraphy, I couldn't help but see similarity with Kelly's challenge. On the surface, this identification with an outside institution that defines success, a definition that Carol has accepted, is very indicative of a Stage 3 mindset. Yet, her hope for her preferred-future self is "to figure out how I can impact others in a really positive way… how do I contribute in a bigger way back to other people, other groups, other

entities…how to transform that into a tomorrow that is a positive one." This statement looks like movement toward Stage 5 as she has even used the term "transform" to describe her wish for herself.

Table 4.5
Process formulation sheet: Carol.

Demographics **Age: 57** **Female** **VP, Secondary Mortgage Market**			
Bit # (Interview page/line)	**Theme** (values, view of others, range of perception, control, responsibility)	**Stage estimate** (3,4,5)	**Evidence and tests of stage hypotheses**
# 1 (2/47-50)	Values	4➔5	"One of the things I need to figure out [is] how to leverage who I am and what I do and how I do it into a world that will possibly impact more people or the right group, which is a very perplexing thing for me. I can't figure that out." Though the "it" of what she wants to do hasn't taken shape, this statement is reflective of someone who is not invested in any one system and wants to work with others to create something new.

Demographics **Age: 57**	**Female**		**VP, Secondary Mortgage Market**
Bit # (Interview page/line)	**Theme** (values, view of others, range of perception, control, responsibility)	**Stage estimate** (3,4,5)	**Evidence and tests of stage hypotheses**
#2 (2/70-75)	Values	3➔4	I asked her what her signature qualities were and she responded, "I'm so defined today by the job and I am so unbalanced…so the attributes I think about myself…are work related…leadership, connecting the dots, making sure things get done, being compassionate about people [and] understanding where they're coming from…and translating that into the so what do you do with your life afterwards is kind of confusing for me." It is not clear in this excerpt if she holds these values independently of the institution in which she works (3-ish). Further, it's not clear that these, if they were her values, would be the ones she'd want to take into the future with her. She confirmed that her values come from a "Midwestern ethic that my parents instilled in me very, very long ago of whatever you do, you've got to give it your very very best." (3-iish) Her 4-ish standard for herself is "really immersing yourself in it, which leaves little time for balance…how can I gain more balance…and start doing it now?"
#3 (3/101-106)	Control	4	I asked, "what's the risk if you were to very simply say, "You know, I'm working an eight to five day today. What would you risk if you did that?" She responded in a very 4-ish way "probably very little except my self-perception that I wasn't doing the best that I could do." Her control, in this area, comes from her own standards, not an outside source.

Demographics **Age: 57** **Female** **VP, Secondary Mortgage Market**			
Bit # (Interview page/line)	**Theme** (values, view of others, range of perception, control, responsibility)	**Stage estimate** (3,4,5)	**Evidence and tests of stage hypotheses**
#4 (3/114-118)	Values	4	I asked, "why do you do the extra things" that keep her at work for long hours. She responded, "Because I think I should…they fulfill me personally…and some [of the things I do] make the environment better here." Here is the psychological independence of a Stage 4 meaning maker who has moved past the Stage 3 "Midwestern ethic" and holds these values from within herself.
#5 (3/118-119)	Responsibility	4	Immediately following Bit #4, she said, "my ability to self-regulate is a little off." She is taking responsibility for her own decisions and actions with respect to her work ethic. "If I never did it here [work as hard as she does], it would be fine. The world would continue. It would probably be a very fine world."
#6 (7/283-294) (7/299-304)	Range of perspective	5	I asked her, "what's the best outcome in a situation where you feel like you know the answer and someone else is really pushing back?" She responded, "The best outcome is to come to a common understanding…maybe I think I know the answer and I really don't. I need to listen to somebody else's perspective…it's the dialog to get to understand what the gulf is…what's the difference in perspectives and see if you can get to the same spot." I asked her if she ever finds herself at odds with the conventional wisdoms. She responded that she does experience that in the workplace. But she said, "I come from a very different orientation and so often times, we're at two different places, but we've learned to learn from each other really well. That's pretty cool."

Demographics **Age: 57** **Female** **VP, Secondary Mortgage Market**			
Bit # (Interview page/line)	**Theme** (values, view of others, range of perception, control, responsibility)	**Stage estimate** (3,4,5)	**Evidence and tests of stage hypotheses**
#7 (4/171-185)	Values	4	The following bit reflects a good test of stage hypothesis. She sounded like she hasn't fully made the shift to 4. Looking at the priming word "strong stand, non-negotiable" she said, "I can't put anything on that piece of paper. I'm like, I wonder what I would – what would I put on that piece of paper? Why did I have nothing on it? So maybe that's part of the issue." I thought I was hearing an undefined (3-ish) lack of individualized standards so I wondered out loud "where are the things that clearly define you and the things that clearly don't define you?" She responded, "I think I'm pretty sure about that…I have a strong stand that if it comes between my family and something else, my family will always win." In other places in the interview, she is very clear about her standards. The caution to me as a coach/researcher is to not dissect statements out of context!
#8 (5/187-223)	Values	4➔5	"I guess I define myself…[and]…what do I do and then what would I do and then what wouldn't I do…I think that for me this little bit might be like I'm open…to opportunities. I just can't figure out what they look like exactly…the scary part is…if you say it's going to be ok and something will show up, which is by the way my philosophy generally, which is very fascinating that this is so scary. It feels like I'm walking off a cliff and the reality is I never really feel that way actually. But to me retirement is, it's the first really big, big, big, monumental decision and I think I probably made it way too big." She has defined herself (Stage 4) and sees movement into retirement as a process rather than a particular outcome. (Stage 5)

Demographics **Age: 57**	**Female**		**VP, Secondary Mortgage Market**
Bit # (Interview page/line)	**Theme** (values, view of others, range of perception, control, responsibility)	**Stage estimate** (3,4,5)	**Evidence and tests of stage hypotheses**
#9 (7/310-321)	Control	4	I asked her where feedback would come from in her future life. She said, "…fascinating…fascinating…it's am I getting it? Did I absorb it? Am I able to participate? How do I participate in life and what am I getting back from [it]." She will be looking internally for her feedback in large part—a very 4-like characteristic.
	Overall Stage Estimate	4	Please see the paragraph below regarding my own challenges with this interview. In the end, I believe Carol is fully operating at a Stage 4 capacity. I would like to know more about where she is on the path to Stage 5 through further discussions with her.

Carol, perhaps among all of the participants that I have presented so far, *seemed* to be describing most strongly what Kegan and Lahey call the "growing edge" – a place where her current ways of thinking about things just do not work any longer and a new way hasn't emerged yet. She used the word "stuck" to describe how she feels, and said she has reflected (a Stage 4 capacity) about that feeling a lot. Following on this thread of reflection (and having in mind Heifetz' (1994) adaptive challenge theory), I asked her "When you're up on the balcony and you're watching yourself, what do you think about yourself?" She responded,

> I think I'm really stuck and I just go—why is it you can't – why can't you get – what is the boulder that's sitting in the doorway [literally pointing to her office door] that allows you not to be able to get over that? And that's frustrating…What is it there? And it feels like there has – it's a thing, a something that's not moveable. And what could that be? So it can't be – it's something about me that is causing that to happen. That's disappointing and frustrating.

During the interview, and even in the first several reviews of her transcript, I was tempted to accept a Stage 3➔4 estimate of Carol's constructive-developmental levels. I thought I was hearing "I'm not sure what I want to be" and construing that to mean she wasn't clear of her own standards. What I came to realize is that, contrary to Kelly, for instance, Carol has a very strong sense of her individual standards; she just hasn't come to any conclusions about her future. She is frustrated, that *given* her strong sense of who she is, she can't come up with a "to do" list! Carol taught me a very valuable lesson about the danger of using a zoom lens and how it can be misapplied if I'm not careful. I have been so intrigued with the question "what are the participants to be?" that I nearly lost the fact, that for Carol, it's about what she is "to do."

If Carol were to engage a coach, she said she wants someone who is "able to push back, and know when to back off, when to push the thinking, when to ask the probing questions, and have the courage to do that." As with the previous participants, her response adds validation to my stage estimate of 4. As noted earlier, I would like to find ways to undercover something more about Carol's Stage 5 potential.

Jamie.

Jamie is a 53 year old, white male who was rif'd from his position as VP, Marketing at a major telecommunications company. He was "displaced" early in 2009 and has spent the last year searching for new career opportunities. He is married and has 3 middle school aged children. He has worked actively with outplacement counselors and has engaged an executive coach to help him through his transition. At the time of our discussion, he was very close to making a decision to relocate his family out of the country to take a new position. The discussion about his preferred-future self was very near term focused given that he expected to make a go/no go decision on a particular job opportunity in the next few days.

Top of mind for him; at the beginning of our discussion were the things he would have to "let go of; release."

Table 4.6
Process formulation sheet: Jamie.

Demographics **Age: 53 Male** **Marketing VP/CMO, Telecommunications**			
Bit # (Interview page/line)	**Theme** (values, view of others, range of perception, control, responsibility)	**Stage estimate** (3,4,5)	**Evidence and tests of stage hypotheses**
# 1 (1/21-57) (2/68-72)	Responsibility	4	Jamie said that he has had to let go of the guilt associated with leaving his aging parents and the impact it will have on his brothers. He said, "I let there be guilt associated with that…that type of release [letting go of guilt] has been really important." He saw the perspective of his parents and brothers but owned his decision to move his family. Similarly, he talked about letting go of fear of the unknown. "It could really govern your life…there have been points in time where I've let fear influence my decisions. And so I think letting go of fear is really important." In both bits, he was clearly taking Stage 4 responsibility for his feelings.
#2 (2,3/83-100) (3/117-127) (13/578-579)	Values	4	In the process of working with his coach, he had identified many important values for his preferred-future self including international work, exploring new places, being part of a team where he can have a sense of accomplishment and influence in the decision making. He is looking at his current job opportunity in light of those values, and is validating "things I said a couple of years ago" are still important. He knows what he wants and thinks he's found them in the new job. He can identify his standards –honesty, integrity, and ethical boundaries – and is aware of how others have not lived up to these.

Demographics **Age: 53** **Male**			**Marketing VP/CMO, Telecommunications**
Bit # (Interview page/line)	**Theme** (values, view of others, range of perception, control, responsibility)	**Stage estimate** (3,4,5)	**Evidence and tests of stage hypotheses**
#3 (4/141-145) (5/210-212)	Values	5	I asked "what is the underlying value" of working with a team…a leadership team…in different cultures?" He said, " the underlying value there and what is important to me is growing, growing, and developing as a person, and as a manager or as a leader….being exposed to different cultures, people, leadership styles and business challenges will all help me grow." In a classic Stage 5 response he has said, "I'm not invested in any one system…I value transformation to something new." And, further, the new job is about "the experience, about the growth, and about the development and challenge and having that feeling of having fun again."
#4 (5,6/228-243)	View of others	4	Jamie talked about the impact this move might have on his family. I asked, "so what if you come home one day and your wife's sitting there and she's got daggers…you have really put me in a bad position. What's the response there?" He would respond to his wife by saying, "how can we work together to put you in a better position? What is it that would help you do that…so part of it might just be, I'm sorry we're just going to have to try to get through this." He is open to her point of view and would want to help her, but in a Stage 4 way, he doesn't say that he would own her feelings. He's not responsible for them.

Demographics **Age: 53** **Male**			**Marketing VP/CMO, Telecommunications**
Bit # (Interview page/line)	**Theme** (values, view of others, range of perception, control, responsibility)	**Stage estimate** (3,4,5)	**Evidence and tests of stage hypotheses**
#5 (6/269-271)	Range of perspective	4	I tried to understand more about his wife's role in the decision process. I said, "it's not like you've said, I'm taking the hill, figure out a way to get behind me." He responded, "No. Incredibly important…I've made the point really clear [to the head hunters] that this is not just my decision that my wife is involved and so forth." He wanted his wife's perspective and as he revealed in more detail in the discussion, they had important things to work out. This is beyond Stage 3 mutuality because the differing perspectives of both sides were important to the ultimate decision to move. Conflict was ok, and they worked through it together.
#6 (13/581-585)	Control	4	I asked him, "how do you process it when somebody compromises" a value you hold strongly? He responded, "well, that's life that that person has chosen to lead so it's not me." There is a real separation of others' values from his. They own theirs and he owns his.
	Overall Stage Estimate	4	I think Jamie is making meaning largely from a large Stage 4 perspective. He and his wife have worked through the hard decisions with respect to his upcoming job. What is described seems well beyond decision making that is based on Stage 3 mutuality because differences were sought out and addressed, not simply overlooked or compromised. If he can make his preferred future a reality, I believe there is real Stage 5 potential in his meaning making.

Contrasting Jamie's eutopiagraphy with Carol's is very interesting. I have estimated both to be making meaning from a Stage 4 perspective. His future—his "to do" list—is much better

defined than Carol's at the moment so it seemed easier to draw out some of the meaning behind the structures. This may have an important implication for developmental coaching. I will pursue that discussion following the presentation of the eutopiagraphic analyses.

As with each of the participants, I concluded the conversation with the question, "If you engaged a coach to work through your preferred-future self, what would you want from that person?" Jamie, who has worked with an executive coach, provided a wonderful definition of the type of coaching I hope I do. He said,

> An effective person and coach is one that really draws that information out and helps the individual see their strengths and their weaknesses and helps them think and directs them without being prescriptive…And then, help them with tips or guidelines or tools that helps them manage that on an ongoing basis because obviously the coach can't be there indefinitely in most cases.

Ken.

Ken is a 51 year old, male, of Hawaiian descent. He was recently rif'd from his position as a senior leader of the learning organization at a major hospitality corporation where he had worked for 21 years. He is married, without children. Ken has recently connected with a local organization development firm where he will be a part-time consultant. He reported that he is in a stage of transition that is "both exciting and opportunistic" and he felt "energized" to be able to participate in this interview. He said, "So this conversation is rather serendipitous, coincidental, but since there are no real coincidences, it's kind of interesting that you – the world brought you to me to have this conversation, so that, I'm thankful for."

Ken's preferred future is one in which he has

> a better sense of self, a better sense of connectedness, a better sense of belonging and groundedness to the community I live in, to the people that I'm surrounded by, to the people I associate with…that's a reflection of who I am as a person…I want to continue to move in that direction…things have to do with making a difference, doing things that

matter, having the time to be a student of the world….for me to reflect upon and to learn and then to be in a constant mode of giving back.

Table 4.7
Process formulation sheet: Ken.

Demographics **Age: 51**		**Male**	**Senior leader, Learning, Hospitality**
Bit # (Interview page/line)	**Theme** (values, view of others, range of perception, control, responsibility)	**Stage estimate** (3,4,5)	**Evidence and tests of stage hypotheses**
# 1 (1/41-50)	Control	4	I asked Ken where the values came from that underlie his preferred self as presented above. He said, "My life's mission is just to know significant love. And I have found that…I could check out right now, I'd be ok. [with his wife] there is a completeness about where I am in my life. If it were all to fall apart, it would be ok, there's us and I have that." I estimated this as a Stage 4 structure because he does not seem dependent on an outside authority for his contentment. He'd defined it, found it, and he's happy with it.
#2 (2/82-82)	Control	4	Of the prompt "risk" he said, "The only risk is myself, what I choose to do and the risk not taken and being focused." This is control from within.

Demographics **Age: 51**		**Male**	**Senior leader, Learning, Hospitality**
Bit # (Interview page/line)	**Theme** (values, view of others, range of perception, control, responsibility)	**Stage estimate** (3,4,5)	**Evidence and tests of stage hypotheses**
#3 (3/100-107) (7/282-287) (8/359-361)	Values	3 or 4?	He identified his values: trustworthiness, reliability, dependable, walk the talk, a person of the world, stand up person, word is bond. I wondered to myself, "Are these self defined standards when they sound very "conventional" type 3-ish?" I had to keep looking! We were discussing where his values came from and I asked, "What does it mean to be a Hawaiian?" He responded, "It's all about aloha, it's all about love, it's about being of service, being gracious, being focused on family, giving…very open, inclusive…laid back." Again, this sounds to me like a travel brochure, but is it really Ken? Does he have psychological independence from his cultural values? More looking required… He has mentioned helping several times and I ask, "what is it about helping? Is that from the cultural – just that's you who are?" He responds, "That is who I am…but I mean, there's a selfish part of that…the selfish part, for me, is that sense of belonging, that sense of feeling needed and wanted and I own that." At last, I feel more comfortable estimating Ken's meaning making capacity as Stage 4 because he has made meaning of the culture as a way to meet his own needs.
#4 (4/158-183)	Range of perspective	4	Ken clearly identified the differences in how he views his future vs. how his wife views it. He identified it as a difference between extraversion and introversion. He can see both sides, and while *choices* may be mediated by her view, his perspective is not. And, "we could be living apart." (I will discuss this bit in more detail shortly.)

Demographics **Age: 51**		**Male**	**Senior leader, Learning, Hospitality**
Bit # (Interview page/line)	**Theme** (values, view of others, range of perception, control, responsibility)	**Stage estimate** (3,4,5)	**Evidence and tests of stage hypotheses**
#5 (8/342-346)	Range of perspective	4➔5	Ken teaches at a university. He says, "What's so energizing about it… I call it reverse learning. I'm now with a bunch of gen-Xs, gen-Ys and how they view the world and I'm getting to experience it…through their eyes and learning from them."
#6 (9/387-389)	Values	4➔5	I asked him if there was a particular outcome he was looking for in his preferred future. He responded with several ideas about furthering his education and expanding his credentials and then said, "at its inner core, it is about how do we create a world that is really focused on learning, how we learn, what we learn and for me, what that also means is just having phenomenal content and creating good content." His goal seems very process-oriented and therefore 5-ish yet he brings it back a notch by wanting to be viewed as a great practitioner (9/368-370), which is more 4-ish.
#7 (13/361-364)	Control	4	In responding to the prompt "strong stand; non-negotiable" he said, "first and foremost, it's self. I try to be pretty non-negotiable about my boundaries, myself and being aware of where my boundaries are then respect of self…when they get pushed, to let them be known." Very Stage 4.
	Overall Stage Estimate	4	I think Ken has a strong potential to move toward Stage 5 meaning making. At the moment, he seems to fit the self-authoring Stage 4. He knows who he is and has ideas about where he's going, but I didn't hear continual evidence of anything beyond Stage 4.

Each of the participants has taught me something in unexpected ways. As I wrote up bit #4 above, I suddenly understood Kegan's (1982, 1994) statement that one's level of meaning

making is not correlated to specific behaviors. Ken exemplified this for me when he discussed the differences between how he and his wife view the future. He has his own perspective and is fully aware of hers, *and* may still make a *choice* to live apart for a portion of the year. This is not the Stage 2, impulsive, "stamp my feet to get my way" form of meaning making, but an "I see your viewpoint. I am clear on mine. And, knowing these things, I can still make a choice." This appears to be a Stage 4 form of meaning making.

Further, note the long back and forth in my own mind, regarding his level of meaning making in bit #3. In other analyses, I have been able to identify many supporting cases for the stage estimate of any given structure. In Ken's case, I had to work harder to form the estimate and to see it evolve from many different places in our discussion.

Finally, Ken's hope for a coach would be "a good listener and then sometimes someone that's a contrary sort of opinion…to ask questions that I don't know…to be a trusted advisor." As others have done, Ken's last statement helped me to get clarity around the stage I estimated. Ken's identification of a desire for a trusted advisor to test him and push back a little is very much like the Stage 4 "view of others" structure.

David.

David is a 55 year old, white male who was recently rif'd from his senior position in the home construction business where he had worked for most of his professional career. He has a significant other (whom I will call Jane), and children from a previous marriage. David is the only participant who viewed his future as potentially foreshortened because of potential health issues. While others envisioned length of years, he said that he would be surprised to still be around in ten to fifteen years.

While he would like to travel, he spent most of the interview talking about building an animal sanctuary in North Carolina with Jane. Before the rif, he and Jane had anticipated that they would retire in five to six years. He is still struggling with the decision to leave the high pressured corporate world behind and make this "dramatic right hand turn" toward the sanctuary.

Table 4.8
Process formulation sheet: David.

Demographics **Age: 55** **Male** **VP, Home Construction Industry**			
Bit # (Interview page/line)	**Theme** (values, view of others, range of perception, control, responsibility)	**Stage estimate** (3,4,5)	**Evidence and tests of stage hypotheses**
# 1 (1/26-33)	Values	4➔5	When asked what working in an animal sanctuary would feed in him, David replied, "I look forward to having it help me focus on something other than me, or the immediate situation with myself, Jane, and my children or what not…to take time to smell the roses…I'm hoping I'll be able to calm down a little bit and actually relax, which is not easy for me." I have estimated an emerging shift to Stage 5 because of the process orientation of his statement, rather than a specific outcome.
#2 (3/111-119)	View of others	4	I asked David if he felt like he needed to get "permission" from anyone to make the move. He responded, "I'm a workaholic. And so to stop working, it makes me a little anxious to be honest. I feel like some kind of slacker or something…it would be nice if someone said, this is ok for you to do." In a Stage 4 way, he is clear, but would appreciate confirmation from the outside that he is making the right choice.

Demographics **Age: 55** **Male** **VP, Home Construction Industry**			
Bit # (Interview page/line)	**Theme** (values, view of others, range of perception, control, responsibility)	**Stage estimate** (3,4,5)	**Evidence and tests of stage hypotheses**
#3 (4/139-169) (6/241-251)	Values	4	David defined success as being able to provide some education, particularly at the elementary school level, on animal rights issues. I ask him, "what is it about your point of view vs. their point of view of animals." He responded, "It's a difference between seeing animals as property and animals as living creatures…Jane and I will be driving down there, and it's [a dog] chained up outside in the back.. sometimes in a shack…sometimes with nothing…It's just an understanding that that's not really an appropriate way for a pack animal to be kept for instance." He sees their point of view and is very strong about how his differs from theirs. Further into our discussion, David mentioned another situation in which people who have bought homes on marshland suddenly complain because they have animals in their front yards. He then said, "I realized very quickly that… a lot of people were raised, particularly in our society, out in rural areas. …they just don't know." He gets where they are coming from, even though he doesn't agree with them.
#4 (7/297-307)	View of others	4	Having made the decision to be less of a workaholic (a change in his own standards) David will look to Jane and his children for feedback. He imagined them saying, "Gee, you seem a little bit more relaxed…more accessible." He will look to others to confirm what he's doing is right.

Demographics **Age: 55**	**Male**		**VP, Home Construction Industry**
Bit # (Interview page/line)	**Theme** (values, view of others, range of perception, control, responsibility)	**Stage estimate** (3,4,5)	**Evidence and tests of stage hypotheses**
#5 (7/313-319)	Values	4	In talking about others he says, "they have absolutely no feedback loop, and it amazes me how they've actually functioned in life. I do have a feedback loop to myself. I'm not always as honest with myself as I think I should be. …It's the honesty with which I interpret that data that I gotta be careful about." He assesses himself against his own standards in a self-authoring way.
#6 (10/414-436) (11/469-474)	View of others	4	We talked about feedback. David said that where he gets feedback from the sanctuary will be very different from what he's used to (metrics.) He said, "one of the challenges …is we are moving into an area and being surrounded by neighbors who are this old mentality about how you interact with wildlife. And part of my concern is that we don't turn people off…it's not good because you don't get your message out…and I can see it becoming a situation where your neighbor takes offense, or we offend somebody because we get in their face….and the next thing we know that some of the dogs are shot in the middle of the night….we have to be careful how we go about this." Here David is saying that people have different feelings because they have different viewpoints. The feeling of being offended is related to their view of how to treat animals. David continued, "I know I have more of an open thought on this than Jane does, it's ok, they're doing this, I'm doing that…I need to understand a little bit more of where they're coming from and is my point of view too jaded.?" At the end, he anticipates seeking to confirm that what he's doing is right.

Demographics **Age: 55** **Male** **VP, Home Construction Industry**			
Bit # (Interview page/line)	**Theme** (values, view of others, range of perception, control, responsibility)	**Stage estimate** (3,4,5)	**Evidence and tests of stage hypotheses**
#7 (16/699-706)	Values	4	David talked about a movie he'd just seen where the humans follow the rats because they seem to know where they're going. He compared it to the corporate rat race, saying, "so yeah, the conventional wisdom is yeah, you gotta work your way up the corporate ladder, and you gotta get these promotions and pay…and keep up with the Jones'. And I never really was into that type of keeping up with the Jones' kind of thing…I was running with the rats, at least I knew that, and I was pretty good at it. Now I'm doing something different, and so there's a little bit of fear with that decision." He's clearly indicating his standards – hard work is important, but it's not about keeping up.
	Overall Stage Estimate	4	I saw absolutely no structural evidence of Stage 3. David's future and the way he makes meaning of it seems all about taking this self-authored idea to fruition.

Responding to how he would use a coach, David, in a very Stage 4 way said, "I suppose what would be helpful to me would be challenging the game plan, and selling the assumptions of the game plan, and doing some role-playing…like having someone help someone with a pilot's checklist." I began to fear that this was about a "to do" list. Then he told me about a friend of his who declared that she was so tired of the rat race that she was going to go knit sweaters for the villagers. Apparently, she said this on more than one occasion, prompting him to go to the garage door and point out the Lexus in her driveway. He reported, "So I said to her, my point to her just to challenge was, come on…you couldn't do that psychologically. You couldn't get away from

this…sell your Lexus, drive an Escort." By example, David was saying that he'd want a coach to be more than just a list checker, but also a values checker.

Anthony.

Anthony is a 50 year old, Hispanic male who is currently working in an executive position at a telecommunications company. He jumped right into his eutopiagraphy by saying,

> I've had a bit of an awakening the last few years…driven by a profound sense of loss from the telecom bust…I started questioning basically leadership and mind shifting and people and the inability of people to shift minds and accept new ideas. So, we [a previous boss] decided to start this idea, this whole idea of movement, called innovation movement which is about how to make companies more innovative and…more agile.

This participant began by talking about a "growing edge" dilemma and a requirement for a mind shift to get people to accept new ideas. From the beginning, I held my breath that the discussion would be incredibly rich and potentially the first example of a clear Stage 5 meaning maker. I was immediately intrigued by what he was looking for in his question to himself: "how do you structure yourself so you can let people be creative agents and go out there and invent new things and be autonomous and have a sense of connectedness." His future includes having a platform to talk about his ideas, a place where he can be recognized as a thought leader.

As he talked, I learned that he has done a lot of reading over the last few years. I became aware that it may be difficult to understand whether the vision he imagines stems from his own self-authored place. Or, is it co-opted from somewhere else—a new conventional wisdom (Stage 3-ish) rather than a self-authored one? Let me describe what I saw in the eutopiagraphy to find clues to this question.

Table 4.9
Process formulation sheet: Anthony.

Demographics **Age: 50** **Male**			**Executive Director, Telecommunications**
Bit # (Interview page/line)	**Theme** (values, view of others, range of perception, control, responsibility)	**Stage estimate** (3,4,5)	**Evidence and tests of stage hypotheses**
# 1 (1/36-42) (1/48-59) (8/323-327)	Values	4	Anthony talked about things suppressing his creativity and I asked, "why?" He responded in a way that now sounds very familiar to other stories I have relayed. "You're supposed to go on this railroad, you go to college, you work at a desk…you get thrown into this very linear structure, you got to do this, you got to do that…I was on this train and I started discovering that there's got to be a better way…I started this whole new movement starting from very high end thinkers, we have to change this." This is a classic Stage 4 structure regarding the limits of the institution.
#2 (3/118-135)	Values	3➔4	Anthony said he has a constant feeling of catching up and it's a horrible feeling. I asked, "Catching up to whose benchmarks?" He said, "I won't deny it, it's society's benchmark, because my friends have done much better…so I'm kind of trapped between this social expectation that I'm supposed to have already flourished…because I've seen friends do that." In a very Stage 3 way, he is comparing himself against a conventional benchmark. The emerging Stage 4 part is the self-awareness that he is making that comparison.

Demographics **Age: 50** **Male** **Executive Director, Telecommunications**			
Bit # (Interview page/line)	**Theme** (values, view of others, range of perception, control, responsibility)	**Stage estimate** (3,4,5)	**Evidence and tests of stage hypotheses**
#3 (3/124-135)	View of others	3	He talked about people who were friends and now they've been successful and have moved away from him. He said this is really painful, and he rails against it is his writing. "Why does money motivate people to move on? [not physically but emotionally] I've lost them." I should have pressed more for meaning here, but it seems like a Stage 3 structure in which something that another person has done has *made* him feel the way he does.
#4 (6/251-286)	Responsibility	3	Even though he feels very prepared to step into a new world, "they" are holding him back. "They" are not ready for what he has to offer. He is not responsible for the outcome because others have fenced him in, in a way.
#5 (7/302-313)	Values	4	I asked, "if you could change one thing about the world as it is today, what would it be?" He responded, "the inability of people to shift their minds. They're still stuck in this emotional reptilian brain, they can't get past it…stop thinking with your emotional filters and get past it and develop some skills…it's people's inability to see each other's ideas." This is evidence of finding limits in the institution (Stage 4). However, I kept feeling like I was hearing someone else's voice through Anthony, based on the reading he has done.
#6 (8/358-367)	Values	3➔4	"We live in a society that kind of makes everybody feel inadequate…and I feel like being 50 I'm crossing over into the elders that nobody pays attention to, the transparent people, which is crazy." He has a view (self-authored?) of what should be, but note again, "they" make people feel inadequate (a Stage 3 meaning.)

Demographics **Age: 50** **Male**			**Executive Director, Telecommunications**
Bit # (Interview page/line)	**Theme** (values, view of others, range of perception, control, responsibility)	**Stage estimate** (3,4,5)	**Evidence and tests of stage hypotheses**
#7 (10/445-454)	View of others	3➔4	Re: strong stand/non-negotiable. Whatever he does in the future, Anthony said, "I'm not going to compromise in…my leadership style. My leadership style is collaborative, open, receptive, inclusive. I'm threatened by people trying to curtail my creativity so I can't – I will not be able to handle, I'm not going to compromise on that…I need to be autonomous at this point…not held back by artificial organizational structures." The use of the words "I'm threatened" sounds very much like Stage 3 meaning making. The rest is about identification of the limits of the institution versus his standards (Stage 4).
#8 (11/463-466) (11/501-525) (12/530-536)	View of others	3➔4	"I have this pattern, not caused by me just because of my upbringing…" Talking about networking, Anthony said he does it because "they" can help him. And he immediately says this doesn't sound genuine but "I feel compelled to do that just because it seems like that's the way to do it." These two bits look like Stage 3 meaning making with a hint of emerging self-authored standards. The emerging standards then become clearer. "I want to genuinely connect with people on a different level…where people…try to figure out how to help people or how to change corporate structures" to be better. Stage 4 with a hint of emergent Stage 5 meaning making.

Demographics **Age: 50** **Male**			**Executive Director, Telecommunications**
Bit # (Interview page/line)	**Theme** (values, view of others, range of perception, control, responsibility)	**Stage estimate** (3,4,5)	**Evidence and tests of stage hypotheses**
#9 (13/572-597)	Values and View of others	4	I asked him the question regarding feedback and where he will get it in the future. He said, "I need validation and feedback from people outside my organization…when someone tells me "you inspired me"…it's more valuable if it comes from diverse sources not just internal [organizational] sources…I'm so [much farther] ahead than most of my leaders anyways that whatever they tell me it's just not worth anything." Clear Stage 4- finding limitations in the institution. Clear Stage 4 – wanting feedback that says that I'm doing it right.
	Overall Stage Estimate	3➔4	Anthony put a lot of weight on the impact that other viewpoints still have on him in a negative way. There is a very strong "they" out there that is holding him back and leaving him less in control of his own life. (Stage 3). He is energized, however, by his emerging standards and being able to see the limitations in the organization and wanting feedback that his new standards are correct. (Stage 4)

I asked Anthony what his next steps were regarding his preferred-future self and followed up with the question about the use of a coach. Once again, there is some validation for the stage estimate of 3➔4.

> I feel I need help, not from a counselor, but somebody that can help me with this emergence. There's a process of emergence that people go through. I've actually found such a person…she helps people…once you admit to yourself that you've got to emerge….I want her to tell me what are the specific things I need to do. So the first thing she told me to do…you need to develop your core value, what is the core that you want to do. What is it that you really are, who are you at the core and what is it that you want to do? And then from there you sprout…then you start seeing potentials.

And so, in spite of the passion of Anthony's discussion about what needs to change, he is still uncertain about who he wants "to be." Throughout his eutopiagraphy, he was very clear about the limitations of the current system. (Stage 4) He is still trying to figure out how all the new awakenings he has had fit for him (emerging Stage 4). And in the end, he wants an outside person to tell him the specific things to do—a reversion to a Stage 3 reliance on the institution.

I have come to the end of this section—the analysis of the participants' eutopiagraphies and the search for evidence of constructive-developmental structures. I have answered the first of the research questions—"What can eutopiagraphy tell me as a researcher/coach regarding a client's meaning-making?" In every instance, I was able to identify structures and estimate levels of meaning-making based upon the clients' narratives about their preferred-future selves. In the next section, I will present Part II of the peer review, which provides an outside reliability test of the structures I have identified and agreement/disagreement on the estimated stage of constructive-developmental level.

Peer Review--Part II

As described in Appendix K, the purpose of Part II of the peer review is to provide: 1) a metric of rater/expert reliability using the percentage agreement of presence method re: structures; 2) a discussion of agreement/disagreement regarding stage estimate; and 3) letter of review and discussion provided by the peer reviewer regarding his analysis to be included as an appendix.

I emailed Table 4.1--Participant Demographics to the peer reviewer, who independently chose to review Donald's eutopiagraphy. After his selection, I emailed Donald's transcript. We subsequently met at my office to complete the peer review.

In addition to having hard copies of the transcript, we listened to the audio of Donald's narrative. My peer reviewer's independent identification of structure and stage was critical to the test of reliability that I sought. I began the tape and waited for the peer reviewer to identify elements of structure and stage. When he found evidence of structure or stage, we stopped the audio and he shared his analysis with me. I noted his estimates on the analysis I had previously done on Donald's eutopiagraphy (Table 4.4). Having noted his estimate, we discussed our understanding of the evidence we independently saw to determine that we were communicating effectively between ourselves and that we shared a common understanding of the nature of constructive-developmental meaning-making that was included in the eutopiagraphy.

There were several long passages that we agreed contained content but no structural evidence. Agreeing on this absence of structural evidence served as another test of our mutual understanding of what structure looked like in the narrative. In a final comparison of notes the peer reviewer thought I may have tried too hard in one instance to see something that he did not see as structural evidence (Table7, bit 4). I will note this discrepancy in the calculation of expert/rater reliability using the percentage of agreement on presence method at the conclusion of this section.

The peer reviewer tested one theme in particular, productivity, which appeared several times in Donald's eutopiagraphy. In the beginning segments of the narrative, the reviewer was not certain that he was seeing the objectified separation of viewpoints that led me to estimate Donald to be making meaning at the Stage 4 level in the values structure. The bottom line question that he had was "Who has defined "productivity" the way Donald talked about it?" Was it a self-authored definition or one that was mediated by another's point of view? While we ultimately agreed on an overall Stage 4 rating, the peer review process identified a place in the

transcript (2/46-49) where I might have tested the stage hypothesis more completely. Asking Donald "Who defines productivity for you?" might have brought the reviewer and myself into full agreement on the Stage 4 assessment sooner.

Referring back to the purpose of this portion of the peer review process, the reviewer and I had a rich discussion about Donald's stage estimate and agreed on the final Stage 4 assessment. Using the information available in Table 4.4 (my analysis of Donald's eutopiagraphy) I compared the reviewer's analysis to my own and calculated the metric of rater/expert reliability using the percentage-agreement-on-presence method. We were in full agreement as to the structures we saw with the exception of Bit 4 as noted above. Table 4.10 depicts the positive outcome of expert/rater reliability.

Table 4.10
Expert/rater reliability: Percentage agreement on presence.

Structure	# of instances of Structure – as seen by researcher	# of instances of Structure – as seen by peer reviewer	Rater/expert reliability %
Values	2	2	(2*2)/(2+2) = 100%
View of others			
Range of perspective	2	2	(2*2)/ (2+2) = 100%
Control	2	2	(2*2)/ (2+2) = 100%
Responsibility	2	1	(2*1)/ (2+1) = 66%

The reviewer provided the final piece of the peer review process—a one page summary of his review and analysis of this work that is included in Appendix L.

The purpose of this section of Chapter IV has been to respond to the first research question—"What can eutopiagraphy tell me as a researcher/coach regarding a client's meaning-making? As evidenced through the detailed analysis of each participant's eutopiagraphy and the confirmation provided by the three parts of the Part II of the peer review process, I assert that the

process of analyzing stories about preferred-future selves can be rich in detail regarding constructive-developmental structures and stages. While I anticipated and identified a narrow range of stages given the demographics of the participants I was indeed able to identify structures within each and to discern stage differences in those structures across the eutopiagraphies.

Intersection of Eutopiagraphy, Adult Development, and Developmental Coaching

I will now turn to a discussion of findings that address the three remaining research questions. These questions are:

- What are the differences among clients' eutopiagraphies that may be influenced by their meaning making ability?
- How powerful is the intersection between constructive-developmental levels and eutopiagraphy, if at all?
- What are the implications of eutopiagraphy within the context of developmental coaching? (I will expand upon my response to this question in considerable depth in Chapter V.)

A recap of the eutopiagraphies will be helpful for this discussion.

Table 4.11
Summary of eutopiagraphies, stage estimates, and potential use of coach.

Participant	Estimated Stage	Preferred Future	Time frame	Potential Use of Coach
Kelly	3➔4	Undefined and to be driven by self-defined values that need to be uncovered; finding out what will make her happy	immediate	Help in identifying her own values and her vision; designing a practical approach to make that vision a reality

Participant	Estimated Stage	Preferred Future	Time frame	Potential Use of Coach
Lisa	4➔5	Working with others to create something bigger; living in the moment	< 5 years	Everyone she meets is her coach through whom she can learn and reflect
Donald	4	Leave corporate America and avoid unnecessary stress caused by people and situations; golf and drink good wine with good people	5-7 years	Help with the discipline of doing the work to find and make his preferred-future self a reality.
Carol	4	Undefined specifics. Still searching for the best use of her values and experience; identify and remove the "boulder" that's blocking her	3-5 years	Someone who is "able to push back, and know when to back off, when to push the thinking, when to ask the probing questions, and have the courage to do that."
Jamie	4	Learn, grow, develop in a corporate position; take advantage of all opportunities to experience new things, people, places	immediate	Help to see individual strengths and weaknesses and help to think and direct without being prescriptive.
Ken	4	Learn with and from others, honoring a deep list of strongly held values	immediate	"A good listener and then sometimes someone that's a contrary sort of opinion…to ask the questions I don't know…to be a trusted advisor."
David	4	Leave corporate America; teach and create new attitudes with others in the area of animal welfare; stop and smell the roses	< 1 year	Someone to "challenge the game plan" and challenge the espoused values vs. the values in action.

Participant	Estimated Stage	Preferred Future	Time frame	Potential Use of Coach
Anthony	3➔4	Make a break from corporate America (emerge) and work to change it through an innovation movement focused on creating mind shifts	immediate	Someone to help with "emergence" to develop a core value

What, then, are the differences among clients' eutopiagraphies that may be influenced by their meaning making ability?

The range of constructive-developmental levels that I estimated is very narrow as anticipated for the demographics of the participants. In spite of this narrow range, consider the differences between the preferred-future selves of Lisa and Kelly, representing the widest gap in my estimates. Lisa reported being very content with her life and wants to work with others to create something bigger. Kelly was still trying to figure out her own values—what makes her happy versus living to make others happy—before she could define anything specific about her future.

Using Lisa again as one end of the spectrum, I compared her preferred-future self to Anthony's. Lisa reported being open to whatever the future holds, and wanted to work with others (particularly mentioning a desire to work with younger people) to create something bigger than herself. Anthony, on the other hand, was still struggling to "emerge" and separate himself from the corporate America that he so passionately disdained. Referring back to the subject-object nature of constructive-developmental theory, Anthony appeared to be subject to the control of corporate America over his own success. Recall the number of times he did not own responsibility for his current situation. An outside "they" was significantly more important to

where he was than any actions he may have taken on his own. Further, even though he enthusiastically espoused a new approach to leadership that gets people to experience major mind shifts, I wonder if he did not substitute being subject to one socialized institution (corporate America) for another, albeit a smaller one that has been defined by the popular writers and philosophies to which Anthony is now attracted. I believe that Kelly and Anthony's eutopiagraphies open up the door for the possibility of true developmental coaching that might help them move from Stage 3 to Stage 4. Both seemed to want to get to that place of living by their own standards and both were struggling to identify their core values as a first step.

The eutopiagraphies of Donald, Jamie, and David offered interesting contrasts even though I have estimated them to be in the same stage. All reported a strong sense of self, separate from their corporate environments. Jamie and David added additional color to the discussion by separating themselves from their wives in terms of points of view regarding their upcoming moves. The real difference in the level of detail in these narratives came, I believe, from the differences in timeframes that were discussed. Jamie and David anticipated very near-term moves into the next phase of their lives, while for Donald any significant change was still five to seven years away. The saliency of the discussion caused by these timeframes resulted in the description of more content related to the upcoming moves anticipated by Jamie and David. My ability to differentiate between volume of content and differences in constructive-developmental levels is an important indicator that I stayed with the purpose of the interviews—finding structure within content.

One last comparison is worth noting in the differences between Ken and Carol. I estimated them to be working at a Stage 4 level of meaning-making. Carol's next move into her preferred-future self will likely not happen for another three to five years, while Ken was in the

midst of transitioning into a new part-time position following a reduction in force (rif). What is intriguing to me in Carol's eutopiagraphy was her angst about not being able to break through the boulder that she "saw" in her office doorway. She was frustrated with herself that she could not remove the boulder and said, "it must be something about me." Compare this to Ken, just rif'd from a position after 20 years in the same company, yet he was living in the spirit of his native "Aloha." In spite of the immediacy of his situation, he had a laid back approach to the next phase of his life. I wonder if what I saw in their eutopiagraphies may be a difference in personality styles that might be better understood through an MBTI preference assessment for instance. I will return to this idea in Chapter V during the discussion of implications for future research.

The stories, therefore, that the participants told about their preferred-future selves were different, particularly where there was a broader contrast between stages as in the discussion of 1) Lisa and Kelly, and 2) Lisa and Anthony.

With the understanding that mine is a very small exploratory piece of research, this research has identified differences in eutopiagraphies that were influenced by the participants' meaning-making abilities.

How powerful is the intersection between constructive-developmental levels and eutopiagraphy, if at all? I was able to identify structures and estimate stages for all participants, providing evidence that a powerful connection indeed does exist.

The final research question I will address in this section is, "What are the implications of eutopiagraphy within the context of developmental coaching?" Traditionally, a discussion of implications is included in Chapter V and I will do so at great length. However, I do not want to

lose the proximity of the eutopiagraphic analyses to the immediate implications that can be identified with respect to the particular research participants.

As noted throughout the discussion of the individual eutopiagraphies, and in the summary provided in Table 4.11, the participants identified real differences in the ways that they imagined using a coach to help them define and pursue their preferred-future selves. Kelly and Anthony, as noted above, represented to me the clearest opportunity for a developmental shift between Stages 3 and 4. They wanted help from someone to identify their core values before moving to the next step. Nothing in their potential uses of a coach involved pushback on closely held standards. Contrast this with the Stage 4 participants who, without exception, wanted a "trusted advisor" or someone to "provide a contrary opinion" or "challenge the game plan." At the far extreme, Lisa, whom I estimated to be at the latest stage of development in the small sample, was not likely to engage a specific coach, because everyone she meets has the potential to be her coach! In short, how I would show up as a coach, and my approach to each client, would have to follow a fundamental tenet of coaching—I would have to meet the client where he/she is. These participants were at different stages and wanted different things from a coach. My challenge would be to serve each appropriately. I will return to the implications for coaching in Chapter V.

The constructive-developmental lens is a tool aimed at potentially helping people make a developmental subject-object shift from one stage to the next. As previously mentioned, Lahey told me that "not all change is development, but all development requires change." (personal communication, August 2009) Where in these narratives were the participants talking more about change than development? Donald provided an interesting case in point.

Donald talked about a new opportunity on the near term horizon that would stretch him out of his comfort zone in sales into the world of strategic marketing. I might see this as an

opportunity to help him develop into a more Stage 5-ish meaning making—working with others to identify new ways of seeing possibilities for his company. Donald said, however, that what he needed was more skill in the functional area of marketing. Perhaps what he wanted was more about change and less about development. As a coach, I would have to be careful to confirm and stick with the client's agenda and to not impose my own purpose, based on the very narrow lens of constructive-developmental theory.

In Chapter V, I will offer a much deeper response to the different coaching approaches I can imagine in working with people at different stages of development. I will align this work with several key theories of leadership and change in an effort to consolidate this entire dissertation into implications for a developmental coaching practice targeted at the executive level.

Insights of Interest to Futures Studies

While not part of the formal set of research questions, I was asked by a member of the committee, Dr. Clem Bezold, a futurist, to look for patterns in the eutopiagraphies that might be of interest to the world of futures studies. In Chapter I, I explained that personal futures studies is about values-based alternatives for the future of individuals. By this definition, personal futures studies is contrasted to futures research, which is about the analysis of trends and predictions about the future. I believe the participants' eutopiagraphies are rich in their discussion of values.

All of the participants mentioned financial security as a value that was foundational to their preferred-future selves. As I mentioned in the early paragraphs of Chapter IV, half of the participants had been rif'd recently and all mentioned that economic instability could affect their positions in some way in the future. These were all people who have had successful and

financially rewarding careers. Changes in status (either voluntary or involuntary) and the added uncertainty about the sustainability of their savings in the current economic environment played significant roles in their visions of the future. I did not hear a fear of impending doom around finances, however, but optimism that the participants and their families would live through any financial crises. Most mentioned they were prepared to make lifestyle changes if needed.

Several participants (Lisa, Carol, and David) valued working with the next generation as important parts of their preferred-future selves. Several mentioned a need to learn new technologies as social media, which has been embraced by the younger generations, in order to keep up with the workforce requirements.

Others noted an experience of ageism or wondered if ageism would affect their futures. While these participants thought their life and career experiences were valuable and should be valued, they wondered aloud if they would continue to be valued by the workforce because of their age.

Five out of eight participants had aging parents. One used the popular term "sandwich generation" to describe having to consider both children and parents in their near term futures.

All of the rif'd participants had over 20 years of service with their respective companies, yet none of them voiced the question, "How can they do that to me?" Based on this very small sample, there is evidence that this small group of baby boomers has fully overcome any expectation of loyalty for service, a value that was a hallmark of the traditionalists' cohort. Or, is it possible that this is Stage 4 meaning-making where the corporative perspective to downsize is an understandable point of view and thus less emotion laden?

All of the participants worked in large, public, and global institutions. Several mentioned the feeling of not being able to make a difference at a personal level. If organizations continue to

grow, using more high tech and less high touch approaches—a trend that could be identified through futures research—what impact might that have on the participants' stated value re: making a difference? If that value cannot be served in large organizations, will there be an exodus of executives from the workforce as soon as the economy settles down? If, as futures studies assert, values compel action, such movement out of organizations seems very likely.

The timeframes that the participants identified were very near term with all being less than five to seven years. I do not believe this says anything about values, particularly, but I was extremely surprised at the narrow future window that was discussed. I'll return to this point in Chapter V.

Most significant to me of all the values-laden stories I heard was the consistent expression that corporate America is broken in the way it does business and treats people. Not one of the participants was enthusiastic about staying in the system. I imagine that if given a big lottery win, all of the participants who are still employed would be out the door tomorrow to escape the "rat race." Again, the implications of these expressions of discontent will be mentioned further in Chapter V.

Summary

I have found evidence that eutopiagraphies do indeed offer insights into a participant's meaning-making as defined through a constructive-developmental lens. I was able to see Stages 3 and 4, and elements of Stage 5 in these narratives through the identification of structures (values, view of others, responsibility, range of perspective, and control.) Further, I was able to identify differences in eutopiagraphies that appeared to be stage-related. The participants themselves provided implications of eutopiagraphy on the practice of developmental coaching by

their stage-specific intentions for the potential use of a coach. Finally, these stories tell me about the values that people hold dear—values that can provide insight to the field of futures studies.

Chapter V: Discussion and Conclusions

Drake (2008) cautioned that "evidence only becomes significant when put into action in response to a question, in support of an outcome or in the creation of relevant knowledge" (p. 23). My somewhat more esoteric way of saying this is: "learning without action, is like a bell without a clapper." In Chapter IV, I documented the evidence (learning) that eutopiagraphy, through the lens of constructive-developmental theory, can be used to understand one's meaning-making. What, then, are the broader implications of such evidence for the fields of adult development, futures studies, leadership and change, and executive coaching? In what ways might these different fields benefit the connections I have made among them? What is the "so what?" of my work? Can it ring any bells?

In the following sections I will discuss these topics:

- extensions to the use of the subject-object interview
- an extension to the use of Kolb's learning cycle
- an unshared imagination about the possibility of extended lifespan for baby boomers
- practical use of constructive-developmental theory in causal-layered analysis—a futures studies tool
- recap of evidence that the goals of futures studies are supported by eutopiagraphy
- a reprise and expansion of the connection between constructive-developmental and leadership theories
- the appropriateness of developmental coaching and eutopiagraphy in certain organizational contexts based upon the organization's purpose for coaching
- a consideration of the coach as an adaptive leader

- stage-specific suggestions for developmental coaching, and
- eutopiagraphy as an extension of autobiography.

These topics are intended to cover an array of implications that are spawned from this research. I will complete Chapter V with a discussion of limitations, recommendations for future research, and final conclusions.

Adult Development

I did not begin this work with an expectation of adding to constructive-development theory. I adapted the subject-object interview to a discussion that is commonly held between coaches and their clients about their preferred futures. Through this work I have extended the practice of the subject-object interview (SOI) in an important way, however.

The subject-object interview extended.

In early discussions with Dr. Lisa Lahey, my mentor in the study of constructive-developmental theory and co-author of the SOI protocol (Lahey et al., 1988), she wondered why I was trying to connect narratives of preferred-future selves to constructive-developmental theory. The linkage, as I described it to her, was that coaches regularly ask their clients about their preferred futures selves to get a sense of their "to do" list and to help define the clients' goals for coaching. Since these discussions already occur, why not use them to serve another purpose—to provide evidence of constructive-developmental structure and ultimately, if it is the clients' agenda, to help them determine who they are "to be?" This research provides evidence that such a purpose can be effectively served.

There is also a nuance about the use of the adapted SOI that is worth noting. Lahey et al. (1988) wrote, "If your research is explicitly investigating how people make sense of their

experience in a particular context or environment (e.g. work) then you will need to tell your interviewees explicitly to think about a time when she or he experienced e.g., anger, e.g., at work.[sic]" (p. 293). Recall that in the original SOI protocol, the purpose of using priming cards was to fill up the participants with past experiences prior to the interview, so that those experiences are available to the participant as a point of reference during the interview. This dissertation work is about a particular context—a preferred future. Presumably, no one has yet had an experience in the future. What I have found is evidence that imaging a future experience is useful, too, in preparing participants for the interview and can yield evidence of constructive-developmental structure. As I mentioned in an earlier section, Dr. Lahey thought that this element of my work would be "appropriate and intriguingly novel."

Kolb's experiential learning model extended.

The possibilities of imaging an experience, rather than relying on past experiences, is also interesting in the context of Kolb's (1983) model of experiential learning. He defined four stages of learning: concrete experience, reflective observation, abstract conceptualization, and active experimentation. Several participants said that they learned something about themselves through the eutopiagraphies. The experience of imagining an experience and tapping into the feeling of that imagined experience through priming words such as success and risk has led to learning for the participants. This imagined experience, tied to feelings, is different from the actual experience of Kolb's (1983) model and may, therefore, extend it.

I think of this possible extension of Kolb's (1983) model to be diamonds found while on the search for gold.

Unimagined possibilities – a disappointment.

When I was first attracted to the theories of adult development and the reality of extended life spans, I realized that there is a possibility for growth beyond the stages that have already been defined by theoreticians such as Kegan (1982, 1994), Loevinger (1976), and Cook-Greuter (1999). As quoted earlier, Kegan (1998) wondered, "What might the individual generate given an additional generation to live?" When I read these words, they fueled my conviction that we can create something significant in the additional generation we have been given. Even as I close in on the final pages of this dissertation—a resting point in the process of lifelong learning—I am still energized by this thought. It makes me want to get up in the morning and make a difference. I want to be the example of continuing adult development in this generation of time that has been wedged into my middle years.

To the extent that there is any disappointment in the outcomes of this research it is this: not one of the participants seemed to notice the possibilities that an additional generation in their lives might engender. I was cautious not to plant the seed and divert the participants' thinking to my own hidden agenda. The idea of living 15-20 years more than their parents' generation never once came up. My rationalization is that, perhaps, many of us are "subject to" this extra time. Like fish in water, we do not know we are in it. It just is. If more of us could become aware of this gift of time, and imagine new and different ways to optimize it, what might we learn? What might we give back? Indeed, how might we develop?

Futures Studies

When I first met Dr. Bezold, a dissertation committee member who also served as a mentor for the investigation into futures studies, I told him that I was intrigued by the possibility that people at different levels of meaning-making may envision the future differently. In his

work as a futurist, he noted that he had seen people with different Myers-Briggs Type Indicator (MBTI) preferences engage differently in futures research and future studies. For some, the process held no appeal while others embraced it enthusiastically. A quick review of MBTI preferences may be helpful to understand why these differences are apparent.

Using the MBTI lens, the differences could stem from any of the dichotomies of Jung's version of psychological types. A preference for *Extroversion* may be assumed regarding a participant who wants to jump into the team work, while those with a preference for *Introversion* need quiet time to process their thoughts. Those with a preference for *Sensing* might look for very logical data that is available through their senses, while those whose preference is *Intuition* might be connecting dots that do not appear to be so logical on the surface. Those with a preference for *Thinking* are likely to make decisions based upon facts, while values will be considered more often by those with a preference for *Feeling*. Those with a preference for *Judging* would likely be very direct in their communication style and hold the team to a schedule. Those with a preference for *Perceiving*, on the other hand, may want to try out a lot of different paths with the group and may find it hard to land on one final outcome. (Briggs-Myers, McCaulley, Quenk, and Hammer, 2009).

The work in this research has provided evidence that constructive-developmental level, which is not correlated to MBTI preference (Kegan, 1994), may also be a variable in the ways people think and make decisions about the future. Consider, for instance, the following future scenario.

Suppose that I am a futurist coach and my goal is to help others develop values-based alternatives for the use of social media such as Facebook. Assume as well that I am working with three groups of people representing stakeholders of the phenomenon of social media—

teens, parents, and law enforcement officials. Age is not a predictor of stage development (Kegan, 1982), yet, assume for my purposes here that the teens are at Stage 3. Parents are at Stage 4. And, law enforcers are at Stage 5.

For purposes of this facilitation, I have decided to use causal-layered analysis—a futurist's tool that expands participants' worldviews and can result in new recommendations for future action and policy (Inayatullah, 2008).

Causal-layered analysis is a four step process as defined by Inayatullah. The steps applied to the social media trend are:

1. Brainstorm causes for the increased use of social media. All ideas are posted without being edited.
2. Identify future headlines that are likely to occur if the trend continues. Again, all ideas are posted without editing.
3. Role transfer. I ask the teens (Stage 3s) to sit in the chairs of the law enforcers – both literally and figuratively. Parents (Stage 4s) sit in the chairs of teens. Law enforcers (Stage 5s) sit in the chairs of parents. There is no order to the role transfer other than each participant must sit in a chair other than his/her initial group. In their new groups, I ask the participants to respond to the following questions from the standpoint of the roles they now embody:
    - What do the law enforcers (or teens, or parents) care about?
    - What do they (law enforcers) want others (the teens) to know about them?

    After several minutes of discussion within the groups, I ask for a summary of the groups' discussions.

4. Finally, I ask the question, "Given what we have uncovered today, what changes in policy or procedure might be recommended regarding the use of social media?"

How might each of the groups, representing different stages of development, respond through the various steps? Table 5.1 provides a possible outcome of such a discussion using causal-layered analysis.

Table 5.1
Causal-layered analysis: Potential differences mediated by constructive-developmental stage.

Causal layer analysis regarding the increasing use of social media	**Teens Representing Stage 3 – Socialized Mind**	**Parents Representing Stage 4 – Self –Authoring Mind**	**Law Enforcers Representing Stage 5– Self – Transforming Mind**
Step 1 – causes	"It's there. Everybody's doing it. If I do not have a Facebook account I am so last year!"	"This is a quick place for people to put their own ideas out there in the world. I have great ideas that are really different and important. I think others can learn from me."	"People want a place to share ideas, test them out with others, and maybe come up with something new, in these really complex times."
Step 2 – future headlines	"100% of teens have Facebook accounts."	"Facebook increases the potential length of posts so that ideas can be more fully communicated."	"Laws regulating Facebook modified to account for all stakeholder positions."

Causal layer analysis regarding the increasing use of social media	**Teens Representing Stage 3 – Socialized Mind**	**Parents Representing Stage 4 – Self –Authoring Mind**	**Law Enforcers Representing Stage 5– Self – Transforming Mind**
Step 3 – worldview	"Law enforcers are only out to make our lives difficult. They have no clue about us."	"I can understand why teens like to use Facebook. It's an easy and quick way to communicate with their friends. However, I do not like the casual use of profanity and constant references to sex. These are inappropriate in a public forum and against my own values. Right?"	"I can really understand a parent's desire for a safe social meeting place for their kids. I wonder what the kids can teach us through Facebook? And I think we could all work together to have Facebook be valued by all, or perhaps find a better way, altogether."
Step 4 – policies & procedure recommendations	"I can't imagine changing anything. This works for us. Don't mess it up. But if my friends are ok with any changes, I'm sure I'll be fine with them, too."	"Laws must be written and enforced to eliminate profanity from social media."	"We may indeed need new laws, but let's first try to understand each other's point of view. This social media phenomenon has untapped potential. Let's find ways to make it work for everyone."

In this simple example, I have demonstrated the differences in several constructive-developmental structures (values, view of others, and range of perspectives) that might be evidenced in a discussion with various stakeholders around the futures topic of social media. In a real discussion, the level of detail would be significantly richer. As a futurist coach, I could use this information to have better insight into the stakeholder positions of each group and I can

imagine a developmental shift that could occur. By putting assumptions and beliefs out on the table for all to see, individuals may be able to identify their own blind spots (things they are subject to, in constructive-developmental terms), develop a broader worldview, and have more options for the future as a result.

Causal-layered analysis is one of many tools employed by futurists. I imagine some exciting research that could be done to test the example I have just provided, as well as taking constructive-developmental theory to other futurist tools.

In Chapter IV, I discussed several closely held values that were reported by the participants and suggested that these might be interesting to the practice of futures research and futures studies. Referring back to Chapter I, I will quickly connect the dots between the thoughts of several futurists and the findings in this research. Recall several of the reasons that people do futures work:

- "to facilitate personal and social evolution" (Slaughter, 1998, p. 530);
- to identify alternatives and choices about the future so we can influence the trajectory of current trends (Hideg, 2002; May,1997);
- to make better decisions in the present (Razak, 2000);
- "Imagining possible futures helps us break out of the mental boxes in which our thoughts our confined" (Lombardo, 2006, p. 45); and
- "We should not so much be pushed by the past, as pulled by the future" (personal communication; Seligman, August, 2009).

I cannot be certain that any of the participants will experience a personal evolution, or change their own trajectory into the future, or even make better decisions in the present as a

result of a unitary experience of eutopiagraphy. This is the longitudinal research for another time, to which I will return in the discussion of recommendations for future research. However, I can be certain that I have identified a number of mental boxes, tied to the ways the participants make meaning. These mental boxes included a need for approval and direction from outside sources (in Kelly's eutopiagraphy, for instance). Or, the box may have been a sense of being held by one's own closely held standards and, thus, being unable to break through to how those standards might be honored in the future (as in Carol's eutopiagraphy).

I can also see how stage-related differences in eutopiagraphy may make it harder for some to be pulled by the future, rather than pushed by the past. Giving control for one's actions over to an outside authority, or not seeing the possibilities beyond one's own ideology would likely complicate the process of defining a future vision that one is compelled to walk toward.

In Chapter II, I noted that there is very scant literature about the connection between individuals and the future. Wheelwright (2008, 2009) completed a very structured process of working through life stages. He did not approach his work from the standpoint or intention of coaching. I believe the concepts of life stages and age related events may have to be rewritten when the baby boomers get through the next fifteen or twenty years. My participants were not aware of a being part of a new generation of time, but they will likely experience it. Perhaps it will only be in retrospect that they will see significant changes to traditional life stages and age related events. I hope they will have had the opportunity to be more than "subject to" these changes.

Dian (2009) asked, "is our human ability to plan and visualize the same for everyone, or are there degrees to which we differ?" (p. 60). I have asked a similar question, using the

constructive-developmental lens, and have found that, indeed, there are differences in preferred-future selves, depending upon one's stage of development.

In summary, I have added to the literature about how and what individuals' imagine about their preferred futures. I have added a new epistemology, eutopiagraphy, to the mix of tools that can be used. And, I have demonstrated, as in the discussion of causal-layered analysis, that existing tools can be embellished with the added color of constructive-developmental theory.

Leadership, Change, and Executive Coaching

This dissertation has been done in the context of a Ph.D. program on Leadership and Change. In this section I will respond to two questions:

- How are constructive-developmental theory and the study/practice of leadership and change connected?
- How do these theories fit into the practice of executive/leadership coaching, specifically within the context of a eutopiagraphic discussion?

Leadership, change, and constructive-developmental theory

Constructive-developmental theory is, at its heart, a theory about becoming open to new beliefs, attitudes, and behaviors through a progression of subject-object shifts. With each shift, one's worldview is enlarged through a spiraling pattern of differentiation and integration as discussed in Chapter II.

Kegan (1994) wrote that the growing complexities of our world can cause us to be in over our heads and unable to effectively adapt and thrive through the challenge of these complexities. In order to adapt, Kegan posited that we need more than information; we need transformation to a new mindset. Movement through the stages of constructive-developmental theory is adaptive work.

Transformation, adaptive challenge, and recurring patterns are readily identifiable themes in the leadership and change literature. Burns (1978) distinguished between transformational leadership and transactional leadership. Transformational leadership is about sustainable change that occurs only when leaders and followers adopt new beliefs, attitudes, and behaviors. Transactional leadership, on the other hand, is getting work done through the use of known solutions to known problems.

Applying known solutions to known problems represents Type I and II challenges, as described by Heifetz (1994) in his work on adaptive challenges. In a Type I challenge, followers know the solution to a known problem and can execute with relatively little leader intervention. A Type II challenge occurs when followers look to a leader for help in identifying a solution that is known only to the leader. Type I and Type II challenges are reminiscent of Burn's transactional leadership.

Heifetz' (1994) Type III challenge is one in which both the leader and follower must learn something (a new belief, attitude, or behavior) in order to realize that a new problem has emerged that requires a new solution. I believe this is the type of adaptive work that Kegan (1994) envisioned as necessary to overcome the experience of being in over our heads.

Heifetz (1994) also identified challenges to adaptive capacity including conflict avoidance and an autocratic style. The overarching danger to leaders, according to Heifetz, is loss. They have to give up something in order to move themselves and their followers through an adaptive challenge. The parallels to constructive-developmental theory are clear to me. Recall that conflict avoidance and the desire for mutuality are indicators of Stage 3 meaning-making. Movement from the Stage 3 socialized mindset to the Stage 4 self-authored mindset is marked by the emergence of a personally defined ideology and standards. There is loss experienced with

this movement (for instance, identity with a readily accessible social norm.) The self-authored mindset offers freedom from that norm and the capacity to be more in control and responsible for one's own beliefs, attitudes, and behaviors. The dual edged sword of the Stage 4 mindset, however, can be a tendency to be so idealistic as to be autocratic.

Heifetz (1994) wrote that for adaptive change to be sustained, the goal of the work must be internalized. By this he meant that the challenge must be meaningful at individual levels. Doing something because a leader requires it stands on shakier ground in terms of sustainability than doing something because one has understood and made sense of the change at a very deep level. Overcoming resistance to adaptive challenges and sustaining the change would seem to require at least a Stage 4 mindset.

Bass (1990) compiled over 1000 pages of theory and research and concluded, "there is no overall comprehensive theory of the personality of leaders. Nonetheless, evidence abounds about particular patterns of traits that are of consequence to leadership, such as determination, persistence, self-confidence, and ego strength" (p. 87). I do not see that these personality traits are particularly correlated to any constructive-developmental stages. Yukl (2006), however, identified four key competencies of leadership that do seem germane. They are: emotional intelligence, social intelligence, systems thinking, and ability to learn. Development through Kegan's (1982, 1994) stages requires increasing awareness and reflection regarding the changing nature of an individual's interaction with the outside world. I would suggest that someone who is meaning making at a Stage 5 self-transformed level would exhibit high levels of each of the competencies Yukl has defined.

Wheatley (2006), in writing about the chaos and complexity of our world, wrote what I believe is a call for more Stage 5 meaning makers. She said,

> To live in a quantum world, to weave here and there with ease and grace, we need to change what we do. We need fewer descriptions of tasks and instead learn [sic] how to facilitate process. We need to become savvy about how to foster relationships, how to nurture growth and development. All of us need to become better at listening, conversing, respecting one another's uniqueness, because these are essential for strong relationships. The era of the rugged individual has been replaced by the era of the team player. (p. 39)

A quick review of the Stage 5 characteristics, presented in Table 2.1, mirrors Wheatley's (2006) call for process over outcome thinking, creation of new perspectives, openness to the views of others, and the responsibility to work with others to find a way that has not yet been considered. In constructive-developmental terms she is talking about a move from Stage 4 differentiation to Stage 5 integration.

Through the discussion above, I have made substantial connections between theories of constructive-development and leadership. Each of the authors noted has identified, in his or her own way, that ours is an era of adaptive challenge that is going to require different mindsets if we are to thrive. The mindset needed is at least Stage 4 and more likely Stage 5.

Before turning to the implications of this dissertation for executive and leadership coaching, I will draw upon one final connection from among the leadership luminaries. Bennis (2003) wrote, "I am surer now than ever that the process of becoming a leader is the same process that makes a person a healthy, fully integrated human being. And it is the same process that allows one to age successfully" (p. xxiv). At the heart of this process is a guiding purpose, freely expressed by leaders who know their own strengths and weaknesses and how to work with others to achieve it. And, he cautioned, "Authentic leaders embrace those who speak valuable truths, however hard they are to hear…Good ideas are only made stronger by being challenged" (p. xviii). Isn't this the Stage 5 meaning-maker who seeks the advice and counsel of others to learn and create something more than they may create on their own?

Executive coaching.

This dissertation is entitled, "Eutopiagraphies: Narratives of preferred-future selves with implications for developmental coaching." When searching for the title, I knew two things. First, this work would be important to me because I am a coach and I commonly ask executive clients to tell me about their preferred-future selves. Secondly, based upon exposure to the leadership literature as discussed above, coupled with my own beliefs, I knew we exist in times that require new thresholds of adaptive capacity. In order to thrive, we need to develop new ways of thinking about ourselves and our world. And, we may just need developmental coaching.

As a coach, I cannot impose my own beliefs and values regarding a need for development into higher orders of consciousness. The agenda for such development must be set by the client. Razak (2000) said, "How inappropriate it is to encompassingly apply our own etic system of values and beliefs to someone else's future, and expect them to willingly participate in the way of life we would create for them" (p. 721). In the final question that I asked each participant, all but one could imagine the specific use of a coach to help them identify their own values (as in Kelly's and Anthony's case) or to act as a trusted advisor willing to pushback and hold them accountable (as with Donald, David, Jaime, and Ken). Carol did not want a coach to help her with identification of values. Rather, she imagined wanting help to find opportunities that matched those values. Lisa saw the world as her coach. With the permission of clients, openings for developmental coaching might emerge and could be focused on creating a larger world view, more involvement with others regarding a creation of something bigger than themselves, and attention to the process of continual learning rather than getting to a particular outcome.

Matching purpose and process.

Discussions about leaders and leadership often occur within the context of organizations. The role of the organization cannot be overlooked if indeed this is the context of coaching. Brockbank (2008) identified four types of organizational coaching: functional, engagement, evolutionary, and revolutionary. I have included a summary of these types in Appendix M. According to Brockbank, three types have applicability within organizational coaching. Underlying each type is the purpose of coaching.

The purpose may be to "fix" the client when the client is underachieving (as in functional coaching). Or, as in engagement coaching (a manipulative form of functional coaching) the purpose is to get a non-conforming client to maintain the status quo. In evolutionary coaching, the "taken-for-granteds," the cultural norms, and perhaps even those things to which we are subject, can be challenged.

I have mentioned these different types of coaching and their respective purposes to make a further point about who owns the agenda for coaching. If an organization is the paying customer for an employee who is a client, I must be aware of the organizational agenda and acceptable outcomes within limited timeframes. If the organization wants the employee to conform or "get fixed" according to some basic set of organizational metrics, it might be more effective, in the short-run, to work on goal specific behaviors rather than more sustainable, and more time consuming shifts in consciousness. Clarity about purpose, process, and timeframes, agreed upon by all stakeholders, is a critical success factor in executive coaching especially when the paying customer is someone other than the client. I would add that clarity is particularly important when the client needs to be "fixed." Failure to "be fixed" or "fix" may result in termination of both client and coach.

This research has not been done within an organizational context. The participants, all of whom served or are serving in executive positions in public companies, were asked to talk about their preferred-future selves. In each instance I was able to discern constructive-developmental structures and estimate stage of development. I believe similar work could be done within an organizational context, perhaps even with teams of executives. Might differences in structure and stage, come out of a discussion about the collective preferred-future self, perhaps more commonly known as the corporate vision?

Coaches as adaptive leaders.

A final, yet significant implication, for developmental coaching concerns the role of the coach. Heifetz (1994) identified five strategic principles of adaptive leadership. These principles are:

- Adaptive leaders identify the challenge.
- They give the work back to the people.
- They provide a safe container for the work.
- They recognize the sources of informal power.
- They have an ability to go to the balcony.

Coaching is a much more collaborative relationship than may be seen in these principles yet there is value in considering the principles, nonetheless.

Clients often use coaches because they feel stuck in some way. They know something is standing in the way of who they want to be or what they want to do but they just can't put their finger on it. Coaches help clients identify the challenge. This identification often comes in the flash of a great "a-ha" moment often spurred by a question posed by the coach.

Coaches also know that they are only facilitators in the process of change and development. “The client does the work” is a common mantra among coaches and is mumbled quietly, by the way, when the coach so wants to solve the problem for a client and knows this is not appropriate or in the best interest of the client.

Coaching is all about having a safe container—a confidential place shared only by client and coach. The coach’s job is one of support and challenge, however. The coach is not there simply to be a cheerleader. In Heifetz’ terms, the coach needs to manage the stress appropriately.

In the context of developmental coaching, where is the informal power? I would suggest that such power is in the uncovered elements of mindset that either shackle an individual to an order of consciousness that no longer works, or lure him/her to a new order where an adaptive challenge can be overcome. Developmental coaching, with its emphasis on expanding worldviews through self-authorship to self-transformation, is about exposing the power of mental boxes and making that power work for the client in new ways.

Finally, coaches spend most of their time on the balcony with their clients. From this vantage point, above the messiness of life, the coach can help the client see himself/herself in action, and provide the opportunity for reflection. The client might ask, “Is that the person I want to be? Are those the things I want to be doing? Am I being true to myself and honoring my values through my actions?”

I would not propose to clients that I am a leader of their developmental processes. However, given the discussion above, I have demonstrated how a coach can serve with leadership capacities and principles through the adaptive challenges that his/her clients face. As a coach who is full of questions, I take heart in a final note from Heifetz (1994) that “one may lead

perhaps with no more than a question in hand" (p. 276). The question I posed to the research participants was, "What do you imagine your preferred future to be?" In the course of a relatively brief interaction within the research interview, this question did provide fertile ground for learning and development, and the opportunity for the researcher-coach to be on the balcony, listening for challenges and the sources of informal power.

Implications for developmental coaching.

Having confirmed the usefulness of eutopiagraphy for estimating a coaching client's constructive-developmental stage, being cautious to match purpose with process, and always being aware of my role as coach, what are the practical implications for the use of eutopiagraphy within a coaching relationship? Having estimated a client's stage, how might awareness affect the purpose and process of coaching?

As described in Chapter IV, the first clue about how to work with clients at different stages can come from the participants themselves. Where they imagined using a coach, they identified specific things they would want.

Stage 3 meaning makers want direction and guidance. With these clients, I would use assessments such as the MBTI and StrengthsFinder, or the online surveys made available by the Positive Psychology team at the University of Pennsylvania, to help the client learn more about his/her own personality styles, strengths, and values. I would hope that the client might get separation from the socialized mind by identifying possibilities for the emergent self-authoring mind through these assessments. With more defined ideas about him or herself, I would ask the client to look at his/her espoused values vs. values in action (Argyris & Schön, 1974, 1978). Where is he/she doing things that do not comport with his/her beliefs? Where is there tension between what he/she believes or does and what the organization (or social norm) believes or

does? Paraphrasing Lahey et al. (1988), where there is challenge there is the opportunity for growth.

Eutopiagraphy provides an important opportunity to learn about clients beyond the traditional assessments, a few of which were noted above. Assessments largely provide insight based upon where a client has been and where he/she is today. Eutopiagraphy provides the chance to learn about a client based upon where he or she is going. This nuance is very much aligned with the forward thinking approach of coaches like me.

The goal to increase self-awareness at Stage 3 might benefit from exercises that are influenced by Csikszentmihalyi's (1997) concept of flow. Where does the person find real happiness or contentment? Where do they feel particularly alive and energized? These moments provide hints regarding most closely held values.

Finally, as Torbert (2004) suggested, I might help this client with two of Torbert's parts of speech—framing and advocating. Where might the client find opportunities to frame and advocate for his/her own point of view rather than defer to conventional wisdom?

Those at Stage 4 want to be challenged and supported. A client at this stage may be so deeply invested in his/her own self-authored self that there is no room for the perspective of others. By their position on the stage continuum, clients making-meaning at Stage 4, are at a point of differentiation. I would want to find ways to open them up to another growth spurt toward integration. I would offer Argyris's (1990) ladder of inference as a way to allow space for more assumptions and beliefs to be put on the table, especially when there is conflict. Reflection on listening skills would be helpful. Where might the client use the remaining two of Torbert's parts of speech (illustrating and guiding) rather than autocratically giving direction?

And, where might the client get more and different kinds of feedback, such as Torbert's (2004) double and triple loop feedback?

Development toward Stage 5 would include a wider worldview and a concern with systems, and multiple players, with lots of divergent ideas. Where might the Stage 4 client find opportunities to participate in such systems with a goal to broaden his/her own perspective? Participation in mastermind groups might work, for instance.

Stage 5 clients may want a place to verbalize their new thoughts about new possibilities and may want a coach who can listen and add to the discussion with his/her own new thoughts. Clients at this stage may be very intrigued by Wheatley's (2006) new science, or Olson and Eoyang's (2001) discussion of complexity science. Using these theories as a premise for reflection, I would urge the client to be looking for recurring patterns and small, but possibly very important changes going on around or within. While worldviews are larger at this stage, being aware of parts of that worldview can be equally important.

Since I believe I am a Stage 4 meaning-maker, I would have to wonder if I am up to the task of working with someone at Stage 5. While I have knowledge of what Kegan (1982, 1994) meant by Stage 5 and have been able to identify Stage 5 elements in several eutopiagraphies, I am not certain that I can be effective with a fully consolidated Stage 5 client. I might refer such a client to someone trained as an Integral coach with an awareness of stages beyond Kegan's model.

For clients at all stages, I would work with them to have stage appropriate plans for evaluating the effectiveness of their coaching goals. For those at Stage 3, the outcomes may be very concrete and easily assessed. Those at Stage 4 and 5 may have to qualify changes in relationships or personal style.

Finally, where appropriate, I would return to the muses for this work, Kegan and Lahey (2009), and use their four-column commitment model to overcome immunity to change. The model helps clients identify the assumptions that underlie their competing commitments, and provides a way to test those assumptions in safe ways to engender larger worldviews and larger possibilities for the future.

The journey of working as a developmental coach will be a lifelong one for me. I know I will add to this list of stage-specific approaches as I grow in experience and awareness through the coaching relationships I am honored to have.

Coaching curriculum implications.

As mentioned in Chapter I, one of the purposes of this dissertation has been to add to the research on coaching tools using theories that have been developed in non-coaching milieus. The coaching profession has a growing number of scholar-practitioners who feel as passionately as I do that we need this kind of academic rigor and knowledge to serve our clients effectively. With that said, ours is a loose confederation of practitioners, some with no more than a dream and a business card identifying themselves as coaches. I suggest that doing the work of eutopiagraphy, within the context of constructive-developmental theory, should not be attempted without a solid understanding of the theory. Such knowledge can be accumulated through extensive reading, mastermind groups, coursework, and participation in developmental assessments such as the subject-object interview or the MAP. If development, as it is envisioned in this research, is a coaching goal, the coach must have substantial grounding in the theory.

The peer reviewer has indicated (Appendix L) that my presentation of adult developmental theory, in Chapter II, and the application of that theory to an adapted version of a

standard coaching practice have added to his understanding. He has encouraged me to prepare training materials based upon this work, specifically for the use of coaches.

Eutopiagraphy, as an extension of the subject-object interview protocol, is a powerful addition to coach training and provides one way for a coach to learn about a client's stage of adult development. Training coaches to listen from a researcher's point of view will add to a coach's skill of reflective listening. As an example, I experienced the difference between researcher and coach in a very powerful way. In the moment of hearing the participant's story—suspending all intention of looking for ways to coach the participant—I found myself drawn into the narrative and fully engaged. I experienced my own sense of Csikszentmihalyi's (1997) flow, challenged just beyond my current abilities, where time passed unnoticed, yet something wonderful was created.

Having experienced doctoral level education in the fields of leadership and change, I have become an evangelist for the importance of combining practice and theory. The curriculum I will design for coaches will include the seminal authors behind this research under the master umbrella of complexity theory, all of which will be presented in a soon-to-be-written book.

Eutopiagraphy as an Extension of Autobiography

Returning briefly to Figure 3.1 and the selected issues of autobiography as a research tool, what can be said about eutopiagraphy as an extension of this form of research?

From the perspective of genre, eutopiagraphies are a rich combination of history, philosophy, and psychology. While participants focused on their preferred-future selves, these were not disembodied from personal histories. Individual philosophies that were tied to personal values emerged. And, given the constructive-developmental theoretical framework, certainly

these narratives revealed the psychology—the nature of meaning-making—that was at work for each participant.

The nature of the audience certainly was private at the time of the interview, yet each participant was aware that his/her story would be included and analyzed in this dissertation. Of all the motivations to be served, clearly eutopiagraphy was an opportunity for reflection. As mentioned earlier, the opportunity to think and talk about a preferred-future self was welcomed by the participants. The participants positioned themselves within families, organizations, and largely social structures and their preferred-future selves were mediated by their anticipated place in these various systems.

As a eutopiagraphic researcher, the content of what was said what less important than the meaning attached to that content by the participants and subsequently analyzed with respect to constructive-developmental theory. My work has been post-modern, as I was not looking for proof but evidence of constructive-developmental structures and stages in the individual stories of the participants. And it has been reflexive work, as throughout, I have wondered, "So what? What does this all mean for my work as a coach and as an adult on my own journey of development? How can I apply what I am learning?"

With this quick review I have provided evidence that stories about preferred-future selves can extend autobiography. I look forward to using the methodology with coaching clients in on-going relationships where I will be able to assess the ability of eutopiagraphy to compel action toward the realization of a preferred-future self.

Limitations

This research has been limited in large part because of its intended exploratory nature. I tested and found evidence that a new epistemological method, eutopiagraphy, can help determine

constructive-developmental structures and the subsequent analysis of developmental stage. I have identified several limitations of the research and will present those here.

Participant demographics

The participants reflected a very small segment of the potential executive coaching population. I intentionally restricted the sample to those of baby boomer age who had served, or are currently serving, in executive positions in publically traded companies. Because of the convenience nature of the sample, the participants did not represent the diversity that would be found in a random sample, or one that was intentionally planned to include demographic identification beyond age.

Further, the participants were volunteers who knew that the research was about preferred-future selves. The outcomes that I describe in Chapter IV may well have been affected by the inclination of the participants to talk about their futures. Further, perhaps for these participants the timing of the interviews was serendipitous with their own musings about their futures. This may be especially true for those participants who had recently lost their jobs through a reduction in force.

Has this research been unintentionally limited as to transferability by the fact that four of the eight participants had been recently rif'd? I did not know that any of the individuals had been rif'd until they began to tell me their stories. The fact of losing one's job is content in the same way that a participant's desire to open an animal sanctuary is content. The subject-object interview is about finding meaning behind that content. I could have used the past experience of being rif'd as a way to understand the meaning that participants attached to that experience. I suspect that the experience of being rif'd would have been fertile ground to find meaning. And I can imagine that stage differences would come through in such a discussion. My work, however,

has been about "to-be-lived" experiences, such as opening an animal sanctuary and finding meaning in those experiences. The relevant difference of being rif'd, in terms of this research, is the immediacy of the time horizon considered by the participants. Had I found more or different kinds of structure in a shorter horizon versus a longer one, I might be more concerned about the transferability of my work. As I was able to find structure and estimate stage in all of the eutopiagraphies, all of which were in a five to seven year horizon, I am not inclined to see the content of being "rif'd" as a particular limitation. I will make a suggestion about future research in a moment, however.

Long-term implications

By design, the eutopiagraphies were not gathered within the context of an existing coaching relationship. I did not have a personal or coaching relationship with any of the participants, nor am I currently involved in any post-eutopiagraphic coaching interaction with them. The participants reported that they enjoyed, and found useful, writing some notes regarding the priming words, thinking about their futures, and then talking about them. Several said they would talk with their significant others about the experience and any insights they had gotten. Without follow-up, I have no way to know the long-term implications of this research on the individual participants.

Had the eutopiagraphies been secured within the context of an ongoing coaching relationship, I would expect to use the participants' stories and my analysis of them to help design the purpose and nature of the relationship. Over the course of the coaching relationship, I would gain a better understanding of the impact and usefulness of the eutopiagraphic exercise.

While I cannot know the long-term implications for the participants, I am certain that there are long-term implications for me as a coach and potential researcher in the future. Having

had this experience, I cannot imagine a discussion with a client in the future that is not in some way affected by my knowledge of constructive-developmental theory and the reflective listening skills I have practiced through this research. I will have to be cautious that the constructive-developmental tool does not become the only one I use and I will have to use it only when appropriate.

Limitations inherent in theoretical framework choices

Eutopiagraphy may be affected by many of the same concerns that were summarized in Chapter III regarding autobiography. For instance, I cannot be certain that the participants' stories were not contrived in some way that invalidated my assessment of their levels of meaning-making. Such a concern might be obviated when eutopiagpraphy is used within the context of a longer term coaching relationship where trust and rapport have deeper roots.

I found that the "preferred-future self" elicits thinking about other archetypes. The participants told me about their preferred selves as well as their "feared selves" or "worst-case selves" in some cases. The primes I used brought out stories about many different selves. The tension among those selves, however, was often indicative of a constructive-developmental structure. Eutopiagraphy may be a useful tool for assessing constructive-developmental theory precisely because it does evoke those tensions among imagined selves.

The constructive-developmental framework is one of many theories that can be applied to coaching as I outlined in Chapter I, and I very consciously limited myself to this framework in the analysis of eutopiagraphies. I cannot know what I may have missed about a participant's preferred-future self by not using other theories or frameworks. For example, as I was completing the research I became certified as an MBTI assessor. I can see how the MBTI tool can be incredibly powerful as its goal is to improve self-management through deeper self-

awareness. Because the tool is so widely accessible it may be a very effective way for the client to identify his/her blind spots on the growing edge and therefore have more behavioral options. Where might one's MBTI preferences affect the way he/she envisions the future?

I can imagine only rare instances where a client would be so intrigued by constructive-developmental theory that they would dive into it as I have – essentially living and breathing it for the past year. I heard and analyzed rich eutopiagraphies without having to train the participants in the theory. The MBTI process, one the other hand, is structured to provide many of the nuances of theory within the process of a client's self-validation of his/her preferences. How does knowledge of theory affect the process? This is an interesting question for future research.

I intended this research to be valuable because it helps to fill a gap that exists in the coaching world—the lack of evidence-based, academically rigorous research based upon theory. Others are doing similar work and will no doubt have similar passions for the theories they have chosen and the evidence they find. The caution for all us is to be aware that there is so much more that we do not know we do not know.

Recommendations for Future Research

Each of the limitations noted above can be turned into recommendations for future research regarding the use of eutopiagraphy as a method for eliciting structure and evidence of meaning-making. For instance, a more diverse population could be chosen so that there is a greater likelihood of eliciting a broader range of developmental stages through eutopiagraphy.

With the exception of Ken, none of the participants identified themselves by their cultural heritage. Ken, of Hawaiian descent, closely identified himself with his heritage. If eutopiagraphies were gathered from intentionally diverse participants, what differences might be

found? And what difference does it make if the researcher shares the participant's culture or is totally unaware of it? Of course, any researcher should be cautious about the possible impact of cultural stereotypes on the interpretation of findings. I could have easily ascribed Ken's cultural affiliation to a Stage 3 socialized mind yet believe he gave me enough insight beyond the cultural association to make a Stage 4 assessment.

Two of the participants have served as coaches as part of their larger organization development roles. They became eligible for the research because of those roles and their ages. Had they been only coaches in non-executive roles, I would have excluded them. I do not know the extent of their knowledge regarding constructive-developmental theory. Future research might be done, using participants known to have been trained in the theory. How might that training affect the content of the eutopiagraphy and estimate of stage?

Research about coaches researching coaches could also be interesting. For instance, if I pursue the suggestion that I turn this work into training material for coaches, research could be done to determine the effectiveness of the training and the long-term use of the subject matter within the trainees' coaching relationships.

Research could be done within the context of an actual coaching relationship where the research question is concerned with the impact of knowing a client's meaning-making stage on the effectiveness of a client attaining a preferred-future self in a longitudinal study.

Research could be done that employs eutopiagraphy as a group or team exercise where the preferred-future selves are embedded in an organizational vision. Assuming differences in meaning-making are found among different participants, analysis of the interaction among differently staged meaning-makers could be intriguing.

Other research could test the differences in using eutopiagraphy over the phone, or in-person, or perhaps, even via Skype-like technology. I have a small number of practice interviews that were captured over the phone and have not been used for this research. I did not intend to compare and contrast these with the in-person interviews. At a very surface level, however, only one thing comes to mind. I am certain that all of the in-person participants made notes on the priming cards because I saw them doing it. I cannot make this same observation about the practice interviews. Given that the use of cards is part of the subject-object interview protocol and that most of the research participants noted the usefulness of the cards, any future research regarding telephone interviews would have to include a check that the cards were indeed used.

There are trade-offs between telephone and face-to-face interviews that any future research should consider. In my experience, the phone discussions used with the practice participants were logistically easier to complete and provided the opportunity to talk to participants across the country in a cost effective and timely manner. In this set of participants, I had more diverse demographics with respect to the kinds of executive positions and current employment status.

The face-to-face interviews provided the chance to observe body language. Recall that Carol pointed to her office doorway and said, "There's a boulder there!" that she couldn't get around. This was a powerful visual and one that I would return to in an on-going coaching relationship with her. In the future, I would be comfortable listening to eutopiagraphies over the phone or in-person.

Other methods of analyzing adult developmental stages, such as the MAP assessment, could be used. Another coach/researcher may not want to invest the time to be as fully versed in

the adapted subject-object interview protocol (SOI) as I have become, yet may still want to consider eutopiagraphy in light of constructive-developmental theory. The coach/researcher could rely on an online administration of the MAP, scored by a trained reviewer, to obtain a stage assessment that would then be shared with the participant. The participant could then take a more active role in hearing and understanding meaning-making in his/her own eutopiagraphy.

Research that specifically identifies varying timeframes into the future (five, ten or twenty years, for instance) might be done to test the efficacy of eutopiagraphy at various focal points. Are "to-be-lived" experiences that differ in terms of distance into the future variously useful for uncovering structure and stage data?

And what must be known about the researcher? According to Laske (2006), "The level of development of the [coach] is the singularly most important key to success in assisting others" (p. 72). If the focus were turned toward the researcher/coach rather than on the participant, what might be learned? For instance, do coaches of different developmental stages approach eutopiagraphy differently and arrive at different conclusions regarding their clients?

Lastly, what differences arise when the standard "best-possible self" primes and process are used and compared to the eutopiagraphic process as defined in this dissertation? If the researcher is intentionally listening for constructive-developmental structure, does it matter what tools are used to prime the discussion? My underlying hypothesis has been that the Wheel-of-life exercise is great for describing a "to do" list. Can it also be used as a priming tool to understand meaning-making?

From this list of recommendations for future research, the one that is of most interest to me is the use of eutopiagraphy within a long-term coaching relationship. In that venue, practice may inform theory in many more ways than theory has informed practice in this research.

Conclusions

The use of eutopiagraphies—narratives of preferred-future selves—has been shown to be effective in eliciting constructive-developmental structure that can be used to identify a participant's stage of meaning-making. This research has validated that eutopiagraphy, aimed at understanding "to-be-lived" experiences within the context of constructive-developmental theory, is not only intriguingly novel but also appropriate (as anticipated by Dr. Lahey), and thus extends the original protocol for the subject-object interview.

Eutopiagraphies of participants at different stages differ in the types of future challenges and the ways in which participants imagine the use of a coach to address those challenges. Evidence now exists that a coaching client can reveal something about his/her stage of meaning-making simply by telling the coach what coaching support he or she wants.

I have provided an example that incorporates the use of constructive-developmental theory in the context of causal-layered analysis and have suggested an extensive list of additional research directions within the fields of future studies, adult development, and coaching.

Limitations, mostly generated by the exploratory nature of this study into the use of a new epistemology, can be overcome in future research that looks at the epistemology—eutopiagraphy—in new and different contexts.

And, finally, substantial connections have been made between this work and the recognition of mounting adaptive challenges and the need for transformational leadership to address those challenges. Executive coaching can be enriched and transformed into developmental coaching by putting a new constructive-developmental lens on a very simple question,

"What do you imagine your preferred future to be?"

APPENDIX

Appendix A – Futures Studies Archetypes

Futures studies archetypes	Source	Supplemental commentary
Continued growth Collapse Steady state Transformation	Dator (1979) as cited in Inayatullah, 2008, p. 17)	Continued growth – more of everything; technology is the solution. Collapse – growth fails because it becomes too complex. Steady state – the community decides to go back to nature. Transformation – from technology, bureaucracy, or spiritual change.
Possible futures Probable futures Preferred futures	Razak (2000)	Possible futures are any number of alternative futures. Probable futures are likely to occur. Preferred futures are desired futures.
Surprise free future Optimistic future Pessimistic future	Cornish (2004)	A surprise free future is one that extends naturally from current trends. An optimistic future is, at the extreme, a best case scenario. A pessimistic future is, at the extreme, a worst case scenario.
Used future Disowned future Alternative futures	Inayatullah (2008)	A used future is "unconsciously borrowed from someone else" (p. 5). A disowned future is the "future pushed away, that comes back to haunt us" (p.5).

Futures studies archetypes	Source	Supplemental commentary
Evolution and progress Collapse Gaia Globalism Back to the future	Inayatullah (2008)	Evolution, progress, and collapse are alternative results of a human centered perspective. Gaia looks to improved interrelationships between humans and nature. Globalism breaks down and/or crosses over cultural, national, and economic boundaries. Back to the future is a perspective that the best is behind us and we need to return to simpler times.
Likely futures Alternative futures Preferred futures	Institute for Alternative Futures (n.d.)	The goal of futures work is to define a preferred future that is values-based and "provides a sense of meaning and contribution… (reducing) the risk that the planning process will re-create the status quo." (p. 5)

Appendix B – Domains of Life Worksheet

What do you imagine your preferred future to be?

Please consider the Areas of Life in the worksheet below.

You can define the areas as you'd like, and you can pick any time in the future (e.g. later today, next week, next year, 2020+). You can add an area of life. And, you do not need to rate each one in the list.

In the "Preferred Column" rate each area on a scale of 1-10. For instance, if you imagine that "relationships" will be incredibly important to your preferred future you might rate this as an 8, 9, or 10.

Conversely, you may imagine that "community" has no particular importance to you in your future and so you'd rate this area as a 1, 2, or 3.

After you've completed your "preferred future rating" please consider where you are today vs. where you prefer to be in the future. For instance, you may want relationships to be a 10, yet today you'd give yourself a 4 rating.

Something that's important to you today may not be important in the future. There may be instances where your current and preferred ratings are very close. Any combination of ratings is fine.

Then, please make some notes to yourself about each of the areas you've rated. Why is this area important to you? If you couldn't make your preferred rating happen, why would that matter? Will anything be at risk if your preferred rating isn't realized in the future?

This worksheet and your notes are for your eyes only. I will be asking you some questions about your responses but I will not collect the form. There are no right or wrong answers.

Any questions? Feel free to ask.

Participant Worksheet

Area of Life	Current	Preferred	Notes to self about this area of life
Relationships			
Physical surroundings			
Finances			
Spirituality			
Recreation			
Health and wellness			

Area of Life	Current	Preferred	Notes to self about this area of life
Community			
Career			
Education/Training			
Other			
Other			

Appendix C – ICF Professional Coaching Core Competencies

A. SETTING THE FOUNDATION

1. **Meeting Ethical Guidelines and Professional Standards** - Understanding of coaching ethics and standards and ability to apply them appropriately in all coaching situations

a. Understands and exhibits in own behaviors the ICF Standards of Conduct (see list, Part III of ICF Code of Ethics),

b. Understands and follows all ICF Ethical Guidelines (see list),

c. Clearly communicates the distinctions between coaching, consulting, psychotherapy and other support professions,

d. Refers client to another support professional as needed, knowing when this is needed and the available resources.

2. **Establishing the Coaching Agreement** - Ability to understand what is required in the specific coaching interaction and to come to agreement with the prospective and new client about the coaching process and relationship

a. Understands and effectively discusses with the client the guidelines and specific parameters of the coaching relationship (e.g., logistics, fees, scheduling, inclusion of others if appropriate),

b. Reaches agreement about what is appropriate in the relationship and what is not, what is and is not being offered, and about the client's and coach's responsibilities,

c. Determines whether there is an effective match between his/her coaching method and the needs of the prospective client.

B. CO-CREATING THE RELATIONSHIP

3. **Establishing Trust and Intimacy with the Client** - Ability to create a safe, supportive environment that produces ongoing mutual respect and trust

a. Shows genuine concern for the client's welfare and future,

b. Continuously demonstrates personal integrity, honesty and sincerity,

c. Establishes clear agreements and keeps promises,

d. Demonstrates respect for client's perceptions, learning style, personal being

e. Provides ongoing support for and champions new behaviors and actions, including those involving risk taking and fear of failure,

f. Asks permission to coach client in sensitive, new areas.

4. **Coaching Presence** - Ability to be fully conscious and create spontaneous relationship with the client, employing a style that is open, flexible and confident

a. Is present and flexible during the coaching process, dancing in the moment,

b. Accesses own intuition and trusts one's inner knowing - "goes with the gut,"

c. Is open to not knowing and takes risks,

d. Sees many ways to work with the client, and chooses in the moment what is most effective,

e. Uses humor effectively to create lightness and energy,

f. Confidently shifts perspectives and experiments with new possibilities for own action,

g. Demonstrates confidence in working with strong emotions, and can self-manage and not be overpowered or enmeshed by client's emotions.

C. COMMUNICATING EFFECTIVELY

5. **Active Listening** - Ability to focus completely on what the client is saying and is not saying, to understand the meaning of what is said in the context of the client's desires, and to support client self-expression

a. Attends to the client and the client's agenda, and not to the coach's agenda for the client,

b. Hears the client's concerns, goals, values and beliefs about what is and is not possible,

c. Distinguishes between the words, the tone of voice, and the body language,

d. Summarizes, paraphrases, reiterates, mirrors back what client has said to ensure clarity and understanding,

e. Encourages, accepts, explores and reinforces the client's expression of feelings, perceptions, concerns, beliefs, suggestions, etc.,

f. Integrates and builds on client's ideas and suggestions,

g. "Bottom-lines" or understands the essence of the client's communication and helps the client get there rather than engaging in long descriptive stories,

h. Allows the client to vent or "clear" the situation without judgment or attachment in order to move on to next steps.

6. **Powerful Questioning** - Ability to ask questions that reveal the information needed for maximum benefit to the coaching relationship and the client

a. Asks questions that reflect active listening and an understanding of the client's perspective,

b. Asks questions that evoke discovery, insight, commitment or action (e.g., those that challenge the client's assumptions),

c. Asks open-ended questions that create greater clarity, possibility or new learning

d. Asks questions that move the client towards what they desire, not questions that ask for the client to justify or look backwards.

7. **Direct Communication** - Ability to communicate effectively during coaching sessions, and to use language that has the greatest positive impact on the client

a. Is clear, articulate and direct in sharing and providing feedback,

b. Reframes and articulates to help the client understand from another perspective what he/she wants or is uncertain about,

c. Clearly states coaching objectives, meeting agenda, purpose of techniques or exercises,

d. Uses language appropriate and respectful to the client (e.g., non-sexist, non-racist, non-technical, non-jargon),

e. Uses metaphor and analogy to help to illustrate a point or paint a verbal picture.

D. FACILITATING LEARNING AND RESULTS

8. **Creating Awareness** - Ability to integrate and accurately evaluate multiple sources of information, and to make interpretations that help the client to gain awareness and thereby achieve agreed-upon results

a. Goes beyond what is said in assessing client's concerns, not getting hooked by the client's description,

b. Invokes inquiry for greater understanding, awareness and clarity,

c. Identifies for the client his/her underlying concerns, typical and fixed ways of perceiving himself/herself and the world, differences between the facts and the interpretation, disparities between thoughts, feelings and action
d. Helps clients to discover for themselves the new thoughts, beliefs, perceptions, emotions, moods, etc. that strengthen their ability to take action and achieve what is important to them,
e. Communicates broader perspectives to clients and inspires commitment to shift their viewpoints and find new possibilities for action,
f. Helps clients to see the different, interrelated factors that affect them and their behaviors (e.g., thoughts, emotions, body, background),
g. Expresses insights to clients in ways that are useful and meaningful for the client,
h. Identifies major strengths vs. major areas for learning and growth, and what is most important to address during coaching,
i. Asks the client to distinguish between trivial and significant issues, situational vs. recurring behaviors, when detecting a separation between what is being stated and what is being done.

9. **Designing Actions** - Ability to create with the client opportunities for ongoing learning, during coaching and in work/life situations, and for taking new actions that will most effectively lead to agreed-upon coaching results

a. Brainstorms and assists the client to define actions that will enable the client to demonstrate, practice and deepen new learning,
b. Helps the client to focus on and systematically explore specific concerns and opportunities that are central to agreed-upon coaching goals,
c. Engages the client to explore alternative ideas and solutions, to evaluate options, and to make related decisions,
d. Promotes active experimentation and self-discovery, where the client applies what has been discussed and learned during sessions immediately afterwards in his/her work or life setting,
e. Celebrates client successes and capabilities for future growth,
f. Challenges client's assumptions and perspectives to provoke new ideas and find new possibilities for action,
g. Advocates or brings forward points of view that are aligned with client goals and, without attachment, engages the client to consider them,
h. Helps the client "Do It Now" during the coaching session, providing immediate support,
i. Encourages stretches and challenges but also a comfortable pace of learning.

10. **Planning and Goal Setting** - Ability to develop and maintain an effective coaching plan with the client

a. Consolidates collected information and establishes a coaching plan and development goals with the client that address concerns and major areas for learning and development,
b. Creates a plan with results that are attainable, measurable, specific and have target dates,
c. Makes plan adjustments as warranted by the coaching process and by changes in the situation,

d. Helps the client identify and access different resources for learning (e.g., books, other professionals),

e. Identifies and targets early successes that are important to the client.

11. **Managing Progress and Accountability** - Ability to hold attention on what is important for the client, and to leave responsibility with the client to take action

a. Clearly requests of the client actions that will move the client toward their stated goals,

b. Demonstrates follow through by asking the client about those actions that the client committed to during the previous session(s),

c. Acknowledges the client for what they have done, not done, learned or become aware of since the previous coaching session(s),

d. Effectively prepares, organizes and reviews with client information obtained during sessions,

e. Keeps the client on track between sessions by holding attention on the coaching plan and outcomes, agreed-upon courses of action, and topics for future session(s),

f. Focuses on the coaching plan but is also open to adjusting behaviors and actions based on the coaching process and shifts in direction during sessions,

g. Is able to move back and forth between the big picture of where the client is heading, setting a context for what is being discussed and where the client wishes to go,

h. Promotes client's self-discipline and holds the client accountable for what they say they are going to do, for the results of an intended action, or for a specific plan with related time frames,

i. Develops the client's ability to make decisions, address key concerns, and develop himself/herself (to get feedback, to determine priorities and set the pace of learning, to reflect on and learn from experiences),

j. Positively confronts the client with the fact that he/she did not take agreed-upon actions.

Appendix D – Comparison of Kegan and Torbert

Kegan's stages	Torbert's stages	Action logics in Torbert stages (from McCauley et al. 2006); Worldview, power, and horizon (Torbert, 2004)	Behaviors and narratives (from Torbert, 2004, and Fisher et al., 2000)
Incorporative	n/a	n/a	n/a
Impulsive	n/a	n/a	n/a
Imperial	Opportunist	Unilateral power rules (Torbert, 2004); Focus on outside world; Control through unitary power; Time horizon – hours/days	"he who has the gold rules"; manipulates others to win; careful design of the facts to gain support; rejects feedback; Values short term, visible costs and benefits
Interpersonal (The socialized mind)	Diplomat	Norms rule needs; Sensing self in larger world; Referent power from group association; Time horizon – 1 week to 3 months	"I am on time"; Observes protocol; Works to group standards; seeks membership and status; Others values are best guide to action; Not open to constructive feedback;

Kegan's stages	Torbert's stages	Action logics in Torbert stages (from McCauley et al. 2006); Worldview, power, and horizon (Torbert, 2004)	Behaviors and narratives (from Torbert, 2004, and Fisher et al., 2000)
	Expert	Craft logic rules norms; Has sense of unique expertise among others; Power comes from knowledge; Time horizon – 6 months – 1 year	"I am efficient"; Accepts feedback from objective expert; Dogmatic; Wants to stand out, be unique; Usually not team players; (Through discussions with L. Lahey (September, 2009) I understand that Torbert et al. may not be fully consistent with Kegan in this category when they state that individuals may not be team players. Lahey indicated that this may be counter to the interpersonal self because there is a risk of disappointing others.)

Kegan's stages	Torbert's stages	Action logics in Torbert stages (from McCauley et al. 2006); Worldview, power, and horizon (Torbert, 2004)	Behaviors and narratives (from Torbert, 2004, and Fisher et al., 2000)
Institutional (The self-authoring mind)	Achiever	System effectiveness rules craft logic; Looking for an overall picture; Power comes from relationships/mutuality; Time horizon – 1- 3 years	"I am passionate about achieving my goals"; Appreciates complexity and systems; Feels guilty if own standards aren't met; Reliably uses single-loop feedback
	Individualist	Relativism rules single system	High value on individualism; may be seen as a maverick; Conscious of impact on others; Curious about self in relationship to others; Strong sense of living in the moment

Kegan's stages	Torbert's stages	Action logics in Torbert stages (from McCauley et al. 2006); Worldview, power, and horizon (Torbert, 2004)	Behaviors and narratives (from Torbert, 2004, and Fisher et al., 2000)
Interindividual (The self-transforming mind)	Strategist	Most valuable principles rule relativism; Intuitive and purposeful visionary power; long-term horizon	Process and goal oriented; Attuned to misalignments; sensitive to past, present and future impact of self; sees purpose beyond own needs; seeks new stages of development
	Magician/Alchemist	Deep processes and intersystemic evolution rule principles; transforming power (combination of different powers noted above) used in a timely way	Wants to participate in historical/spiritual transformations; treats time and events as symbolic, analogical, and metaphorical

Appendix E – Futures Methods and Techniques

Researcher/Source	Methodological approach/technique
Institute for Alternative futures (n.d.)	***The aspirational futures approach*** • ***Environmental assessment and scenario development phase*** o Environmental scan o Trend analysis o Key forces analysis o Forecasts o Scenarios o Wildcard selection • ***Visioning and audacious goals phase*** • ***Strategic analysis phase***
Gordon & Glenn (n.d.)	***Environmental scanning*** • Data collection • Issue identification • Possible use of a "lookout panel" or Delphi method • "to find early indications of possibly important future developments to gain as much lead-time as possible" (p. 1.)
Porter (n.d.)	***Text mining*** • Traditional literature review • Bibliometrics • Content analysis • Looking for emphases and patterns
Gordon (n.d.)	***Delphi method*** • Finding a synthesis of opinions from a number of experts through an anonymous and iterative identification and discussion of possible, probable, desired or undesired future state(s)

Researcher/Source	Methodological approach/technique
Glenn (n.d.)	***Futures Wheel*** • Structured brainstorming responding to the question "if this happens, what happens next?" • Exposes mental maps of the future • "identifying and packaging primary, secondary, and tertiary consequences of trends, events, emerging issues, and future possible decisions" (p.1.) • Pacinelli's article in the Millennium Project cd expanded this concept to include the probability of consequences using a *futures polygon.*
Gordon (n.d.)	***Trend impact analysis*** • Extrapolating the future from historical data • Modified by perceptions from experts about anticipated changes to past trends
Gordon (n.d.)	***Cross impact analysis*** • "forecasting…based upon perceptions about how future events may interact" (p.1).
Leonard & Beer (n.d.)	***Systems perspective*** • Looking at stakeholders, dynamics among stakeholders, exchange relationships, patterns and cycles, impact of stress
Inayatullah (2008)	***6 pillars of future studies*** • Mapping • Anticipation • Timing • Deepening • Creating alternatives • Transforming ***6 basic futures questions*** 1) What do you think the future will be? 2) Which future are you afraid of? 3) What are the hidden assumptions of your predicted future? 4) What are some alternatives? 5) What is your preferred future? 6) How might you get there?

Researcher/Source	Methodological approach/technique
Inayatullah (n.d.)	***Causal-layered analysis(CLA)*** • Recognizes that there are different ways of knowing that can influence worldviews and thus options/choices about the future • The components of CLA are *causes, litany, worldview and metapho*r, each requiring a larger perspective, including the taking of another person's perspective, in order to have a larger worldview.
Wheelwright (n.d.)	***Personal futures*** • Provides a very structured process for the development of personal futures and adapting many of the techniques mentioned above including, trend analysis, environmental scanning, and scenarios.

Appendix F – Eutopiagraphy Analysis Sheet

Participant identification

Demographics:
Birth year:
Current Age:
Current or last leadership position:
Gender:

Bit #/ Interview page	**Theme** (values, view of others, range of perception, control, responsibility)	**Stage estimate** (3,4,5)	**Question:** Other than the stage you have estimated, what evidence leads you to reject other plausible counter-hypotheses?
	Overall stage estimate ➔		

Appendix G – Recruitment Letter

January, 2009

Dear

I am a Ph.D. candidate in the Leadership and Change Program at Antioch University and will soon begin the research phase of my dissertation. I am interested in learning more about how people envision their preferred futures. A preferred future is the best-possible future you can imagine, and one that would be compelling for you to experience. Your preferred future is one that you desire, based upon the things that are important to you – things you value.

I would appreciate your help in identifying individuals whom I can approach to participate in this study. The ideal participant for my research fits the following profile:

- is a baby-boomer (born between 1945-1964)
- who is, or has been, in a leadership position within a public or not for profit company
- has an ability to reflect on his or her future
- is someone who is anticipating some significant change in his/her future (e.g. relationships, career change, retirement, geographical location).

The study consists of a 90 minute interview with me to be scheduled in early 2010. I will take all precautions to protect the confidentiality of our discussions.

Would you please consider referring me to such a leader from your experience who fits these profiles and whom I may approach to participate in this study? If so, please contact me at 703.627.3736, or email me at koridiehl@aol.com. If you have any questions or want further information on this study, please contact me.

Thank-you!

Sincerely,

Kori Diehl

Doctoral Candidate, Ph.D. in Leadership and Change

Antioch University, Yellow Springs, Ohio

Appendix H – Priming Words for Experience Inventory

The following prompts were provided on 5"x8" index cards. A print-out of the words with explanations, as shown below, was also provided to the participants.

(Note: The prime "fear; undesireable" was eliminated from the priming words following the practice interviews. The expanded explanations (shown here in red font) were included to offer more support to the participants in identifying future experiences.)

Priming Words for Preferred-future self Research	
Opportunity	Imagine an experience in your preferred future that may be an opportunity for you. Perhaps there is a chance to do something new or be in different relationships. Perhaps something you've always wanted to do.
Risk	In imagining your preferred future, what sorts of things might be sources of risk for you? What experiences might make you nervous or anxious about your sense of security (self-image, physical, financial, professional, personal).
Success	How might you experience success in your preferred future? When will you feel triumphant or jubilant? Or have a feeling that you have accomplished something really difficult or satisfying?
Challenge	What sorts of challenges do you imagine you'll face in your preferred future? What kinds of things might make you stretch past your comfort level?
Role model	Who would be the perfect role model for how you imagine living your preferred future? Who is living the kind of life you want to be living in the future, or being the kind of person you want to be?
~~Fear; undesirable~~	~~In your preferred future, what types of things might be a source of fear, or undesirable~~? .
Strong-stand; non-negotiable	What types of experiences in your preferred future are non-negotiable? In what kinds of experiences can you imagine taking a really strong stand?

Priming Words for Preferred-future self Research	
Torn	When you think about your preferred future, about which things might you be torn? What kinds of conflict (either internal or with others) can you imagine having?
Important to me	What will be important to you about your preferred future? What to you care deepest about? What will matter most?
Let go of; release	What, if anything, might you have to let go of or release in order to have your preferred future become a reality? What part of who you are or how you live your life will you have to or want to give up to realize your preferred future?

Appendix I – Informed Consent Form

Participant Consent to a Study about Imagining the Future

You have been asked to participate in a research study conducted by Kori Diehl a doctoral candidate in the Leadership and Organizational Change program at Antioch University, Yellow Springs, Ohio.

This research involves the study of to-be-lived experiences, in particular, the experience of imagining your future and the importance of such things as people, activities, and likely geographical locations in your future. I wish to conduct this study with 6 to 8 participants who were born between the years 1945-1964.

The study involves one conversational interview that will be arranged at your convenience and that is expected to last about 1.5 hours. The interview will be audio-recorded. Once the interview has been transcribed, I will share a copy of the transcription for your review. If there are any follow-up questions, a second interview, with your approval, will be scheduled following the same process.

Your name will be kept confidential, unless and only if you give express permission for me to use your name in my report. You will also have the opportunity to remove any quotations from the transcribed interview. In addition, the tapes and all related research materials including the Informed Consent Forms will be kept in a secure file cabinet and destroyed after the completion of my study. The results from these interviews will be incorporated into my doctoral dissertation.

I hope that through this interview you may develop a greater personal awareness of your own experience of imagining the future as a result of your participation in this research. The risks to you are considered minimal; although unlikely, there is a chance that you may experience some discomfort in the telling of your experiences. If you do, please contact Fairfax County Mental Health Services Health (703 324-7095) to discuss your reactions. In addition, you may withdraw from this study at any time (either during or after the interview) without negative consequences. Should you withdraw, your data will be eliminated from the study.

There is no financial remuneration for participating in this study. If you have any questions about any aspect of this study or your involvement, please contact Lisa Kreeger, Ph.D. Chair, Institutional Review Board, Ph.D. in Leadership & Change

150 E. South College Road

Yellow Springs, OH 45387

973-319-6144; lkreeger@antioch.edu

Two copies of this informed consent form have been provided. Please sign both, indicating that you have read, understood and agreed to participate in this research. Return one to me and keep the other for yourself.

_____

Name of researcher (please print)

_____

Signature of researcher

_____

Date

_____

Name of participant (please print)

_____

Signature of participant

_____

Date

Appendix J – SOI Process Formulation Sheet

(reprinted with permission, Lahey et al., 1988)

Bit #/ Interview page #	Range of hypotheses: 1 1(2) 1/2 2/1 2(1) 2 2(3) 2/3 3/2 3(2) 3 3(4) 3/4 4/3 4(3) 4 4(5) 4/5 5/4 5(4) 5	Questions: 1) What structural evidence leads you to this hypothesis? 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?

Overall Formulation Sheet

Name or code of interviewee: Analysis page #

A. Tentative overall hypotheses (minimal of three bits reflective of each hypothesis:
B. Rejected tentative hypothesis/hypotheses and reason(s) for rejection:
    1. Hypothesis _____Why rejected:
    2. Hypothesis_____ Why rejected:
    3.
C. Single overall score (minimum of three bits reflectively solely of this scores)

If unable to formulate a single score, explain what further information is needed to reach a single score.

Appendix K – Peer Review Process

Part I:

Purpose: Learning and Feedback

The purpose of Part 1 is to use a peer reviewer to test my knowledge and appropriate application of the theory to a transcribed eutopiagraphy. This is a learning and feedback session. I will ask peer reviewer to play the devil's advocate regarding my understanding and application of theory, based upon his understanding of theory and his experience with its application in coaching and coach training.

Outcomes:

As a result of our discussion, the following outcomes are expected:

- Capture of differences in opinion as to the identification of structures in the eutopiagraphy; where have I missed a structure? Where have I pushed too hard to see something that isn't there?
- Agreement on the evidence of structures to be used for the estimate of stage
- Analysis of stage agreement/disagreement
- Peer reviewer's input regarding other approaches he might have used to get more effective interview responses

Input documents/sources:

- Summary of constructive developmental theory/structures as presented in Chapter II and Appendix C; Reference materials (books, articles)
- Audio of telephone recorded interview
- Transcription of telephone recorded interview
    - Copy 1 – researcher's annotated copy
    - Copy 2 – clean copy for peer reviewer
- Eutopiagraphy summary of recorded interview, prepared by researcher with verbatim capture of structures noted by in her analysis of the interview
- Stage assessment according to structures, prepared by researcher

Process:

- Provide all documents/sources to Peer reviewer (excluding the reference materials that I know he has already) 1 week in advance of our meeting; Request his review
- Meet in person at my office
- Agenda

- Discussion of Chapter II and Appendix C to confirm understanding or gaps in agreement as to the theoretical framework.

- Audio of interview will be available during our discussion if needed but I plan to work with the transcribed document and my prepared documents for our discussion

- I will walk through my annotated copy of the entire transcribed interview to identify for Peer reviewer where I saw structures and where I placed the verbatim quotes on the eutopiagraphic summary.

- Throughout my identification, Peer reviewer will play the devil's advocate. In my previous discussions with peer reviewer, I know that we expect that we will both learn more about the theory and identification of structure through this process. To the extent that we cannot agree on the presence of structural evidence, I will note that. (This agreement/disagreement will be an important part of Part II of my peer review that I'll discuss shortly. The agreement/disagreement test will be a substantive part of my rater/expert reliability metric as described in my proposal.)

- Any agreed changes to my transfer of verbatims (that indicate structures) to the eutopiagraphic summary will be made. [The goal for the ultimate presentation of this work in my dissertation is that the eutopiagraphic summary has all of the needed verbatims to be used in the stage assessment. I may make other assumptions about stage that are not tied to these verbatims and will note those in my discussion of each participant.]

- The next step is to estimate the participant's stage. I will discuss my assumptions with pand seek his input regarding his estimate of stage using the theory materials that have been prepared and made available as inputs/sources for this discussion. I will note any places where we agree/disagree. Given the very narrow range of stages that we are likely to see for my research participants, I do not anticipate major gaps although the discussion of nuances will be important as they may indicate the participant's "growing edge" beyond or toward a given stage.

- The final step of Part I is to gather Peer reviewer's feedback regarding the application of theory and to garner any additional probes or questions that he thinks might be useful for my subsequent implementation of the eutopiagraphic interview.

- I will schedule a session with Jon to review the output of Part I and gain his concurrence on any changes to protocol that I would like to make.

Part II

Purpose: Rater/Expert Reliability

The purpose of Part II is to provide: 1) a metric of rater/expert reliability using the percentage agreement of presence method re: structures as described in my proposal; 2) a discussion of agreement/disagreement regarding stage estimate; and 3) letter of review and discussion provided by the peer reviewer regarding his analysis to be included as an Appendix in my dissertation.

Outcomes:

As a result of our discussion, the following outcomes are expected:

- Rater/Expert reliability metric re: evidence of structures
- Status of agree/disagree re: participant's stage
- Letter of review for inclusion in Appendix

Input documents/sources:

- Summary of constructive developmental theory/structures as presented in Chapter II and Appendix C; Reference materials (books, articles)
- Audio of in-person recorded interview. Peer reviewer will be provided the demographics of the available participants (age, gender, last or current executive position) and will choose the interview he wants to review.
- Transcription of in-person recorded interview
  - Copy 1 – researcher's annotated copy
  - Copy 2 – clean copy for peer reviewer
- Eutopiagraphy summary of recorded interview, prepared by Researcher with verbatim capture of structures noted by researcher in her analysis of the interview
- Stage assessment according to structures, prepared by researcher

Process:

- Provide all documents/sources to peer reviewer (excluding the reference materials that I know he has already) 1 week in advance of our meeting; Request his review
- Meet in person at my office
- Agenda

- Audio of interview will be available during our discussion if needed but I plan to work with the transcribed document and my prepared documents for our discussion.

- I will walk through my annotated copy of the entire transcribed interview to identify for peer reviewer where I saw structures and where I placed the verbatim quotes on the eutopiagraphic summary.

- Throughout my identification, peer reviewer will play the devil's advocate. To the extent that we cannot agree on the presence of structural evidence, I will note that. (This agreement/disagreement will be an important part of Part II of my peer review that I'll discuss shortly. The agreement/disagreement test will be a substantive part of my rater/expert reliability metric as described in my proposal.)

- Any agreed changes to my transfer of verbatims (that indicate structures) to the eutopiagraphic summary will be made. [The goal for the ultimate presentation of this work in my dissertation is that the eutopiagraphic summary has all of the needed verbatims to be used in the stage assessment. I may make other assumptions about stage that are not tied to these verbatims and will note those in my discussion of each participant.]

- The next step is to identify our agreement/or not regarding the participant's developmental stage. I will include in my dissertation write-up of this peer review, the nature of our agreement/disagreement and any implications regarding my ultimate analysis of this participant in the dissertation.

- The next step is to assess rater-expert reliability.

To measure rater-expert reliability, I will be using the percentage agreement on presence method (Boyatzis, 1998) one piece of data: the presence of a codable moment (i.e. a theme.) For example, assume I am coder A and I have one peer rater -- coder B. For simplicity, assume I see the theme two times. Coder B sees the theme once. The percentage agreement on presence, regarding the theme "value" is (2 x 1)/(2+1). The resultant percentage agreement is 66%.

Following is the formula (Boyatzis, 1998, p. 155).

2 x (no. of times both Coder A and Coder B saw it present)

(no. of times Coder A saw it present + no. of times Coder B saw it present)

Structure	# of instances of Structure – as seen by researcher	# of instances of Structure – as seen by peer reviewer	Rater/expert reliability %
Values	3	2	(2*2)/(3+2) = 80%
View of others	1	1	(2*1)/ (1+1) = 100%
Range of perspective	2	1	(2*1)/ (2+1) = 66%
Control	1	0	(2*0)/ (1+0) = null
Responsibility	1	1	(2*1)/ (1+1) = 100%

According to Lahey et al., 1988) I should not expect to see more than 8 instances of structure in the eutopiagraphy.

- The final step of Part II is to have peer reviewer prepare a one-page summary of his review and analysis of my work to be included as an Appendix.

- I will schedule a session with my dissertation chair to review the output of Part II and gain his concurrence on any changes required to accommodate the peer rating process.

Appendix L – Peer Reviewer Summary

As an executive and leadership coach with a particular interest in the theory of stages of adult development, I am keenly excited by the work that (Florence) Kori Diehl has undertaken in the context of her PhD dissertation. Her project impresses me on several counts.

First, I have been impressed by the rigor that Ms. Diehl has applied to her research, and the intentional manner in which she subjected this research to the stress-test of a thorough and objective peer review process.

Secondly, she seems to have effectively synthesized all of the important work that has been done to date in the "stages of adult development" field, and communicates it in a manner that is remarkably accessible, and, therefore, immeasurably useful to the non-academic reader. From my perspective, this promises to be a benefit of huge proportions to the coaching community at large.

Finally, she has made clear an extremely important connection between this theory and the very practical work that coaches undertake with regard to helping clients realize their preferred futures. In doing so, Ms. Diehl provides an exciting, new, and obviously promising tool for coaches to employ in taking their skills to increasingly beneficial new levels for their clients.

I envision this work becoming a seminal reference for all coaches who are serious about the depth and sophistication of the work they do.

(Provided by Mr. Steve Heller, March 3, 2010)

Appendix M – Brockbank's Coaching Types

	Type of Coaching			
	Functionalist	**Engagement**	**Evolutionary**	**Revolutionary**
Ontology	Objectivist – there is one reality; constant, unchanging	Subjectivist – continual construction and transformation through interaction	Subjectivist – continual construction and transformation through interaction	Objectivist – there is one reality; constant, unchanging
Prevailing discourse – the givens that may not be visible	The current power structure must remain unchanged; the individual is the source of disorder	The current power structure must remain unchanged	The current power structure(and other *Taken for Granteds* – TFG's) can be challenged	A grand narrative e.g. Marxism, must be activated
Intended beneficiary	The organization, when the client is under achieving	The organization, when the client is non-conforming; purpose is not owned by the client	Personal and professional development of the client also benefitting the organization	Society
Methods	Personality profiles and learning styles that assume the individual has fixed qualities; Suppress challenges Didactic and advice driven; behavioral modification through reinforcement	Social control; humanist; non-directive; interventions to bring client dispositions in line with organization demands; functionalist intent is masked—maintenance of the status quo	Identify existing prevailing discourse; challenge status quo where power structures inhibit learning; reflective dialogue; acknowledge environmental influences; can include teaching and learning	Identify and change "false consciousness" of the individual; rational argument and persuasion
Focus	Improvement, efficiency, equilibrium; factual learning	Cultural change/downsizing with minimal opposition; helping clients to learn	Enabling client to evolve their own power/responsibilty	Transformation of society

	Type of Coaching			
	Functionalist	**Engagement**	**Evolutionary**	**Revolutionary**
Intended outcomes	Maintain status quo; equilibrium; preservation of existing values and norms	Maintain status quo; equilibrium; engagement with the organization's mission	Transformation; ownership of goals; a new discourse; awareness and expansion of the *power horizon* and its implications	e.g. conversion of hostages, radicalization of youth
Type of learning	Single-loop for the client	Single-loop for the client	Double loop learning for both individuals and organizations	

(Adapted from Brockbank, 2008)

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