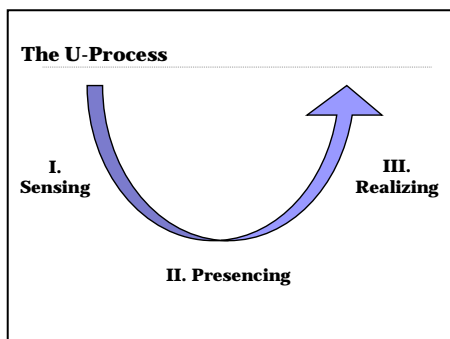


Underpinnings and Elaborations of the U-Process: An Annotated Bibliography

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What the U-Process describes is not new. The “U” is a way of representing a practice that many creative people—business and social entrepreneurs, artists, scientists, inventors—tacitly use when they create breakthrough solutions to complex problems. What is new is knowledge of the ingredients of this practice and how to broaden its impact. By studying the work of extraordinary people, and integrating a broad base of supporting theory and evidence, we have taken what has been an intuitive, individual and largely unreplicable practice and outlined a process that can be used consciously and collectively for transformation in even the most challenging contexts.



The U-Process comprises three primary phases: **Sensing**—uncovering current reality by expanding and deepening awareness; **Presencing**—retreating and reflecting to enable individual “inner knowing” as a foundation for collective commitment; and **Realizing**—generating a new reality through rapid-cycle prototyping, piloting and implementation of breakthrough ideas.

This bibliography was created to provide:

- a brief description of the U-Process as a whole
- a summary of key themes in the “U”
- annotations of works that underpin and/or more fully articulate those themes
- references for further reading in each area.

Descriptions of the U-Process as a Whole

In 1999-2000 Joseph Jaworski and C. Otto Scharmer embarked upon a research study to understand the principles and practices that would help leaders learn how to better sense what was needed in the world and bring it forth. The study was originally sponsored by The Alliance—a group of senior executives from Shell Oil Company and Texaco Inc. With subsequent additional support and sponsorship from McKinsey&Company and the Society for Organizational Learning, Jaworski and Scharmer interviewed over 150 thought leaders from around the world, including economists, entrepreneurs, cognitive scientists, educators, and Eastern gurus in the areas of creativity, high performance, and leadership. The learnings from these interviews, which are referred to in many of the citations below, helped inform the development of what is now known as the U-Process.

Arthur, W. Brian (1999). “Coming from the Inner Self: A Conversation with W. Brian Arthur.” www.dialogonleadership.org.

This interview with leading economist Brian Arthur, probably made the most direct contribution to the formulation of the U-Process. It offers an autobiographical account of an iconoclastic thinker whose work in economics could well make him a candidate for the Nobel prize (he invented the theory of increasing returns, which explains how an inferior design such as the QWERTY keyboard or an inferior product such as Microsoft PowerPoint can dominate the market). This work—and Arthur’s personal development as a practitioner of Taoism—has led him to a new epistemology, suited to the complexities of our times. Operating in the new environment, in Arthur’s view, requires knowledge that does not stem from an abstract framework that we apply to or impose on a situation, but from a knowing that emerges from the quietness of deep observation and reflection. To access this deeper source of knowing—the source of all true creativity and innovation—and to use it as the basis for action, one follows three steps: “(1) total immersion: observe, observe, observe; (2) retreat and reflect: allow the inner knowing to emerge; (3) act in an instant: bring forth the new as it desires.”

Kahane, Adam (2004). *Solving Tough Problems: An Open Way of Talking, Listening, and Creating New Realities*. San Francisco: Berrett-Koehler.

Adam Kahane recounts the evolution of his thinking about how to solve problems over a 25-year professional career. He began with an expert/analytic approach, grounded in his training in physics and economics, which evolved to a facilitative approach, bringing together multiple stakeholders on difficult organizational and societal issues. A central conclusion underlying the methods that Kahane came to appreciate is that “our talking and listening often fails to solve complex problems because of the way that most of us talk and listen most of the time.” Beginning with his work with Joseph Jaworski at Royal Dutch Shell, he discovered ways of bringing together people who were part of a “stuck” problem to engage in reflective and

generative dialogue to co-create new realities. Such skills are crucial for any group traversing the “U”. An endorsement on the book’s cover from Nelson Mandela is appropriate, in that one of the interventions described in the book is the Mont Fleur Scenario Project, which is credited with influencing the economic policies of the first post-Apartheid South African government. The description of this and other interventions in enormously contentious political situations throughout the world (Argentina, Columbia, Guatemala) provide moving accounts of how facilitated dialogue can shift people’s ability to understand and empathize with those who were once regarded as enemies.

Senge, Peter, C. Otto Scharmer, Joseph Jaworski, and Betty Sue Flowers (2004). *Presence: Human Purpose and the Field of the Future*, Cambridge, MA: Society for Organizational Learning Press.

This book presents an overview of the theory of the “U” as well as the collaboration behind its development. The authors introduce a provocative model of leadership that brings together Eastern and Western perspectives to address the clashing forces that confront leaders in a world of increasing change and uncertainty. In the face of such unknowns, the authors believe that learning from the past is inadequate. Rather, “the new leadership challenge is to sense and actualize emerging opportunities.” Incorporating the learnings from the interviews by Jaworski and Scharmer, the authors see the need to address a “blind spot” in our understanding of leadership. Leaders need to develop a new capacity that involves “primary knowing”—knowing in a more holistic and intuitive way. This leads the authors to the view that “the most important tool for leading 21st century change is the leader’s self.” To make this philosophy more accessible, the authors put forth the “U-Process,” consisting of three spaces that are envisioned in the form of a “U”: sensing (seeing current reality), presencing (reflecting deeply), and realizing (acting). The title derives from the notion of “presencing”—which means both “pre-sensing” and “being present.” Both meanings underlie the capacity to bring future possibilities into the present. The book elaborates a point of view presented in a series of articles and interviews, many of which are available at www.dialogonleadership.org

Scharmer, C. Otto (2005). “Introduction to Theory U: Leading by Presencing Emerging Futures” <http://www.ottoscharmer.com/presencing.htm>.

This paper is the most recent of many (see below) in which Scharmer articulates the U-Process as it emerged from the interviews that he and Jaworski conducted. Scharmer makes useful distinctions regarding the U-Process that go beyond the description in *Presence*. These and other elaborations of the “U” can be found in a forthcoming book, *Theory U*. It was Scharmer, drawing upon prior work in Europe, who proposed depicting the three phases of the model—sensing, presencing, and realizing—as a U-shaped journey.

Further Reading

Arthur, W.Brian, Jonathan Day, Joseph Jaworski, Michael Jung, Ikujiro Nonaka, C. Otto Scharmer, and Peter Senge (2002). "Illuminating the Blind Spot: Leadership in the Context of Emerging Worlds." In *Leader to Leader*. Spring: 11-14.

Brown, Eric.S. (2005). "Theory U: Presencing Emerging Futures: Interview with C. Otto Scharmer." *MIT Technology Insider*. May: 10-11.

Hall, George. (Forthcoming August 2005). "Presence: Human Purpose and the Field of the Future." Interview with Peter M. Senge and C. Otto Scharmer. *ASTD Links*.
<http://www.astd.org/ASTD/>

Jaworski, Joseph and C. Otto Scharmer (2002). "Leading in the Digital Economy: Sensing and Seizing Emerging Opportunities." <http://ottoscharmer.com/downloads2.htm>

Kaeufer, Katrin, C. Otto Scharmer, and Ursula Versteegen (2003). Breathing Life into a Dying System." *Reflections, The SoL Journal*. Vol. 5, No. 3: 1-10.

Scharmer, C. Otto (2005). "Presencing. Illuminating the Blind Spot of Leadership." *Taking Stock: A Survey on the Practice and Future of Change Management*. www.change-management-toolbook.com.

Scharmer, C. Otto (2001). "Self-transcending knowledge: Sensing and Organizing Around Emerging Opportunities." *Journal of Knowledge Management*, Vol. 5, No. 2: 137-150.

Senge, Peter M., C. Otto Scharmer, Joseph Jaworski, and Betty Sue Flowers (2004). "Awaking Faith in an Alternative Future." *Reflections, The SoL Journal*. Vol. 5. No. 7: 1-9.

Key Themes of the U-Process

Sensing

1. To put our experience of current reality in perspective, we must see our role in co-creating that experience.
2. Seeing current reality on its own terms requires deepening how we see and sense.
3. Seeing current reality in its full complexity requires recognizing the systemic patterns that shape perception and behavior.
4. Contemporary science shows that there are hidden dimensions of connection underlying everyday reality.
5. Reflective and generative conversations are critical tools for uncovering and exploring differing views of reality.

Presencing

6. Leadership is as much about ways of being as it is about ways of doing.
7. Nature is a powerful instrument for personal transformation.
8. Powerful leadership follows from a sense of connection to purpose.
9. Individual and team leadership is dramatically enhanced by accessing the field of collective intelligence.
10. Leaders can increase their effectiveness by leveraging their “primary knowing”.

Realizing

11. Transformational change can be effected by changing the consciousness of a small number of individuals.
12. Personal transformation—the key to organizational and societal transformation—is enhanced by commitment to regular “presencing practices”.
13. Personal transformation often requires overcoming personal immunities to change.
14. Solutions to complex organization and societal problems must be sustainable.
15. Powerful and cost-effective innovation comes through rapid-cycle prototyping.

Bibliography of Sources by Theme

Sensing

1. **To put our experience of current reality in perspective, we must see our role in co-creating that experience.** We tend to “download” familiar mental models through which we co-create the world we experience. To see freshly we must become aware of and step back from those filters. Although we can’t control what happens to us, we can control how we think about what happens to us, and some ways of thinking are much more powerful than others.

Argyris, Chris and Donald Schön (1974). *Theory in Practice: Increasing Professional Effectiveness*. San Francisco: Jossey-Bass Publishers.

Peter Senge is indebted to Argyris and Schön for one of his five “disciplines”—mental models. In this influential work, the authors make the case that behavior is driven by underlying mental models (which they call “governing variables”). Although many leaders advocate approaches that are collaborative and inquiring, almost all unwittingly behave in ways that are in fact competitive and unilaterally controlling. Actions are discrepant with espoused intentions because of unconsciously held mental models. For example, most of us operate according to tacit beliefs in the importance of winning, being rational, and avoiding embarrassment to self and others. These mental models lead us to behave in ways that are competitive and limit our learning, and we may be unaware of how our actions are experienced by others. As a result we blindly contribute to misunderstanding and conflicts, unfairly blame others and then do not learn from our experience. Argyris and Schön identify an alternative set of mental models and associated actions that are more consistent with what leaders commonly espouse. The recommended mindsets and skills are not easy to acquire, but for those willing to make the effort, they constitute a powerful leverage point for not only increasing individual effectiveness, but also creating organizations that are capable of learning from their mistakes and creatively adapting to changing realities. For those interested in pursuing these ideas in depth, see also *Action Science* (Chris Argyris, Robert Putnam and Diana Smith [1985]. San Francisco: Jossey-Bass).

Ellis, Albert (2001). *Overcoming Destructive Beliefs, Feelings, and Behaviors*. Amherst: Prometheus Books.

Ellis was a pioneer in exploring how consciousness affects behavior. His work is the foundation of cognitive psychology, which influenced the work of Argyris and Schön (see the annotation immediately above). In this book he presents his most recent conception of a theory he introduced 50 years ago, which he now calls Rational

Emotive Behavior Therapy. In this model, thoughts are the cause of feelings and moods, and flawed thinking leads to negative moods that are unnecessary. There are various kinds of flawed thinking: black/white thinking, overgeneralization, selective perception and so on. By subjecting one's thinking to rigorous analysis and reflection, one can reduce unproductive negative emotions. Ellis' approach, along with the closely related cognitive-behavior therapy (see Young in section 12) is complementary to Argyris and Schön's Action Inquiry in that it looks closely at reasoning processes that govern ineffective behavior and at the underlying mindsets, offering prescriptions for change.

Frankl, Victor (1959). *Man's Search for Meaning*. New York: Washington Square Press.

A bestselling book over many decades, *Man's Search for Meaning* was written by a psychiatrist and professor who survived Auschwitz, Dachau, and other concentration camps for three years during World War II. Not only does Frankl survive, but he undergoes a transformation of consciousness from which he emerges with insights into what humans are capable of and what gives life meaning. He learned that it is a sense of meaning that can sustain a person through any trauma, even the horrors of the Holocaust. This book captures the reader's attention through profound thoughts expressed in simple prose. One excerpt illustrates this: "We who lived in concentration camps can remember the men who walked through the huts comforting others, giving away their last piece of bread. They may have been few in number, but they offer sufficient proof that everything can be taken from a man but one thing: the last of the human freedoms—to choose one's attitude in any given set of circumstances, to choose one's own way."

Seligman, Martin (2002). *Authentic Happiness*. New York: Free Press.

Seligman is a co-founder of the "positive psychology" movement. He applies the fundamental notion that humans can significantly construct the reality they experience to the question of happiness, arguing that we can choose to be happy by cultivating the various elements that contribute to it. In an earlier work (*Learned Optimism*), he brings a rational/empirical lens to the concepts of pessimism and optimism, showing the latter to be a critical success factor in many professions and something which—as the title suggests—can be learned. In this book he offers a rational deconstruction of the elements of happiness. Happiness = S + C + V, where S = your "set range" (a genetically determined disposition toward happiness), C = circumstances, and V = factors under your voluntary control—i.e., attitudes. For example, regarding the past, the key to happiness is a combination of forgiveness and gratitude. Regarding the present, it is being mindful of and savoring pleasures and—better yet—gratifications, which consist of doing things that you are especially good at. Regarding the future, happiness is about hope and optimism. In short, Seligman's work as a cognitive psychologist brings him to the same conclusion as Victor Frankl's experience in a concentration camp: we can choose how we respond to our experience; we can choose to be happy.

Further Reading

Beck, Aaron (1979). *Cognitive Therapy and the Emotional Disorders*. New York: New American Library.

Kuhn, Thomas (1965). *The Structure of Scientific Revolutions*. Chicago: Phoenix Books.

Russell, Peter and Roger Evans (1990). *The Creative Manager*. New York: HarperCollins.

2. Seeing current reality on its own terms requires deepening how we see and sense.

Suspending our mental models is the first step toward seeing reality clearly. The next is to see more deeply, as if from within what we perceive instead of from the outside. This means loosening the habitual division between subject and object, between mind and matter. It requires letting go of ourselves in order to see things on their own terms.

Abram, David (1996). *The Spell of the Sensuous*. New York: Vintage.

Abrams aspires to rescue us from the ecological crisis, which results from the modern tendency to separate ourselves from the world rather than see ourselves as participants in it. Descartes started this trend by separating the knowing mind from an objective material world by declaring “I think therefore I am.” Drawing instead on the philosophers Husserl and Merleau-Ponty (see references below), Abram argues for the importance of reuniting mind and body, subject and object. He treats perception as a form of participation, always involving “the experience of an active interplay...between the perceiving body and that which it perceives.” This requires a form of seeing and sensing that we have gradually lost, aided by the evolution of language, which divorces us from immediate experience. To reconnect would require allowing things their own integrity, listening carefully (“Everything speaks, just not in our language”); it would require paying attention (“Let everything be alive”); and it would require us to recognize the difference between projection—in which we simply see a different form of ourselves in the other, and appreciating the radical uniqueness of the other (“If there is anything special about human beings, it is our ability to focus not on how unique we are but on how unique everything else is”). Perceiving our world in these ways has the potential to restore the connections that have been lost and that allow us to destroy our world as if we were not part of it.

Bortoft, Henri (1996). *The Wholeness of Nature: Goethe’s Way Towards a Science of Conscious Participation in Nature*. Hudson, NY: Lindisfarne Press.

Bortoft is a physicist who studied with David Bohm (see annotations in sections 9 and 10). He has written one of the definitive works on the scientific method of Johann Wolfgang von Goethe, the German genius better known for his poems, novels, and

plays (e.g., *Faust*). Drawing from diverse thinkers in the fields of philosophy, science, and epistemology, Bortoft explains that Goethe made the distinction between the kind of thinking that begins with the finished product, and a more dynamic thinking, which looks instead for the coming-into-being of that object. Goethe's objective was to develop a different kind of seeing, one that sees in every appearance a partial manifestation of an otherwise latent wholeness. For Goethe, seeing was an "exact sensorial imagination, in which imagination becomes an organ of perception." The perceiving imagination beholds the wholeness of a phenomenon. For this to happen, "You have to slow down... You create the image of what you see in your mind and you do that as precisely as possible. For example, you look at a leaf and you create the shape of the leaf as precisely as possible in your mind." In time, the observer holds in his or her mind the entire metamorphosis of what is seen and so beholds it as a whole: not only the plant with its leaves and flowers, but also the plant that is mere branch in the winter, or fruit and seed in the fall. Bortoft equates this form of seeing with the properties of a hologram, in which the whole is present in the parts.

Kabat-Zinn, Jon (2005). *Coming to Our Senses: Healing Ourselves and the World through Mindfulness*. New York: Hyperion.

Mindfulness meditation is among the most powerful tools for sharpening the sense organs. This is the most recent of several good books on this practice by the physician who revolutionized the practice of stress reduction through use of mindfulness meditation. "Applying mindfulness in the moment of contact... we can rest in the openness of pure seeing, without getting caught up in our highly conditioned, reactive, and habitual thinking or in a stream of disturbance from the feeling realm, which of course only leads to more disturbance and turbulence of mind, and carries us away from any chance of appreciating the bare actuality of what is." Seeing in this way is good for us and good for the world, as we are more likely to be able to "respond in an effective and authentic way." Kabat-Zinn quotes Proust, "The true journey of discovery consists not in seeking new landscapes but in having fresh eyes." His book makes an eloquent case for one way of developing fresh eyes.

Keller, Evelyn Fox (1983). *A Feeling for the Organism: The Life and Work of Barbara McClintock*. New York: W.H. Freeman.

This biography of a distinguished genetic scientist tells the fascinating story of how a maverick arrived at revolutionary insights at strong variance to the dominant thinking in the field. McClintock's discoveries, based on the genetics of corn, were the direct result of her convictions about a way of seeing. "The important thing is to develop the capacity to see one kernel that is different and make that understandable." Through her "feeling for the organism," she was able to keep her vision unclouded by the dominant paradigm of molecular biology which had overtaken the field. Her careful observations, in the spirit of science as Goethe conceived it (see above annotation), led her to a discovery of genetic mobility across cells, arising from environmental influences, something thought to be impossible.

Weschler, Lawrence (1982). *Seeing is Forgetting the Name of the Thing One Sees: A Life of Contemporary Artist Robert Irwin*. Berkeley, CA: University of California Press.

Weschler, known to readers of the *New Yorker* for his knack for uncovering eccentric geniuses, paints an absorbing portrait of a Los Angeles artist whose life and work embody key principles of the U-Process. Irwin constructed an approach to art based on continuous inquiry, grounded in seeing things as free from conceptual filters as possible. Early in his career he abandoned representation—“a second order of reality”—seeking instead “a first order of presence.” His questions led him from abstract expressionism to drawing lines, then dots, then disks created in explicit relationship to the surrounding wall. Eventually his art expanded beyond the canvas to encompass the surrounding room and finally whole environments. For Irwin, art was about “presence, phenomenal presence.” Irwin financed his art by consistently profitable betting on horses, relying on having learned to “pay attention to everything” including “kinds of information that don’t reveal themselves in a logical manner.” “Intuition,” he says, “is about sensing facts before they materialize.” Irwin’s life makes vivid and concrete the power of key dimensions of the “U”.

Further Reading

Franck, Frederick (1973). *Zen of Seeing: Seeing/Drawing as Meditation*. New York: Vintage Books.

Merleau-Ponty, Maurice (1964). *The Primacy of Perception*. Evanston, Illinois: Northwestern University Press.

Natanson, Maurice (1973). *Edmund Husserl: Philosopher of Infinite Tasks*. Evanston, Illinois: Northwestern University Press.

Seamon, David and Arthur Zajonc (editors) (1998). *Goethe’s Way of Science: A Phenomenology of Nature*. New York: SUNY Series in the Environmental and Architectural Phenomenology.

Teilhard de Chardin, Pierre (1975). *The Phenomenon of Man*. New York: HarperCollins. See especially the Foreword: “Seeing”.

Varela, Francisco, Evan Thompson, and Eleanor Rosch (1991). *The Embodied Mind: Cognitive Science and Human Experience*. Cambridge, MA: MIT Press.

- 3. Seeing current reality in its full complexity requires recognizing the systemic patterns that shape perception and behavior.** Reality is shaped by systemic forces that are not evident to the untrained eye. Recognition of those forces enables us to see more clearly the reality that is experienced by others and the ways in which we unknowingly contribute to the reality that we experience.

Oshry, Barry (1995). *Seeing Systems: Unlocking the Mysteries of Organizational Life*. San Francisco: Berrett-Koehler.

Oshry provides one of the most useful accounts of system dynamics in organizations. He vividly depicts the organizational worlds of “tops,” “middles,” “bottoms,” and “customers,” arguing persuasively that people in those roles experience different realities. These realities lead most people to resort to a “reflex response” to survive. For example, “Bottoms” reflexively feel oppressed and blame “Them.” The reflex responses vary by world, but none work very well for those who use them or for the system as a whole. Oshry recommends an alternative set of “leadership stances” for each world that carry with them a corresponding set of “strategies.” Oshry’s company, Power & Systems, Inc. offers excellent simulations designed to teach awareness of these systemic patterns and how leaders contribute to them.

Senge, Peter (1990). *The Fifth Discipline: The Art and Practice of the Learning Organization*. New York: Doubleday/Currency.

(See especially chapters 4-8 on systems thinking.) Senge describes five “disciplines” that contribute to building learning organizations—organizations that support individuals and groups in undertaking the kinds of conversation and reflection that enable learning from experience and creatively adapting to new challenges. The five disciplines are personal mastery, mental models, shared vision, team learning, and (the “fifth discipline”) systems thinking. This is an excellent book for appreciating the complexities and subtleties of systemic forces in organizations and avoiding some of the traps that members of systems tend to fall into (e.g., failure to see causal connections and focusing on blaming rather than learning).

Further Reading

Capra, Fritjof (2002). *The Hidden Connections: A Science for Sustainable Living*. New York: Anchor Books.

Waldrop, Mitchell (1992). *Complexity: The Emerging Science at the Edge of Order and Chaos*. New York: Simon and Schuster.

- 4. Contemporary science shows that there are hidden dimensions of connection underlying everyday reality.** Scientific findings in the past century have shaken common-sense understandings of the world and suggest new possibilities for how things are connected that have profound implications for learning and change. For example, modern physics shows that at the quantum level matter dissolves into space that is almost entirely empty. But at this level one gains insight into forms of connectedness that escape the naked eye. Electrons that are split and separated by

thousands of miles rotate in sync with one another. Findings of this kind, drawn from quantum physics, suggest that all things may be interconnected in unseen ways.

Greene, Brian (2004). *The Fabric of the Cosmos: Space, Time, and the Texture of Reality*. New York: Knopf. A leading contributor to string theory, Greene offers a comprehensive, well-written, and up-to-date introduction to the “new layers of reality that modern physics has discovered lying just beneath the surface of our everyday world.” He achieves a good balance between providing accounts of the underlying science and remaining accessible to the non-expert reader.

Peat, David (2002). *From Certainty to Uncertainty: The Story of Science and Ideas in the Twentieth Century*. Washington, D.C.: Joseph Henry Press.

Peat integrates his professional training in theoretical physics with a broad concern for how to bring wisdom to the solution of contemporary social challenges. Writing for a non-specialist audience, he offers a well written and accessible account of the impact of key theories in modern science—relativity, uncertainty, incompleteness—on the paradigms that shape post-modern thought. As the title suggests, Peat “traces the rise and fall of the deterministic universe,” showing how the erosion of the notion of certainty in science has reverberated in other disciplines. Elsewhere Peat has co-authored works with David Bohm, a physicist whose theory of an “implicate order” supports a key theme the U-Process—the existence of a field of collective intelligence (see section 9). Here Peat explains the basis for Bohm’s theory, describing the “holistic and mutually enfolding” order that exists at the quantum level of reality. In Peat’s view, the theory of an implicate order is one of several explanations for the existence of meaningful coincidences, a point of view that he addresses in depth in another book: *Synchronicity: The Bridge Between Matter and Mind*. New York: Bantam (1987).

Zohar, Danah and I. N. Marshall (1990). *Quantum Self: Human Nature and Consciousness Defined by the New Physics*. New York: William Morrow and Company.

Zohar, trained in physics, philosophy, and religion, reviews key findings of the “new physics” to explore their philosophical and psychological implications. Her writing bristles with the excitement of having discovered a foundation for a more holistic view of life that can serve as an antidote to the alienation and fragmentation that she sees as prevalent in modern times. Zohar avoids glib generalizations, always sticking closely to the underlying physics, of which she displays a deep understanding. Readers who want more detail on the physics may wish to consult Brian Greene’s work (see the annotation above). However, Zohar offers a lucid albeit challenging treatment of the implications of quantum mechanics for consciousness, for the relationship between mind and body, for personal identity, and for relationships, in each case describing the basis for a new and optimistic view of human nature.

Further Reading

Capra, Fritjof (2002). *The Hidden Connections: A Science for Sustainable Living*. New York: Anchor Books.

Zajonc, Arthur (1993). *Catching the Light: The Entwined History of Light and Mind*. New York: Bantam.

Zukav, Gary (1980). *The Dancing Wu Li Masters: An Overview of the New Physics*. New York: Bantam.

5. **Reflective and generative conversations are critical tools for uncovering and exploring differing views of reality.** Habitual modes of talking—be they polite or blunt—often obscure rather than enhance communication. Understanding the reality that others experience requires the skills of *reflective* conversations, in which we test our own assumptions and inquire into those of others. The ability to create new realities is radically enhanced by *generative* conversations, in which we submerge our individual sense of self and allow a group intelligence to arise.

Isaacs, William (1999). *Dialogue and the Art of Thinking Together: A Pioneering Approach to Communicating in Business and in Life*. New York, Currency.

Group dialogue is an essential tool for traversing the “U.” Building on the work of physicist David Bohm (see the annotation in section 9) Isaacs defines dialogue as “a conversation with a center, not sides.” Bohm offers the metaphor of a river flowing between two banks. The result of this flow is the generation of ideas that no one party could have imagined on their own. Isaacs defines the atmosphere of such dialogue as a “field” from which new ideas can be brought forth. To enable this field, it is necessary to create a safe setting for the participants. Isaacs defines this setting as a “container” which can be created by practicing four key behaviors: genuine listening, respecting one another, suspending judgment, and speaking with one’s own voice. When we greet opinions that are different from our own with questions rather than rebuttals, we encourage the “free flow of meaning” that constitutes dialogue. A prerequisite for doing so is the acknowledgement that each of us is more than our opinions. While including many inspiring case studies, the book stops short of being a practicum for implementing dialogue sessions. For practical dialogue exercises, Isaacs was the primary contributor of the “Team Learning” chapter of *The Fifth Discipline Fieldbook* by Peter Senge *et al* (New York: Currency Doubleday, 1994).

Further Reading

Bohm, David (1996). *On Dialogue*. London, Routledge.

Hutchens, David (2005). *Listening to the Volcano: Conversations That Open Our Minds to New Possibilities*. Waltham: Pegasus Communications.

Stone, Douglas, Bruce Patton, and Sheila Heen (1999). *Difficult Conversations*. New York: Viking Press.

Presencing

- 6. Leadership is as much about ways of being as it is about ways of doing.** As Generon co-founder Bill O'Brien has said, "The effectiveness of an intervention depends on the interior condition of the intervener." In order to generate solutions to the problems currently facing the world, we need leaders who have not simply developed an effective leadership "style," but have cultivated modes of consciousness like that which we call "presencing." To presence is to attend to one's experience in ways that transcend one's preconceptions and historical ways of making sense. It involves letting go of old identities and certainties, along with the need to control, and letting come fresh perceptions and insights. Leadership who can "presence" have the capacity to mobilize attention to problems from the advantageous leverage point of a level of consciousness that is likely to be higher than that which created the problems in the first place.

Csikszmentmihalyi, Mihaly (1990). *Flow: The Psychology of Optimal Experience*. New York: Harper & Row.

This rigorously researched work describes a high performance state of mind that is accessible to many people under certain conditions and shows up in activities as diverse as chess, rock climbing, creative acts and states of rapture. By "flow" the author means "the wholistic sensation present when we act with total involvement." It is characterized by the merging of acting and awareness. In this sense "flow" has similarity with "presencing." Citing Maslow, the author reports that people describing this state often use terms like "loss of ego," "loss of self-consciousness," and even "fusion with the world." It is a state of mind that is very pleasurable and that also generates very effective outcomes. Csikszmentmihalyi describes the conditions that appear to be required by a flow state. But the larger point is that effective engagement in work or play is often directly related to the quality of the consciousness of the performer.

Gallwey, Timothy (2000). *The Inner Game of Work*. New York: Random House Trade Paperbacks.

Gallwey's *Inner Game of Tennis* made a stir when it came out in the 1970s, showing how high performance in tennis was better served by a quality of consciousness of the tennis player—the quality of attention to playing—than by a focus on winning, which was in fact counterproductive. In this book he applies the same principle to the

workplace, arguing that the key to the “game of work” is valuing awareness, consciousness, paying close attention to what is happening within and around us. In work, as in tennis, there is a higher game than simply winning. At the same time, by his emphasis on creating conditions in organizations that are conducive to learning, Gallwey points in a direction that has the potential to unite the inner game of satisfying oneself and the outer game of achievement by creating organizations that are both effective and satisfying for their members. As Peter Block writes in the preface, “...learning and performing are one and the same thing. High performers are people who simply learn faster. We learn faster when we pay attention and see the world the way it is...” Thus leaders do well to cultivate the consciousness that enables them to pay attention and to foster that quality in others.

Goleman, Daniel, Richard Boyatzis and Annie McKee (2002). *Primal Leadership: Realizing the Power of Emotional Intelligence*. Boston, MA: Harvard University Press.

This book links Daniel Goleman’s earlier work on “emotional intelligence” with an approach to leadership. The first book suggested that although leaders can be effective by using different styles, effective leaders are alike in having a high degree of emotional intelligence—without which a high IQ or high expertise are insufficient. Goleman identified five components of emotional intelligence—self awareness, self regulation, motivation, empathy, and social skill. This book goes on to argue that a leader’s moods have enormous power and should be consciously managed to establish a positive environment. Therefore a top executive’s primal task is emotional leadership. The book also presents a set of recommended leadership styles, however it is grounded in the notion that the consciousness of the leader is a critical component of effectiveness. The key points of the book concerning emotional leadership are summarized in “Primal Leadership: The Hidden Driver of Great Performance” *Harvard Business Review* (December, 2001, pp. 42-53).

Kegan, Robert (1994). *In Over Our Heads: The Mental Demands of Modern Life*. Cambridge, MA, Harvard University Press.

Kegan, a developmental psychologist, offers one of the more intriguing of a number of current “stage” models of adult development. Extending the work of Piaget, who has shown that children evolve through relatively well-defined stages in which their ability to reason expands, Kegan argues that adults have similar potential to continue to evolve to higher states of consciousness. Unfortunately, the kinds of challenges that we face in modern Western life—at work, in marriage, and in parenting—require us to have developed further than most of us do: thus we are “in over our heads.” To effectively deal with these challenges, we will be best served by leaders who have succeeded in attaining higher stages of development.

Sternberg, Robert (ed.), (1990). *Wisdom: It's Nature, Origins, and Development*. Cambridge: Cambridge University Press.

For those with a more theoretical interest in the qualities of higher consciousness, Sternberg brings together a rich set of essays exploring what is meant by “wisdom.”

Torbert, Bill and Associates (2004). *Action Inquiry—The Secret of Timely and Transformational Leadership*. San Francisco: Berrett-Koehler.

Like Kegan (see the preceding annotation), the authors believe that people evolve through discrete stages of consciousness that create implicit “frames” for organizing reality and taking action. These frames—to which Torbert has given names such as “Opportunist, Diplomat, Expert, Achiever”—are a quality of consciousness that characterize a person’s overall approach to leadership. Growth as a leader requires commitment to evolving through successive frames, each of which includes the capacities of the former. Torbert and colleagues build on this perspective and integrate it with Torbert’s previous work to offer a version of the Action Science advocated by Argyris and Schön (see section 1). The term “action inquiry” reflects an emphasis on taking action in ways that are informed by inquiry and continuously open to learning. The approach is grounded in a set of skills and underlying mindsets that have their roots in the idea—to be found in Argyris and Schon and made more popular by Senge’s *Fifth Discipline* (see annotation in section 3)—of combining an emphasis on “advocacy” with a balanced emphasis on “inquiry.” This emphasis on the consciousness underlying effective action greatly enriches the framework, which provides a powerful synthesis. This work is summarized in a recent article by David Rook and William Torbert, titled “Transformations of Leadership,” *Harvard Business Review*, April, 2005: 66-77.

Further Reading

Buber, Martin. (2000). *I and Thou*. New York: Scribner.

Lao-tzu (1988). *Tao te Ching*. New York: Harper-Collins. (Translated by Stephen Mitchell.)

Krishnamurti, Jiddu and David Bohm (1985). *The Ending of Time*. New York: Harper and Row.

Tolle, Eckhart (2003). *Stillness Speaks*. Novato, CA: New World Library

Wilber, Ken (2000). *Integral Psychology: Consciousness, Spirit, Psychology, Therapy*. Boston: Shambhala.

- 7. Nature is a powerful instrument of personal transformation.** Solo immersions in nature enable individuals to access deeper levels of awareness and knowing. Such

experiences facilitate clarity about individual identity (“Who am I?”) and purpose (“What is my work?”). It is difficult to engage with such questions in our day-to-day lives because we live in environments in which stimuli from many sources—from architecture to television—overwhelm our inner landscape and dilute our innate knowing. Being alone in nature frees our attention from these distractions, enabling us to focus on subtle perceptions at the periphery of our awareness and access the intuitive powers that are the source of the greatest creativity.

Milton, John (1991). *The Healing Power of Nature*.

http://www.sacredpassage.com/resources/articles_0001.php.

Milton is a renowned nature guide and spiritual leader. In this short article he describes the perspectives and experiences that have led him to believe deeply in the transformation power of nature to cleanse and revitalize. His experience is that such healing can occur even on the basis of brief visits.

Moore, T. & Russell, K. C. (2002). *Studies of the Use of Wilderness for Personal Growth, Therapy, Education and Leadership Development: An Annotation and Evaluation*. Moscow ID: University of Idaho Wilderness Research Center.

This paper is a compilation of 247 annotations of published, research-based literature pertaining to the use of wilderness for personal growth, therapy, education, and leadership development. Many of the outdoor- and wilderness-based programs referenced have been in existence for over 50 years, with strong influences found in the Outward Bound wilderness challenge model brought to the U.S. in the early 1960s. Findings tend to support the notion that participation in wilderness experience programs results in positive benefits, such as enhanced self-esteem and sense of personal control. Negative results from participation are virtually non-existent. The authors do express overall disappointment at the maturity of the field of wilderness research, which has historically lacked rigor. However, they also note a positive trend in the empirical nature of such research as evidenced by “a growing acceptance by the scientific community of the quality of research in this field.”

Muir, John (1954). *The Wilderness World of John Muir*. Edwin Way Teale, Ed. Boston: Houghton Mifflin.

A selection of writings on nature, as seen through the perceptive and passionate eyes of the father of modern conservation. Muir’s lifelong passion for nature was a driving force behind the creation of our National Park system as well as the Sierra Club.

Player, Ian (1998). *Zulu Wilderness: Shadow and Soul*. Golden, CO: Fulcrum Publishing.

A moving tribute by a white South African game warden to his longtime Zulu tracker. Player is a renowned leader of nature retreats. In this and other books he writes eloquently of the profound impact on himself and others of experiences in the wilderness. Founder of the Wilderness Leadership School, his lifelong passion to save the wilderness has led many to consider him as “the man who saved the white rhino.”

Further Reading

Abbey, Edward (1999). *Desert Solitaire*. New York: Ballantine Books.

Benyus, Janine M. (1999). *Biomimicry: Innovation Inspired by Nature*. New York: William Morrow & Company.

Lopez, Barry (1986). *Arctic Dreams: Imagination and Desire in a Northern Landscape*. New York: Charles Scribner's Sons.

Snyder, Gary (1990). *The Practice of the Wild*. New York: North Point Press.

Zimmerman, Michael (1988). “Quantum Theory, Intrinsic Value, Pantheism,” *Environmental Ethics* (10), 3-30.

- 8. Powerful leadership follows from a sense of connection to purpose.** Connecting with one's life purpose enables insight into actions that represent a melding of one's passion with one's highest future possibilities. Surrendering to one's purpose leads to a spontaneous knowing of what to do. This involves letting go of one's narrow identity and opening up to a larger self, taking a stance of not knowing and letting come what emerges. Alignment with a sense of purpose facilitates synchronicities—meaningful “coincidences”—that support one's intention. It is as if firm intention calls forth responses from the world that affirm and support the intention. Thus the commitment to place oneself in service to a larger purpose is itself an act that begins to make manifest the underlying intention.

Greenleaf, Robert (1977/1991). *Servant Leadership*. New York: Paulist Press.

Greenleaf believes that great leaders are primarily servants who are attuned to the needs and voices of those to be served. This perspective puts great emphasis on the mindsets and skills that enable listening, accepting, and empathy. Although this orientation is presumed to naturally lead to effective actions in any situation, Greenleaf pays particular attention to the role of “trustees” (defined as board members of both profit-making and non-profit organizations) and discusses leadership not only in business but also in education, foundations, and churches.

Jaworski, Joseph (1998). “Destiny and the Leader,” in L.C. Spears, ed., *Insight on Leadership: Service, Stewardship, Spirit and Servant-Leadership*. New York: John Wiley & Sons, pp. 258-287.

The author of *Synchronicity* (annotated below) elaborates on the debt he owes author Robert Greenleaf in the development of his own model of leadership. Greenleaf’s writings (see *Servant Leadership*, also annotated above) served as a major inspiration for Jaworski in his own life’s journey. Here Jaworski focuses on the process through which individuals and organizations discover and serve their purpose, a self-fulfilling destiny. Jaworski sees three shifts of perspective required to “participate in our unfolding future”—first, seeing the universe as dynamic and open rather than fixed and deterministic; second, acknowledging the interconnectedness of all things; and third, the power of commitment. Drawing from personal experience, Jaworski suggests that once committed to a meaningful higher purpose, “a sense of flow develops, and we find ourselves in a coherent field of others who share our sense of purpose.” Further, a precise goal is less important than pure intent and accurate self-knowledge: “it is more important to know who you are than where you are going, for where you are going will change as the world around you changes.”

Jaworski, Joseph (1996). *Synchronicity: The Inner path of Leadership*. San Francisco: Berrett-Koehler.

A co-author of *Presence*, Jaworski’s contribution to the U-Process is grounded in a conception of leadership that evolved from a journey of personal transformation and influenced by the views of Robert Greenleaf (see above annotation). This journey began when he made a decision to follow a personal vision. From that moment, he began to experience extraordinary coincidences that served to support him on his path. This led him to the conviction that such “synchronicity” (meaningful coincidence) is the natural consequence of clarifying one’s intention, owing to an underlying “unfolding creative order.” The journey that began with his commitment to his vision led him to leave his law firm, found the American Leadership Forum, and head global scenario planning for Royal Dutch/Shell. In his role as planner, Jaworski realized the power of an approach that assumed that the future could be shaped, rather than merely reacted to. The capacity to shape the future follows from a commitment to follow one’s inner voice and then let the journey unfold. This kind of leadership, which can bring forth “predictable miracles,” is more about “being” than “doing.” Jaworski went on to become cofounder and chairman of Generon Consulting, a consulting firm that uses the U-Process to bring about transformation in society and in organizations.

Murray, W.H. (1951). *The Scottish Himalayan Expedition*. London: J.M. Dent and Sons.

A compelling account of the power of commitment in overcoming obstacles can be found in this journal of a mountain-climbing expedition. Murray writes, “The moment one definitely commits oneself, then providence moves too.”

Further Reading

Hillman, James (1996). *The Souls' Code: In Search of Character and Calling*. New York: Random House.

Hopcke, Robert (1997). *There Are No Accidents: Synchronicities and the Stories of our Lives*. New York: Riverhead Books.

Palmer, Parker (2000). *Let Your Life Speak: Listening for the Voice of Vocation*. New York: John Wiley and Sons.

Peat, David (1987). *Synchronicity: The Bridge Between Matter and Mind*. New York: Bantam.

Wallman, Peter and Rachel Flower (2003). *The Wisdom of Passion*. Sydney: Richard Ventures Pty Limited.

9. **Individual and team leadership is dramatically enhanced by accessing the field of collective intelligence.** When groups are faced with a crisis they sometimes discover a group mind or intelligence, enabling extraordinary performance. Members share an unspoken sense of what is to be done and how to do it, seamlessly coordinating their actions in service of a common goal. The existence of a “field” that is the medium for such intelligence has been a long-standing assumption in many wisdom traditions and is now gaining support within pockets of the scientific community. Presencing practices (see section 12) aim to cultivate access to such group intelligence without relying on an external crisis. A shared sense of the deep connectedness that can result from experiences in nature (see section 7) can also forge a bond within a group that has a similar effect.

Bohm, David (1984). *Wholeness and the Implicate Order*. London: Ark Paperbacks.

In the latter stages of a distinguished career, British physicist David Bohm concluded that quantum theory could only be understood by positing the existence of an “implicate order,” complementing a surface-level “explicate order.” In his view reality unfolds from a patterned invisible level into the visible world we see. In the implicate order all things are connected through quantum forces. For example, Bohm predicted that when an atomic particle is split in two and the spin of one half of the split particle is altered, the spin of the other would also change instantaneously, independent of the distance separating them. This idea was tested and confirmed by one of Bohm’s students, J.S. Bell, and has become known as Bell’s Theorem. This experiment—and other similar ones—has established the principle of “non locality,” i.e., “events that are separated in space and that are without possibility of connection through interaction are correlated, in a way that it can be shown is incapable of a detailed causal explanation” (p. 214). Put more simply, we live in a universe in which action at a distance is possible through quantum forces. One interpretation of the

implicate order is that it constitutes a field in which information is stored and to which humans have access when properly in tune.

Centered on the Edge: Mapping a Field of Collective Intelligence and Spiritual Wisdom (2001). Kalamazoo, MI: Fetzer Institute.

This report on a study of collective intelligence features summaries of interviews with leaders from all sectors regarding their experiences with group intelligence. An example of qualitative rather than rigorous empirical research, the report contains a number of compelling stories of transformational moments in groups as well as summary of principles and practices inferred from the interviews.

Hamilton, Craig (2004). “Come Together: The Mystery of Collective Intelligence,” *What Is Enlightenment: Issue 25, 57-77.*

This article provides a well-written overview of the many strands of thought and evidence that contribute to the emerging notion of “collective consciousness” or “group mind.” Hamilton points out that the former term generates 64,000 hits on Google; the latter 20,000. The article is based on interviews with a number of the people whose thinking has contributed to the notion of collective intelligence, as diverse as scientist Rupert Sheldrake and basketball coach Phil Jackson (see the annotations on their works, below). It is followed by a short review of the supporting research (“The Science of Collective Consciousness” by Robert Kenny, pp. 78-79).

Jackson, Phil. (1995). *Sacred Hoops: Spiritual Lessons of a Hardwood Warrior.* New York: Hyperion.

Jackson led the Chicago Bulls and the Los Angeles Lakers to a series of championships that they had both been unable to achieve previously despite having strong talent. He attributes the success to his ability to help them create a collective intelligence based on setting aside individual egos. The resulting group mind enabled them to act “as if they were totally connected to one another,” a phenomenon that has often been reported by athletes.

Laszlo, Ervin (2004). *Science and the Akashic Field: An Integral Theory of Everything.* Rochester, VT: Inner Traditions International.

Although Laszlo does not have scientific training, his wide-ranging knowledge and depth of perspective has gained him respect as a scholar of science and led to his contribution to a number of influential initiatives (e.g., the third report of the Club of Rome). In this most recent of his 74 books, he proposes a theory—The A-Field (short for Akashic, which means “ether” in Sanskrit)—that would account for a number of puzzles in contemporary science. He reviews puzzles in cosmology, (e.g., the accelerating expansion of the universe), quantum physics (e.g., the phenomenon of “non-locality,” or action at a distance), biology (e.g., the extraordinary coherence of the parts of living organisms) and consciousness research (e.g., the recurrence of

“universal” symbols and archetypes across cultures that had no contact with one another). From his review of these puzzles, Laszlo concludes that the “simplest and most meaningful explanation” of the evidence he marshals is the existence of the A-Field alongside other fundamental fields that have been proved to exist: e.g., the G field (gravity) and the EM field (electromagnetic). The A-field is a “fundamental information field” at the heart of the universe, which shapes reality by “in-forming” it according to basic laws. This information field contains a record of everything that has ever happened in the material world. In Laszlo’s view, it confirms the “perennial intuition, present in traditional cosmologies and metaphysics,” that a cosmic field underlies and links all things in the world. Laszlo’s provocative work would be more compelling if he provided specific references for the evidence that he presents. He also acknowledges that this theory is not yet proved, but it appears to offer a plausible explanation for phenomena that are otherwise hard to explain.

Rosch, Eleanor (1999). *Primary Knowing: When Perception Happens from the Whole Field: An Interview with Professor Eleanor Rosch.*

<http://www.dialogonleadership.org/interviewRosch.html>

One of the interviews that contributed most directly to the theory of knowing embodied in the U-Process was this one with Berkeley cognitive scientist, Eleanor Rosch. Professor Rosch talks of “primary knowing,” a kind of perception in which “you start to be aware of perception happening as it actually does happen from the whole field, not from within a separated perceiver.” Why talk of a “field?” “The notion of field was the closest thing I could come to this sense of integration in our current sciences...When you get even a glimpse of it, you realize that we don’t actually act as fragmented selves the way we think we do.”

Sheldrake, Rupert (1988). *The Presence of the Past: Morphic Resonance and the Habits of Nature.* London: Collins.

Sheldrake is a biologist who has conducted a wide range of experiments that appear to provide support for what he calls a “morphic field.” Sheldrake posits the existence of such a field based on studies in which he, for example, documents the ability of individuals to learn things more easily once someone else has learned it (using crossword puzzles), and the ability of animals to instantaneously sense when a distant owner has made a decision to come home. He suggests that such a field accounts for a number of puzzling phenomena, such as the ability of flocks of birds to turn at the same time and the commonly experienced ability to sense when someone is watching you. Sheldrake’s findings have not yet gained acceptance in the scientific establishment, but his credentials as a researcher, and their congruence with the ordinary experience of many individuals, make his findings hard to dismiss.

Further Reading

Bache, Christopher (2000). *Dark Night, Early Dawn.* Albany: State University of New York Press.

McTaggart, Lynn. (2002). *The Field: The Quest for the Secret Force of the Universe*. New York: Harper Collins.

Surowiecki, J. (2004). *The Wisdom of Crowds: Why the Many are Smarter than the Few*. New York: Doubleday.

Touber, Tijn (2003). "The Amazing Promises of the Zero Point Field." *Ode Magazine*, November, 2003. (<http://www.odemagazine.com/article.php?aID=3773>)

10. Leaders can increase their effectiveness by leveraging their "primary knowing."

In modern Western societies we tend to view logic and thought as the only reliable sources of knowledge and action. However, increasing evidence demonstrates the limits of analysis and points to the power of intuition as a means of knowing and deciding, especially when situations are unstructured and the data are multiple and complex. The U-Process is based on the assumption that a particularly powerful form of intuition—"primary knowing"—enables access to knowledge that does not directly depend on sensory data and experience. Rather its source is a field of collective wisdom, access to which can be cultivated by enhancing one's powers of awareness and receptivity.

Klein, Gary (2003). *Intuition at Work: Why Developing Your Gut Instincts Will Make You Better at What You Do*. New York: Currency/Doubleday.

The author is a respected practitioner who has trained Marines, among other professionals, to increase their intuition. Klein offers a pragmatic definition of intuition: "the way we translate our experience into action." In his model, *situations* generate *cues* that enable people to recognize *patterns* that trigger *action scripts*. The action scripts are tested by *mental simulations* using relevant *mental models*. All this is done tacitly, drawing on experience. Klein's work has helped build appreciation for a kind of knowing that goes beyond logic and analysis. At the same time, his notion of intuition is quite limited in comparison with "primary knowing" as described by Eleanor Rosch that is advocated in *Presence* (see the annotation on her interview in section 9, and the annotation immediately below).

Rosch, Eleanor (1999). *Primary Knowing: When Perception Happens from the Whole Field: An Interview with Professor Eleanor Rosch*.

<http://www.dialogonleadership.org/interviewRosch.html>.

Professor Rosch uses the term "primary knowing" to describe the kind of knowing that happens when presencing, at the bottom of the U. She has combined scientific rigor to arrive at conclusions that appear radical in an academic context but which are quite consistent with ancient wisdom traditions. For example, "The body is a kind of energy system that can actually serve as a bridge to wisdom knowing. The heart may be the best access through the physical system to this kind of wisdom." In her view,

“primary knowing” is a form of knowledge that does not depend directly on sensory data or even past experience. “Intention, body, and mind come together” to enable access to a field of consciousness in which the knower tunes into a storehouse of knowledge going beyond the individual’s prior experience.

Palmer, Helen (1998). *Inner Knowing: Consciousness, Creativity, Insight, Intuition*. New York: Jeremy P. Tarcher/Putnam.

A stimulating and wide-ranging collection of essays on the qualities of inner knowing and how to develop it, with contributions from leading writers and practitioners.

Further Reading

Gladwell, Malcolm (2005). *Blink: The Power of Thinking without Thinking*. Boston: Little, Brown and Company.

Franquemont, Sharon (1999). *You Already Know What to Do*. New York: Penguin-Putnam.

Polanyi, Michael (1983). *The Tacit Dimension*. New York: Peter Smith Publications Inc.

Varela, Francisco, Evan Thompson, and Eleanor Rosch (1991). *The Embodied Mind: Cognitive Science and Human Experience*. Cambridge, MA: MIT Press.

Wedemeyer, Richard and Ronald Jue (2002). *The Inner Edge: How to Integrate Your Life, Your Work, and Your Spirituality for Greater Effectiveness and Fulfillment*. New York: McGraw Hill.

Realizing

11. Transformational change can be effected by changing the consciousness of a small number of individuals. The emphasis in *Presence* is on illuminating the “blind spot” of leaders’ consciousness. Yet the ultimate aim of the book is to encourage change at the institutional level. This is necessarily a collective process, involving co-sensing, co-presencing, and co-realizing. Co-realizing comes about when individual commitment aggregates to a larger scale. Social movements often result from an individual or small group of individuals who play a central role in catalyzing mass social change. Similarly, organizational change is often the result of leadership initiatives that begin in one part of the organization—typically the top—and spread, eventually reaching the point at which new habits of thought and behavior begin to be imitated without mandate. The U-Process highlights the role in reaching this “tipping point” of the field of consciousness that can be created by a few of visible leaders who share a common intention to bring about significant change. (See also the annotations and references in section 9, on “collective intelligence” and “the field.”)

Gladwell, Malcolm (2000). *The Tipping Point: How Little Things Can Make a Big Difference*. Boston: Little Brown and Company.

In the highly readable style for which he has become known to readers of *The New Yorker*, Gladwell surveys a wide range of events, products, and trends—as diverse as Hush Puppies, cigarettes, Sesame Street, and the rapid downturn in New York crime—pointing to a common denominator: they are phenomena that spread like viruses. They do so when the impact of a small incident or stimulus reaches a “tipping point.” Gladwell uncovers three laws that appear to account for such epidemic change. The first, the “Law of the Few,” reinforces the famous quote by Margaret Mead—“Never doubt that a small group of thoughtful, committed citizens can change the world. Indeed, it’s the only thing that ever has.”

Further Reading

Gandhi, Mohandas Karamchand (1993). *Autobiography: My Experiments with Truth*. London: Dover.

Ball, Philip (2004). *Critical Mass: How One Thing Leads to Another*. New York: Farrar, Straus and Giroux.

12. Personal transformation—the key to organizational and societal transformation—is enhanced by commitment to regular “presencing practices.”

An implicit theme of *Presence* is that personal practices can facilitate development of higher consciousness and deeper ways of seeing, sensing, and knowing.

Contemporary science confirms what wisdom traditions from many cultures have long known: that consciousness can be developed through a variety of practices. Through disciplined use of these practices we can cultivate states of consciousness that enable us to go beyond learning from the past, to respond creatively in the present, and learn what the future requires. These practices include disciplines that cultivate management of attention (e.g., meditation), enhance the flow of body energy (QiGong), and foster optimal brain wave patterns (e.g., neurofeedback and binaural beat technology). Below are annotations on these highly-recommended practices, a small subset of the many beneficial practices available.

General

Leonard, George and Michael Murphy (1995). *The Life We Are Given: A Long-Term Program for Realizing the Potential of Body, Mind, Heart and Soul*. New York: Tarcher/Putnam.

In this work two founding figures in the human potential movement argue that long-term personal transformation requires sustained personal practices. They favor an “integral” approach, focusing simultaneously on body, mind, heart and soul. The recommended “Integral Transformative Practice” is designed to bring the benefits of

serious long-term development into the lives of people who are busy with commitments to family and work. Their particular approach features affirmations, yoga, imaging, and meditation and is illustrated by Leonard in a useful videotape (*The Tao of Practice*), which is available through the authors. However, the general principle of a multi-dimensional sustained practice can be applied in a variety of ways.

Meditation

Across many spiritual traditions through the ages, from Christianity to Buddhism, meditation is a core contemplative practice for the attainment of wisdom or enlightenment. Recently, Western science has begun to generate compelling evidence in support of its benefits, which include alleviation of stress and enhanced ability to heal, along with heightened calmness, equanimity, creativity, and even happiness. Most important for the personal transformation of leaders, there is evidence that meditation decreases reflexive reactions to threats and upsetting events, enabling more mindful and strategic responses. While meditation is associated with spiritual practice, it may be fruitfully pursued as a secular practice, simply viewed as a scientifically-validated form of mind training.

Benson, Herbert (1975). *The Relaxation Response*. New York: Avon Books.

Benson, a professor of medicine at the Harvard Medical School, was among the first in the Western medical establishment to recognize and document the power of meditation as a tool for coping with stress and anxiety. Here he documents its power and describes a simple meditation exercise (“the relaxation response”) shown to have strong effects with only a few minutes of daily practice.

Goleman, Daniel (2003). “Cajole Your Brain to Lean to the Left,” *New York Times*, February 4, Section F: 5.

Goleman, known primarily for his work on “emotional intelligence,” is himself a long-time meditator, who has participated in collaborations with the Dalai Lama to explore the contribution of Buddhist psychology and meditation practice. In this short article he provides a good, short overview of evidence for the benefits of meditation.

Levey, Joel & Michelle Levey (2003). *The Fine Arts of Relaxation, Concentration, and Meditation*. Boston: Wisdom Publications.

The best introduction to meditation is probably in some course of instruction that provides opportunity for practice, questions, and discussion. However, for those with the self-discipline to initiate their own practice, this “mental fitness manual” provides a comprehensive overview of the various types of meditation, along with a description of many particular practices. As the title suggests, it also covers the related practices of relaxation and concentration. The focus is on practice, not theory.

Levine, Stephen (1991). *Guided Meditations, Explorations and Healings*. New York: Anchor Books, Doubleday.

Another book that has no theory or conceptualization, just a wealth of practices, mostly guided meditations.

Chinese Energy Practices

Practices such as Tai Chi and Qigong have much in common with meditation but focus more directly on the body. We find them powerful in combination.

Chuen, Master Lam Kan (1991). *The Way of Energy: Mastering the Chinese Art of Internal Strength with Chi Kung Exercise*. New York: Simon & Schuster.

This is a comprehensive guide to one of the most powerful forms of Qigong—”Standing Like a Tree.” By reading and following the various postures and positions presented in this book, one can begin to realize the gentle yet profound benefits of Qigong. This book is written in a way that is easily understood and is one of the first reference books on Zhan Zhuang Qigong for the Western reader. More than 100 drawings and full color photographs along with step-by-step instructions offer an introduction an entire sequence of rejuvenating positions.

Cohen, Kenneth (1997). *The Way of Qigong: The Art and Science of Chinese Energy Healing*. New York: Ballantine.

Another useful introduction to Qigong. See especially chapter 1.

Brain Wave Entrainment and Binaural Beat Technology

In recent decades new technologies have evolved for training the brain that appears to generate outcomes similar to those that result from sustained meditation. The “binaural beat” technologies are a special branch of “neurofeedback,” a form of biofeedback that focuses on the brain. (The emergence of this body of thought and practice is described in a highly readable book, by Jim Robbins, *Symphony in the Brain: The Evolution of the New Brain Wave Feedback*. (2000, New York: Grove Press.))

Based on personal experience we endorse these tools, not as a substitute for meditation but rather as a support. For those who find it difficult to “just sit,” these tools can make the practice more palatable. And for those who don’t have such difficulty, our personal experience and that of many others suggests that the results appear to enhance and accelerate the benefits of meditation.

These technologies take advantage of the scientific knowledge about the brain that has emerged in the last half century, which shows that the brain resonates at different frequencies, corresponding to different states of consciousness and activity. The frequencies are typically divided into four ranges—beta waves (13-35 Hz.), which tend to accompany task orientation; alpha waves (8-12.9 Hz.), which correspond to relaxation; theta waves (4-7.9 Hz.), which often correlate with visual imagery; and

delta waves, associated with sleep and the unconscious (0-3.9 Hz). The core idea common across the new technologies is that one can influence the frequency at which the brain resonates, and thereby affect consciousness, through the use of a particular kind of sound, the binaural beat. Such beats occur when two coherent sounds of nearly similar frequency are presented separately to each ear. The brain detects the phase differences between these sounds and responds by integrating the two signals and generating a third sound, a binaural beat. By regulating the frequencies to which each ear is exposed, particular frequencies, or combinations of frequencies can be generated, which “entrain” the brain to respond by coordinating its two hemispheres to produce corresponding brain waves. Meditation has been shown to decrease beta waves and increase alpha, theta and delta. Binaural beats accomplish a similar result by stimulating the brain with sound.

There are a variety of tools available based on this technology, with more appearing on the market almost daily. Below are introductory overviews of binaural beat technology providers that we believe worthy of consideration.

Atwater, F. Holmes (1999). *The Hemi-Sync Process.*

<http://www.monroeinstitute.org/research/hemi-sync-atwater.html>

The Monroe Institute was the pioneering organization in the creation and promotion of binaural beat technology. Its research director, Skip Atwater, has solid credentials, which include creation of the U.S. Army’s remote viewing program. This article, along with many others on the Monroe Institute web site, provides a detailed explanation of the science involved. A number of products resulting from this technology are available on the web site.

Awakened Minds (<http://www.awakenedminds.com/brainwave/brainwave.html>).

We find their *Insight* CD to be a powerful and well-packaged form of binaural beat. Information on their approach and other products is available on this web site. Awakened Minds claims to have developed a unique “harmonic layering” approach that enables their product to introduce powerful binaural beats (i.e., those associated with lower frequencies of the incoming sounds) without requiring gradual exposure. In theory, a single CD based on this technology is sufficient for sustained long-term development.

Harris, Bill (2002). *Thresholds of the Mind: Your Personal Roadmap to Success, Happiness, and Contentment.* Beaverton, OR: Centerpointe Research Institute.

The most widely used binaural beat program is probably Holosync. Holosync is distinctive in offering a series of CDs that aim to gradually develop the brain to continually higher levels of complexity by introducing increasingly lower “carrier frequencies” (the frequencies that are the source of the differences presented to the ears). Harris has integrated this technology into a comprehensive theory of consciousness and transformational change, which is described in this book. The key

points regarding binaural beat technology are available in an online article, *The Holosync Solution: An Introduction*.
http://www.centerpointe.com/index.php?page=product&sub_page=hitech

Heart Rhythm Coherence

Childre, Doc, Howard Martin, and Donna Beech (1999). *HeartMath Solution: The HeartMath Institute's Radical Program for Engaging the Power of the Heart's Intelligence*. New York: Harper Collins.

The HeartMath Institute has pursued research that takes seriously the metaphor of the heart as a center of deep feeling, wisdom and courage, aiming to understand the physiological mechanisms at work. This has resulted in identification of “heart rhythm coherence” as an important indicator of a person’s emotional state and overall well being. They find that high heart rhythm coherence corresponds to a state of attention that enables a person to perceive and respond to challenges in a more effective and less stressful way. The Institute staff also believes that this state of being can have a contagious, “entraining” effect on others. This book describes exercises designed to develop this state, which we find a useful complement to meditation and other more mind-centered practices. The Institute has also created affordable computer-based technology (the FreezeFramer) that provides feedback on heart rhythm coherence (<http://www.heartmath.com>) and features training exercises to develop it. A summary of the Institute’s research is given in *Science of the Heart: Exploring the Role of the Heart in Human Performance* (2001, Boulder Creek, CO: HeartMath Research Center).

Focusing

Gendlin, Eugene. (1978). *Focusing*. New York: Bantam.

Gendlin combined his professional skills as both philosopher and psychologist to create a powerful practice known as “focusing.” He was inspired to do so by research that he conducted showing that successful therapy is distinguished by the ability of the client to be aware of a “felt sense” of issues and concerns. This integrated awareness, going beyond the mere cognitive, is a powerful lever for personal change. An increasing number of therapists and coaches have integrated focusing into their practice. However, one can also cultivate the ability to become aware of one’s felt sense and leverage that awareness for personal learning and change without the support of another person. Practitioners of Gendlin’s method have refined the practice. See, for example, Ann Weiser Cornell, *The Power of Focusing: A Practical Guide to Self-Healing* (1996, Oakland, CA: New Harbinger Publications).

Open Focus

Fehmi, Lester and George Fritz (1980). “Open Focus: The Attentional Foundation of Health and Well Being.” *Somatics*, Spring 1980: 24-30.

Fehmi is a pioneer in neurofeedback, with a long track record of research and practice. In researching how to cultivate the ability to access the relaxed and creative states of mind corresponding to alpha and theta brainwave patterns, he discovered the

power of “letting go” of the narrow focus that typically accompanies concentration on achieving tasks. This led him to create a set of exercises that cultivate the capacity for “open focus,” a broader way of perceiving that integrates peripheral awareness with directed attention. These exercises encourage awareness of space along with the objects they occupy, and awareness of all of one’s senses at the same time. They are a very powerful tool for developing a deeper and more multi-sensory way of perceiving, as well as of “letting go” of attachments in the service of “letting come” what is there to be discovered. Fehmi has documented that practice of these exercises does in fact increase the generation of alpha and theta waves. This article and access to tapes/CDs with his exercises can be found at <http://www.openfocus.com>.

13. Personal transformation often requires overcoming personal immunities to change.

The emphasis in *Presence* is on the powerful consequences of commitment that is deeply grounded in a sense of purpose. However, even after transformative moments of deep insight, we are often limited by deeply ingrained habits of thinking and feeling that can undermine or significantly detract from our more noble commitments. Traditional thinking has relegated such concerns to the personal domain, labeling it “therapy.” Yet it has become clear that realizing commitments directly depends on aligning our entire being with our intentions, which invariably involves the personal. Presencing practices cultivate positive qualities and can attenuate the impact of conditioned patterns. But working directly on such patterns is often essential to reduce their influence.

Bennett-Goleman, Tara (2001). *Emotional Alchemy: How the Mind Can Heal the Heart*. New York: Harmony Books.

The author, writing in a tradition that goes back to Albert Ellis, believes that our behavior is driven by our thoughts and that one can identify and change the thoughts that drive dysfunctional behavior. Bennett-Goleman combines a long-standing practice of Buddhist meditation with training as a cognitive therapist. The book describes the relationship between these two influences on her practice. She argues that Buddhism is a form of cognitive therapy in that it attributes all suffering to flawed thinking, albeit of a particular kind. Both Buddhism and cognitive therapy encourage a self-conscious scrutiny of one’s thoughts as a way of understanding and gaining control over one’s emotions. She espouses mindfulness as a means to bring to consciousness the “schemas” that underlie counter-productive behavioral patterns, reducing their influence in the moment and eventually sapping them of power. Bennett-Goleman draws on a particular school of cognitive therapy represented by Jeffrey Young (see below).

Katie, Byron (2002). *Loving What Is: Four Questions that Can Change Your Life*. New York: Harmony Books.

Katie's work (which she calls "The Work") can be seen as one of many variations on the cognitive/rational approaches to therapy pioneered by Albert Ellis. Katie offers a particular procedure for examining and changing beliefs underlying counterproductive attitudes and behavior. She presents four questions that can be applied to such beliefs to highlight their limits. The questions are: 1) Is it true? 2) Can I absolutely know that it is true? 2) How do I react when I have that thought? And 4) What would I be without the thought? The book contains a number of transcripts of interactions between Katie and participants in her workshops, in which she applies the four questions to areas of distress in their lives with results that appear to represent dramatic breakthroughs for the individuals.

Kegan, Robert and Lisa Lahey (2001). *How the Way We Talk Can Change the Way We Work: Seven Languages for Transformation*. San Francisco: Jossey-Bass. The authors describe seven "languages" that are conducive to personal development and organizational change. Based on a subset of these languages, they have created a powerful exercise (known variously as the "Four Column" Exercise and the "Immunities to Change" exercise) that uses a set of questions to help individuals (or groups) identify the "Big Assumptions" that underlie the self-protective commitments that hold them back from fully realizing their commitments. A number of people have had life-changing epiphanies from doing this exercise. This book is summarized in "The Real Reason People Won't Change" (*Harvard Business Review*, November 2001, pp. 84-93). The book's underlying assumption is that how we act is an expression of how we think. Thus it focuses on thought patterns as a form of behavior that is within one's control and is the leverage point for personal change and—by extension—for higher impact as a leader.

Seligman, Martin (2001). *What You Can Change and What You Can't: The Complete Guide to Successful Self Improvement*. New York: Fawcett Columbine. Cognitive psychologist Seligman has written a useful manual for helping people determine what is feasible regarding self improvement. A surprising number of patterns and conditions are changeable (e.g. symptoms of depression, tendency to get panicked), whereas some are not (sexual identity, and for 90% of people, weight). The book is solidly grounded in research.

Young, Jeffrey and J. S. Klosko (1994). *Reinventing Your Life: How to Break Free From Negative Life Patterns*. New York: Plume. This book—in the tradition of cognitive therapy, which has evolved from Albert Ellis' Rational Emotive Therapy (see annotation under theme #1)—offers tools useful to understanding how we construct our models and change those that aren't working well. In the past several decades cognitive therapy has proved itself as a powerful tool in the treatment of depression (as effective as drugs) as well as in helping people reduce the less extreme forms of suffering that result from distorted thinking. Young and Klosko describe common self-defeating behavior patterns and provide a

methodology for changing them. “Lifetraps” (based on the cognitive therapy concept of “schema”) are deeply entrenched beliefs about ourselves and the world learned in early life. They typically begin with something damaging done to us, from which we draw lessons to lead us to continue to recreate the lifetraps. The authors identify 11 prototypical lifetraps: abandonment (“Please don’t leave me”); mistrust (“I can’t trust you”); emotional deprivation (“I’ll never get the love I need”); dependence (“I can’t make it on my own”); vulnerability (“Catastrophe is about to strike”); defectiveness (“I’m worthless”); failure (“I feel like such a failure”); subjugation (“I always do it your way”); unrelenting standards (“It’s never quite good enough”) and entitlement (“I can have whatever I want”). The authors believe that people can change in very basic ways, even though it can be quite difficult. They encourage an attitude of “empathic self confrontation.” The specific steps leading to change include labeling your lifetraps, understanding its childhood origins, building a rational case against the lifetraps, examining your lifetraps pattern in careful detail, experimenting with breaking the pattern. Tara Bennet-Goleman’s work (see above) builds on this way of thinking, linking it with Buddhist psychology.

Further Reading

Burns, David (1989). *The Feeling Good Handbook: Using the New Mood Therapy in Everyday Life*. New York: William Morrow and Company.

Hanh, Thich Nhat (2005). *Taming the Tiger Within: Meditations on Transforming Difficult Emotions*. New York: Berkeley Publishing Group.

14. Solutions to complex organization and societal problems must be sustainable.

The initial conditions of a complex system determine the end-state of the system. This means that many characteristics of a system are determined at the design phase. Many products, services and systems in use today have been designed without any consideration as to environmental, financial, and social sustainability. As a result, many of the complex social problems we must now address result from a lack of foresight in the design phase. In order to find the deeper, fundamental solutions that do not merely address the symptoms of a problem or cause higher-order problems, sustainable design principles must be brought to bear as early as possible. Since nature is arguably the most cohesive and adaptable system in existence, its example can offer insights into ways of improving our human-made systems

Anderson, Ray (1999). *Mid-Course Correction: Toward a Sustainable Enterprise: The Interface Model*. White River Junction, VT: Chelsea Green.

The founder of Interface, the world’s largest commercial carpet manufacturer, Ray Anderson is regarded by many as the poster child of the environmentally conscious CEO. This book describes his personal transformation and his vision that emerged from being confronted by a subordinate to reflect on the world he would be leaving

his grandchildren through petroleum-based manufacturing. After reading Paul Hawken's book *The Ecology of Commerce* (see below), Anderson laid down a challenge for his corporation: be 100% sustainable by 2020. While the jury is still out on whether the details of his efforts will bear fruit, there is little doubt that Anderson's example (also described in the documentary film *The Corporation*, www.thecorporation.com) has already focused attention and inspiration on an issue about which many organizations still live in denial.

Hawken, Paul (1994). *The Ecology of Commerce: A Declaration of Sustainability*. New York: Harper Collins.

The book that inspired CEO Ray Anderson (see above annotation).

Diamond, Jared (2005). *Collapse: How Societies Choose to Succeed or Fail*. New York: Penguin Group.

The author of *Guns, Germs, and Steel* reviews examples of civilizations that have failed, identifying a small set of causal factors. With these in mind he identifies a dozen current global challenges, any one of which could lead to catastrophe if not effectively addressed.

Further Reading

Benyus, Janine M. (1999). *Biomimicry: Innovation Inspired by Nature*. New York: William Morrow & Company.

McDonough, William and Michael Braungart (2002). *Cradle to Cradle: Remaking the Way We Make Things*. New York: North Point Press.

Thackara, John (2005). *In The Bubble: Designing in a Complex World*. Cambridge, MA: M.I.T. Press.

15. Powerful and cost-effective innovation comes through rapid-cycle prototyping.

The traditional approach to strategic planning is to invest in the creation of a master plan with large initiatives and many action steps. A radical alternative, which underlies the success of pioneering innovative companies such as IDEO, is the notion of "rapid-cycle prototyping," in which one quickly identifies actions to try out and learn from. As the authors of *Presence* write, "prototyping is not about abstract ideas or plans but about entering a flow of improvisation and dialogue in which the particulars inspire the evolution of the whole and vice versa" (p. 151). The motto is "fail early, fail often," in the interest of finding the best solutions before investing major resources.

**Kao, John (2000). “The Seventh Career: Building an Innovation Keiretsu.”
Interview with John Kao by Otto Scharmer.**

<http://www.dialogonleadership.org/interviewKao.html>.

Kao is a successful businessman and entrepreneur who founded the Idea Factory in San Francisco to help large companies achieve breakthrough innovation. He sees prototyping as being at the heart of a very creative design process. “Prototyping is modeling or simulating your best current understandings precisely so you can have a shared set of understandings that enable communication, especially among people with very different discipline bases. That allows you to break that prototype and iterate cycle until you get to some desired outcome, which you could not have predicted in the beginning.”

Kelly, Tom (2001). *The Art of Innovation*. New York: Random House.

This book, authored by the brother of IDEO’s founder, describes the approach to innovation practiced by this award-winning design and development firm, whose credits include the design of Apple’s mouse and the PalmPilot. Along with brainstorming and observing, prototyping is among IDEO’s key practices. A chapter on prototyping provides many illustrations of IDEO saying, “Fail often to succeed sooner,” showing how the failures led to eventual success. One of the many compelling examples is the construction by Watson and Crick of 3-dimensional physical models of molecules, which played a crucial role in their discovery of the double helix structure of DNA.

Further Reading

Brown, John Seely (ed.) (1997). *Seeing Differently: Insights on Innovation*. Cambridge, MA: Harvard Business School Press.

Moore, Jeffrey (1991). *Crossing the Chasm: Marketing and Selling High Tech Products to Customers*. New York: HarperBusiness.

Thackara, John (2005). *In The Bubble: Designing in a Complex World*. Cambridge, MA: M.I.T. Press.