Routledge Studies in Organizational Change & Development

EDGAR H. SCHEIN

THE ARTISTRY OF A REFLEXIVE ORGANIZATIONAL SCHOLAR-PRACTITIONER

David Coghlan

Edgar H. Schein

The contribution of Edgar H. Schein to the field of management, organisation studies and applied behavioural science is both extensive and deep. For almost 70 years, he has creatively and systematically shaped theory and practice in areas including organisation development and change, career dynamics, the cultural dynamics of complex systems, leadership, process consultation and the clinical inquiry/research paradigm. He has written extensively on the process of organisational change and framed the construct of the clinical approach to research. With such an extensive corpus over such a long period, Schein has been termed a "transcendent thought leader" and it is in this spirit that a volume exploring his work offers a contribution to how scholars and practitioners can come to understand their engagement in organisations. This singular volume adopts a reflective perspective on the work of Edgar Schein as a social scientist and shows how he developed his craft as an engaged organisational scholar-practitioner through reflexive attention to his experience in working with managers and organisations and generating knowledge out of action. The intended contribution is both to present Schein's work to students and scholars of organisation studies and to offer a reflexive methodological framework to engage scholar-practitioner in any field.

David Coghlan is Professor Emeritus and Fellow Emeritus at the Trinity Business School, Trinity College Dublin, Ireland.

Routledge Studies in Organizational Change & Development
Series Editor: Bernard Burnes

26. Organizational Change and Relational Resources
Edited by Karol Marek Klimczak and Yochanan Shachmurove

27. Organizational Behaviour and Change Management
The Impact of Cognitive and Social Bias
Cornell Vernooij, Judith Stuijt, Maarten Hendriks, Wouter ten Have and Steven ten Have

28. Organizational Cognition
The Theory of Social Organizing
Edited by: Davide Secchi, Rasmus Gahrn-Andersen and Stephen John Cowley

29. Organizational Change, Leadership and Ethics
Leading Organizations towards Sustainability, 2E
Edited by Rune By, Bernard Burnes and Mark Hughes

30. Managing the Digital University
Paradigms, Leadership, and Organization
Lukasz Sulkowski

31. Agency, Change and Learning
Accounts of Internal Change Agents
Edited by Julian Randall and Bernard Burnes

32. Edgar H. Schein
The Artistry of a Reflexive Organizational Scholar-Practitioner
David Coghlan

For more information about this series, please visit: www.routledge.com/Routledge-Studies-in-Organizational-Change–Development/book-series/SE0690

Edgar H. Schein

The Artistry of a Reflexive Organizational Scholar-Practitioner

David Coghlan

Routledge
Taylor & Francis Group
NEW YORK AND LONDON

First published 2024
by Routledge
605 Third Avenue, New York, NY 10158

and by Routledge
4 Park Square, Milton Park, Abingdon, Oxon, OX14 4RN

Routledge is an imprint of the Taylor & Francis Group, an informa business

© 2024 David Coghlan

The right of David Coghlan to be identified as author of this work has been asserted in accordance with sections 77 and 78 of the Copyright, Designs and Patents Act 1988.

The Open Access version of this book, available at http://www.taylorfrancis.com, has been made available under a Creative Commons Attribution-Non Commercial-No Derivatives (CC-BY-NC-ND) 4.0 license.

Trademark notice: Product or corporate names may be trademarks or registered trademarks, and are used only for identification and explanation without intent to infringe.

Library of Congress Cataloging-in-Publication Data
Names: Coghlan, David, author.
Title: Edgar H. Schein : the artistry of a reflexive organizational scholar-practitioner / David Coghlan.
Description: New York, NY : Routledge, 2024. | Series: Routledge studies in organizational change & development | Includes bibliographical references and index.
Identifiers: LCCN 2023047461 | ISBN 9781032432403 (hardback) | ISBN 9781032432410 (paperback) | ISBN 9781003366355 (ebook)
Subjects: LCSH: Schein, Edgar H. | Management—Study and teaching. | Business—Research—Methodology. | Management—Research—Methodology.
Classification: LCC HD30.4 .C643 2024 | DDC 658.072—dc23/eng/20231027
LC record available at https://lccn.loc.gov/2023047461

ISBN: 978-1-032-43240-3 (hbk)
ISBN: 978-1-032-43241-0 (pbk)
ISBN: 978-1-003-36635-5 (ebk)

DOI: 10.4324/9781003366355

Typeset in Times New Roman
by Apex CoVantage, LLC

Edgar H. Schein (1928–2023)

Taylor & Francis
Taylor & Francis Group
http://taylorandfrancis.com

Contents

List of figures *ix*
List of tables *x*
Foreword 1: farewell, dad – with gratitude *xi*
Louisa Schein, Liz Schein Krengel and Peter Schein
Foreword 2: Edgar Schein: learning through helping *xiii*
William Pasmore
Preface *xxii*
Acknowledgements *xxiii*
About the author *xxiv*

PART I
Foundations 1

1 Introducing Edgar H. Schein 3
2 Ed's learning journey, 1928–2023 10
3 The social science of the scholar-practitioner 32
4 Interiority as a spirit of inquiry 47

PART II
Helping 61

5 Process consultation 63
6 Developing relationships through humble inquiry, consulting and leadership 75
7 Clinical inquiry/research 86

PART III
Core themes 101

8 Coercive persuasion, social influence and education 103

9 Organisation development, change and changing 114

10 The individual and the organisation 134

11 Organisational culture 146

PART IV
The legacy 159

12 Appropriating Ed's legacy 161

Appendix: Edgar H. Schein's publications *167*
Index *177*

Figures

1.1	Themes in the Work of Edgar H. Schein	6
4.1	Edgar Schein as a Reflexive Organisational Scholar-Practitioner	57
5.1	The Dynamics of Process Consultation	68
7.1	The Processes of Clinical Inquiry/Research	93
7.2	Types of Researcher/Consultant/Subject/Client Relationships	95
9.1	The Organisational Adaptive Coping Cycle	126
11.1	Schein's Model of Organisational Culture	149

Tables

3.1 Edgar Schein as a Lewinian Social Scientist 38
4.1 Edgar Schein's Social Science 48
4.2 First-, Second- and Third-Person Practice in the Work of Edgar Schein 49
8.1 Structure of Schein's Cognitive Process of Creating the Model 111
9.1 Lewin and Schein's Change Models 122

Foreword 1
Farewell, dad – with gratitude

With initial shock, followed by heavy hearts, we learned of our father's sudden passing on 26 January 2023. All three of us along with our spouses were grateful that we had had rich interactions with dad in the preceding days and weeks. Such a passing brings up layers of conflicting feelings. Reluctant to bid farewell for the last time, we also knew that dad had a grand life, a spectacularly productive and impactful career and had completed most of his life's work. Disappointing as it was that we did not have a chance to say goodbye, we were relieved that he moved on just as he had wanted to, without any long illness or suffering and with powerful connections with all his loved ones, children, grandchildren and even great-grandchildren! Much as he kept working up to that final day, even zooming with colleagues and Peter just hours before he passed, we also sensed that he was in some way ready for the impending transition. In various ways, we all recalled that he had been telling us that his work was pretty much done.

In light of this abrupt absence – our collective inability to hear dad's voice from day to day, always fielding new problems and providing his unique insight – we are especially heartened that David Coghlan has devoted such tremendous energy to expanding this influential voice through the written word. This book tackles the monumental task of synthesising a multifaceted body of thought developed and refined in more than 20 books. And beyond Ed's books, Coghlan has perused and digested dozens of articles from journals by and about Ed's work. He has plumbed the depths of interviews, unpublished memoirs, videos and other sources and excerpted gems in Ed's voice. And he has incorporated his own voluminous publications on Ed and samplings from his own pieces.

The resulting work is not a biography, nor is it an intellectual history. With considerable care and attentiveness, it strives to make cohesive seven decades of unfolding scholarly and personal development. It seeks out threads and leitmotifs, weaving them through the chapters that proceed chronologically through Ed's accumulating interventions. It makes the case that this scholar's magisterial contribution is largely because he *exceeded* scholarship; Ed foregrounded practice and always factored in his own presence.

An evocative portrait of the essential scholar-practitioner, with all its theoretical and philosophical underpinnings, is much of what Coghlan achieves in these

pages. And he does so with a love and respect that suffuses the writing. The notion of the "learning journey" highlights how much Ed constantly reflected on the ways his work was changing him and how this in turn changed his thought and his subsequent approaches. Such humility was a hallmark, one that was instructive to so many admirers. Accordingly, helping was always research for Ed, in great part because he charted and made fruitful how it had transformed *him*. This perennial reflection is what Coghlan puts forward as Ed's "interiority", a central argument of the book that foregrounds the difference it makes if the scholar-practitioner can attain this supple responsiveness to the world and the people he engages.

In his last years, Ed evinced a kind of doubleness. He may have seemed dogmatic to some because he was so passionate about reiterating his key tenets to whoever would listen. He saw the field changing and a corruption of the "quiet revolution" he and colleagues had been championing since the 1950s. However, he did not simply reiterate. He expanded, he revisited and he refined. He welcomed his son Peter into a partnership built on curiosity and respect for each other's ideas that resulted in many joint writings and productive client interventions. Up until his last hours, he embraced dialogue and employed the feedback he got to retool himself. Indeed, one of his great joys was debriefing his seven grandchildren, and eventually their spouses, about their work and lives, and then recounting to others with great joy how much he had learned from their stories. Almost mischievously, he deflected any image of august expertise and instead modelled for others how much can be gleaned from attending to juniors.

As we let him go in January, just short of age 95 years and exceptionally lucid right through his last day, it was difficult not to sink into regret about the work that remained to be done. There was so much left to say! His working space was ornamented with multicoloured post-its, each with a key idea written in large capitals, to prompt him to keep ruminating and innovating. He was perpetually percolating new projects as well as improvements to past work. A global audience still sought him out for consulting. Indeed, as testimonials poured in from far and wide about the impact Ed had had on people's lives, we, his children, began to learn more and more about not only his eminence but also how much love he inspired. We did not fully appreciate just how many lives he had touched, or transformed, until this bereaved outpouring.

This is where Coghlan's book comes in, as a salve to those regrets, an amplification and systematisation of what Ed had to offer, a tribute that captures what so many felt. We shared the urgency and loss that Coghlan felt as he realised that the interviews he had scheduled with Ed for Spring 2023 were not going to happen. Yet he forged ahead, putting strenuous efforts towards getting it all down, from childhood history to evolutions up to the present. It is with gratitude that we recognise what a difference such a book will make in formalising and thinking through Ed Schein's legacy.

Louisa Schein, Liz Schein Krengel and Peter Schein

Foreword 2
Edgar Schein: learning through helping

It seemed natural to me.

Although the doctoral programme in which I enrolled carried the ill-fitting title of *Administrative Sciences*, I was there to study organisation development. The influential work that shaped the field had taken place in organisations, prompted by Lewin but soon thereafter expanded by Beckhard, Bennis, Blake and Mouton, Shel Davis, Emery and Trist, Lawrence and Lorsch, Richard Walton and, of course, Edgar Schein. I was not familiar with the term "scholar-practitioner" then, but it seemed natural to me that the way to understand how organisations changed and developed was to go out there and get one's hands dirty in trying to change them. I was particularly enamoured with the sociotechnical systems school spawned by Eric Trist and Fred Emery since it appealed to the more logical side of my engineering brain. Nobody got their hands dirtier than Eric and Fred as they crawled through British coal mines trying to understand what roles technological arrangements and social system dynamics played in determining the productivity of different mines. Clearly, they were able to uncover insights that none of the parties to the design and operation of the mines fully understood. What they found, sometimes through engaging in conversations with miners in local pubs over a pint or two, was not something they could have learned from spending weeks in the library reading published reports on mining productivity or from using factor analysis to tease out clusters of associated meaning among items in a survey.

My doctoral programme was focused mainly on teaching research methods and statistics, the vital tools of the trade that we would need to employ to develop empirical proof for our hypotheses and credibility for the theoretical stances we would take. We were forbidden to consult with organisations during the programme, but we were allowed to conduct research in the field, which I did with the support of my sponsor, Don King. Following the completion of my degree, I moved on to Case Western Reserve University, and the programme in organisational behaviour founded by Herb Shepard and others which was known for its applied orientation and was home to a mix of scholars and practitioners including Frank Friedlander, David Brown, Suresh Srivastva, David Kolb, Bob Kaplan

and Eric Neilsen (and later, Ron Fry, David Cooperrider, Richard Boyatzis, Mike Manning and Diana Bilimoria). None of them used the term "scholar-practitioner" to describe themselves but they very much were. After 20 years there, I left to become a consultant, then joined the Center for Creative Leadership and finally returned to academia at Teachers College, Columbia. However, that is a story for another time.

I suppose that my actively engaged academic upbringing explains why, after being awarded tenure, I was taken aback during my first sabbatical at a noted research university as I arrived late to a meeting with colleagues explaining that I had been delayed on a client call. I presumed they had all had similar experiences but one colleague very icily replied, "I don't *have* clients". I felt like I had committed a firing offense and that my entire identity as a scholar was being called to question. It was the first time I was being seriously challenged to defend my roots as a scholar-practitioner, surrounded by a sea of positivists who had barely set foot in organisations, choosing instead to use secondary data sets as their primary source in the search for empirical truths. Action research, in their view, was a methodology that was inherently flawed, as it was contaminated by the effects of interactions between the researcher and their subjects. Didn't the Hawthorne studies prove that we couldn't enter into systems without creating reactions to our presence that alter the normal course of events? I wonder now, what would Schein have said?

The MIT/NTL context

Like me, Schein landed in an academic home that held a rich and fertile history of interaction between industry and academia. He was invited to MIT by Douglas McGregor, originator of Theory X and Y, and later joined by Richard Beckhard, John Van Maanen and others who influenced his thinking about scholar-practitioner methods. Equally important was his introduction to MIT graduate Ken Olsen, founder of the Digital Equipment Company (DEC) who provided Schein with his most important clinical inquiry partner between 1966 and 1992.

Schein was also actively engaged with the National Training Laboratories (NTL) in which he led sensitivity training laboratories, following Lewin's inception of the approach in the 1940s. The training group or "T-group" method featured the collaborative examination of group dynamics by participants in the lab as they participated in unstructured discussions. This work led to Schein's well-known writing on the subject of process consultation which influenced not only his approach to education but the way in which he undertook scholarship as well.

How Schein defined clinical inquiry/research

Although Schein's approach to scholarly practice emerged over time, his early experiences set the stage and put in place a values-based set of guiding principles

that in his later years were captured in his writings on humble inquiry and humble consulting. He chose to name his scholar-practitioner approach "Clinical Inquiry/Research" or CIR, which he described in a chapter written for Peter Reason and Hilary Bradbury's handbook on action research (2008):

> in the inquiry process the consultant/clinician is psychologically licensed by the client to ask relevant questions which can lead directly into joint analysis and, thereby, allow the development of a research focus that is now jointly owned by the helper and the client.
>
> (p. 273)

> We are still uncertain whether we should (1) be scientific and rigorous, allying ourselves with our academic colleagues who are concerned with knowledge production or (2) be helpful, allying ourselves with our clients and with other practitioners for whom data production is secondary to learning and change.
>
> (p. 697)

The proviso that the client defines the focus of the inquiry was critical in Schein's view because "as the client becomes an active inquirer he or she sees new areas of relevant data to be collected that may never have occurred to the researcher" (p. 273). CIR, as practiced by Schein, reflected the strong influence of his work in T-groups, where the idea was to let meaning emerge from natural human interactions rather than studying behaviour provoked by interventions designed by the facilitator. "Truth" needed to emerge on its own rather than as the result of laboratory experiment manipulations which were designed to test narrowly preconceived hypotheses. CIR also reflected Schein's respect for the deeply observational and non-interventionist work of Erving Goffman regarding human interaction rituals and his colleague John Van Maanen's extended ethnographic studies of organisations such as the Cambridge police department. In Schein's own words,

> It is my argument that some of the best opportunities for such inquiry actually arise in situations where the setting is created by someone who wants help, not by the researcher deciding what to study.
>
> (p. 266)

> The traditional research informed our thinking and provided models for what to observe, but the reality of what was going on usually went far beyond those models and forced us to develop new concepts and theories.
>
> (p. 272)

In CIR, Schein saw himself not primarily as a consultant nor as a researcher but as a balance of both. He most certainly did not present himself to his clients as an expert, but rather as a curious observer as this quote from Humble Inquiry (2013) attests:

> The attitude of Humble Inquiry is based on curiosity, openness to the truth, and that recognition that insights most often come from conversations and relationships in which we have learned to listen to each other, and have learned to respond appropriately to make joint sense out of our shared context, rather than arguing each other into submission.
>
> (p. 4)

As a young assistant professor, Schein was invited by McGregor to work with an engineering company to help them improve productivity. He approached the work in a scholarly fashion, which resulted in a well-crafted report but little more:

> We had focused entirely on being "good scientists," doing a thorough diagnosis through competent interviews; a careful content analysis; and a complete summary of what worked, what didn't, and what we thought should be done differently. As scientists "gathering data," we never considered what issues were on the mind of management or what change goals they had . . . All of this was scientifically irrelevant to the role we had accepted.
>
> (2016, p. 46)

The eternal internal debate

Schein endeavoured to remain centred between scholarship and practice. His seminal contributions to the literature and his direction-shaping interventions at DEC, Con Edison, Ciba-Geigy and other organisations attest to his success in this regard. We can look at the combination of his intellectual contributions in the areas of organisational culture (1985), career anchors (1985), organisational psychology (1965) and process consultation (1988) on one hand and the many "woods meetings" at DEC where executives left the office behind to have extended conversations on matters of strategic importance on the other as verification that Schein's intentions and actions remained aligned (2003).

In their study of scholar-practitioners, Wasserman and Kram (2009) found that such balance was relatively uncommon. Scholar-practitioners seemed to emphasise scholarship over practice or vice versa at different points in their careers or maintain a bias towards one throughout. The shifts were sometimes brought about by external pressures, such as the need for increased income, or internal desires, such as the quest for greater freedom in choosing how to spend one's time. Regardless of their momentary focus, or how extreme their bias towards

scholarship or practice, all those interviewed took pride in bringing together access to and the creation of scientific knowledge with making a practical difference in the world:

> The term scholar-practitioner seemed to include, for all of our interviewees, a cycle of producing and consuming knowledge in service of continuously improving how we practice and the effectiveness of the organizations we serve. (p. 21)

As I reflect on my own scholar-practitioner journey, I can see that there were clear eras where I was more focused on one than the other, predominantly due to whether I was based in academia or industry at the time. Still, there was never a time when I had the least bit of interest in publishing for the sake of publishing. Even though I lived in a publish-or-perish environment at times, I always began my inquiry by asking how my work could contribute in some way to making leaders or organisations better.

Schein could not have been clearer regarding his own motivation, as it appeared repeatedly in both his writing and in the titles for his final works – *helping*. It is important to understand that while the layman might therefore interpret Schein's concern to be mainly with the applied, practical realm, that was not how Schein viewed himself. As this volume so wonderfully illustrates, very few writers made their internal thought processes as clear to the reader as Schein, which is referred to here as "interiority" (Coghlan, 2017). Through his own thoughts, we know that whether Schein was spending time in the woods of Maine with members of NTL T-groups or executives from DEC, he was always thinking about how to be helpful both in the moment and then, through his reflections, to his students and the field of organisation development.

As attested to by Schein's colleague, Karen Ayas (2023), Schein was well aware of the challenges involved in crossing the scholar-practitioner divide as academics struggle to influence executives through their research, a subject discussed at length by Bartunek (Rynes, Bartunek, & Daft, 2001). Global membership in the Academy of Management currently surpasses 18,000 academics, and these academics flood the world with articles sharing the results of their research that are read by a small circle of their peers but few executives. As only one small indicator of this, a colleague recently gave a presentation in front of a group of approximately 100 executives in which she asked, "How many of you are familiar with the concept of psychological safety?" Only two people raised their hands. Even if something strange was happening in the moment and the results of the experiment were off by a factor of ten, we would still be left asking the question, "Is all the business research being done in the world really *helpful*?" I am guessing Schein would say no.

If as Wasserman and Kram suggest a scholar-practitioner is a person who strives to participate in a "cycle of producing and consuming knowledge in service of

continuously improving how we practice and the effectiveness of the organisations we serve", then we must ask what is involved in doing so as well as it can possibly be done? My fellow authors and I insisted that scholar-practitioners needed to be more academically rigorous in how they approached their scholarship, more relevant in addressing matters of real concern to executives and more reflective in acknowledging how their work built upon existing research and theoretical foundations in the field (Pasmore, Woodman, & Simmons, 2008). While I still believe those guidelines are applicable, reviewing Schein's thinking and body of contributions has led me to suggest the following additions to that list:

Be helpful by allowing the client to set the agenda. If there is anything that comes through clearly in Schein's reflections, it is that being helpful depends on the client defining the help that is needed. Far too often, even the most well-intended scholar-practitioners take the lead in defining the research agenda based on their estimation of where gaps in our knowledge about organizations exist rather than listening carefully to clients about their most pressing concerns or most energizing opportunities. When scholar-practitioners drive the agenda, we place ourselves in a position of what Schein calls "one upness" (Schein, 2009) relative to our clients which ultimately leaves them less likely to benefit from the collaboration than if they were in control.

Begin with humble inquiry and delay the application of sense-making frameworks for as long as possible. When we start with a theory or framework rather than an openness to discovery, we automatically filter our observations by what we expect to encounter. In the ethnographic tradition, Schein was a master of waiting until phenomena emerged from the meaning-making of those living their experiences before adding his own interpretation to what he observed.

Lewin's dictum is strengthened through iteration. Schein strongly believed in Lewin's view that the best way to understand an organisation was to try to change it. Schein added to this that any attempt to change an organisation should lead to further rounds of abductive reasoning: reflection, understanding and action in collaboration with the client. Just as Lewin stumbled upon the T-group method as the result of a collaborative discussion of group dynamics with members of the group, Schein witnessed the power of engaging people in iterative discussions rather than telling them what they did right or wrong.

Make the powerful simple. Schein prided himself on his ability to communicate complex ideas in simple language that executives could understand. There was no need to use Google Translator to go from the text to application. For the most part, Schein believed that his clients could figure things out for themselves if pointed in the right direction with minimal ongoing support from him. He often helped clients understand that their requests for him to act in an expert capacity were likely to create dependency rather than greater capacity for internal development.

The challenges of becoming and being a scholar-practitioner

There is no shortcut to becoming a scholar-practitioner, since one's training depends on finding suitable opportunities to practice one's craft that are worthy of the investment required. One could go to the corner grocery and offer one's help in exchange for the opportunity to learn, spend an afternoon and walk away with a story or two to tell but little hope of authoring a refereed journal article. If the stars were to align, robust training to become a scholar-practitioner would ideally involve the following:

- A mentor who is steeped in some form of ethnographic or participative action research methodology to provide guidance along the way
- Access to organisational settings in which there are influential parties interested in deep collaboration with academics to learn about their system and experiment with making improvements of interest to them and to you
- An ample amount of time (years, not months) to engage in intense collaborative action research and continue iterating through cycles of inquiry, action and reflection until learning that is not obvious becomes clear
- Clients and peers who are willing to provide feedback on your effectiveness in your roles as a scholar and practitioner
- A community of fellow scholar-practitioners with whom to explore your insights and assumptions
- Enough repeated instances of all the above to allow experimentation with a variety of approaches in order to digest what they have to offer and develop an effective guiding philosophy without being tied to a single methodology

This list is not intended to be discouraging but instead to accelerate a process that many scholar-practitioners stumbled through without a map. For Schein, it took over 20 years with DEC and other organisations to learn his trade. Of course, there were publications that led to tenure along the way and also opened doors for him to practice.

It is not as if one earns a scholar-practitioner license at some point but rather a learner's permit that never expires, no matter how many successes or failures one encounters. For myself, there have been days when I wondered why I did not become an accountant with all the certainty and clarity such a career would embody. You may not choose to follow Schein's path or mine and there is no requirement that you do. As Wasserman and Kram (2009) discuss, being a scholar-practitioner does not require that one seek a tenured academic position or even reside in academia at all. Being a scholar-practitioner is more about how you think, work and what you contribute than it is about where you earn a living. In that regard, understanding how Schein thought about his work, as explored in this book, should be of immense value to anyone considering embarking on this journey.

Clearly, following the scholar-practitioner path is not the norm in either academia or business. Unless you are extremely fortunate, as Schein and I were,

you will not land in an organisation or position that automatically sees the value in your approach. There are more scholar-practitioners whose careers span academia and business in a variety of non-traditional roles than there are who have spent all of their time in one venue or the other doing ordinary academic or managerial jobs. You will be viewed as a non-conformist, standing apart and asking questions, while others around you keep their heads down and their attention on the task at hand. Your research will take years and the articles that result will not be accepted by the journals with the highest impact factors in our field. To endure this, you have to love what you do and be willing to accept that your path will have bumps, twists and turns.

I hope my stuffy academic critics from all those years ago would admit to Schein being a true and deserving scholar as well as a practitioner. Still, I must be prepared to accept that they might not.

William Pasmore
Teachers College, Columbia University, New York

References

Ayas, K. (2023). Reflections on Ed Schein's teachings. *Journal of Applied Behavioral Science*, *59*(2), 208–213. doi:10.1177/00218863231162964

Coghlan, D. (2017). How might we learn about the philosophy of ODC research from 24 volumes of ROCD? An invitation to interiority. In A. B. (Rami) Shani & D. A. Noumair (Eds.), *Research in organizational change and development* (Vol. 25, pp. 335–361). Emerald. doi:10.1108/S0897-301620170000025010

Pasmore, W. A., Woodman, R. W., & Simmons, A. L. (2008). Toward a more rigorous, reflective, and relevant science of collaborative management research. In A. B. Shani, S. A. Mohrman, W. A. Pasmore, B. N. Stymne, & N. Adler (Eds.), *Handbook of collaborative management research* (pp. 567–582). Thousand Oaks, CA: SAGE. doi:10.4135/9781412976671.n27

Rynes, S. L., Bartunek, J. M., & Daft, R. L. (2001). Across the great divide: Knowledge creation and transfer between practitioners and academics. *Academy of Management Journal*, *44*(2), 340–355. doi:10.5465/3069460

Schein, E. H. (1965). *Organizational psychology*. Englewood Cliffs, NJ: Prentice-Hall.

Schein, E. H. (1985a). *Career anchors*. San Diego, CA: University Associates.

Schein, E. H. (1985b). *Organizational culture and leadership*. San Francisco, CA: Jossey Bass.

Schein, E. H. (1988). *Process consultation, Vol 1: Its role in organization development*. Reading, MA: Addison Wesley.

Schein, E. H. (2003). *DEC is dead, long live DEC: Lessons on innovation, technology and the business gene*. San Diego, CA: Berrett-Koehler.

Schein, E. H. (2008). Clinical/inquiry/research. In P. Reason & H. Bradbury (Eds.), *The Sage handbook of action research: Participative inquiry and practice* (pp. 266–279). London: SAGE.

Schein, E. H. (2009). *Helping: How to offer, give and receive help*. San Diego, CA: Berrett-Koehler.

Schein, E. H. (2013). *Humble inquiry*. San Diego, CA: Berrett-Koehler.

Schein, E. H. (2016). *Humble consulting: How to provide real help faster*. San Diego, CA: Berrett-Koehler.

Wasserman, I. C., & Kram, K. E. (2009). Engaging the scholar-practitioner role: An exploration of narratives. *Journal of Applied Behavioral Science*, *45*(1), 12–38. doi:10.1177/0021886308327238

Preface

At the heart of being a scholar is being a member of a community of practice and inquiry, a community formed by teachers and mentors, peers and colleagues, with whom one reads and writes and with whom one engages at conferences and online. Writing a book about an individual scholar's work is an action embedded in the community in which both that scholar and the author participate. Since my introduction to the field of organisation development and change in the mid-1970s through the 1969 Addison-Wesley series, particularly the volumes by Schein and Beckhard and the subsequent writings of the many scholars and practitioners in that field, my work has been formed in this community. It is from within this community that I present Ed Schein's work to students and scholars of organisation studies and to those who understand themselves to be scholar-practitioners.

Ed Schein passed away in January 2023. This singular volume adopts a reflective perspective on his work as a reflexive social scientist in the field of organisational applied behavioural science and shows how he developed his craft as an engaged scholar-practitioner through attention to his experience in his work as a consultant. Readers may be struck by my use of the familiar "Ed" throughout the book, rather than the conventional academic form, "Schein". Ed was what he liked to be called. In his Memoirs, he noted that as he got older and further away in age from the participants of the MIT Sloan Fellows programme, the Fellows began to call him "Professor" rather than Ed. This, in Ed's view, regretfully reduced the interactive engagement he had with that class. While as readers we can no longer interact with Ed, in this volume (and elsewhere), we have the opportunity, challenge and pleasure of interacting with his ideas.

Acknowledgements

A volume such as this one is the product of many minds. Accordingly, my first acknowledgement is of the organisation development and change community in which Ed practised and in which my thinking and work have been shaped for over 40 years.

My foremost gratitude goes to Ed's immediate family Peter Schein, Louisa Schein and Liz Schein Krengel for their support, in providing feedback, giving permission to draw on Ed's unpublished memoirs and contributing a Foreword.

I am deeply grateful to those who read and gave me invaluable feedback on a complete draft: Mary Casey, Paul Coughlan, Geralyn Hynes, David O'Brien, Louisa Schein and Rami Shani, and to Vivienne Brady and Denise O'Leary who read individual chapters. I thank those whom I consulted and was encouraged about the initiative: Karen Ayas, Bill Mathews, George Roth, Rami Shani, John Van Maanen and Alan White.

To the Routledge editorial and production teams who provided invaluable support: Terry Claque, Brianna Ascher, Jessica Rech and the Production Team at Routledge.

David Coghlan
Dublin
August 2023

About the author

David Coghlan is Professor Emeritus and Fellow Emeritus at the Trinity Business School, Trinity College Dublin, Ireland. He is the author of over 250 articles and book chapters. Recent books include *Collaborative Inquiry in Organization Development and Change* (with A.B. Shani, Edward Elgar, 2021), *Doing Action Research in Your Own Organization* (5th ed. Sage, 2019), *Conducting Action Research for Business and Management Students* (with A.B. Shani, Sage, 2018) and *Inside Organizations* (Sage, 2016) and is co-editor of *The Handbook of Research Methods in Organizational Change* (Edward Elgar, 2023) and The *Sage Encyclopedia of Action Research* (2014) and two four-volume sets, *Fundamentals of Organization Development* and *Action Research in Business and Management* (with A.B. Shani, Sage, 2010, 2016). He serves on the editorial advisory boards of several journals.

Part I

Foundations

Taylor & Francis
Taylor & Francis Group
http://taylorandfrancis.com

1 Introducing Edgar H. Schein

> Looking back I can see that I have been as much a practitioner as a scholar or rather, I found the most productive research to be the active practice of trying to help organizations. In reflecting on practice, I realize how much of it is artistry.
>
> (Schein, 2006, p. 299)

The contribution of Edgar H. Schein (1928–2023) to the field of management, organisation studies and applied behavioural science is both extensive and deep. For over 70 years, he creatively and systematically shaped theory and practice in areas such as organisation development and change, career dynamics, the cultural dynamics of complex systems, leadership, process consultation and the clinical inquiry/research paradigm. His *Organizational Psychology* (1965) was one of the first books to differentiate organisational psychology from industrial psychology and applied sociology. In 1969, along with Warren Bennis and Richard Beckhard, he founded and edited the seminal Addison-Wesley series on the then-emerging field of organisation development, and between 1969 and 1999, over 30 books were published in that series by many of the leading figures in the field.

He framed a philosophy of being helpful through process consultation and humble inquiry that have become mainstream in both the academic and practitioner literature. He studied the dynamics of the individual–organisational relationship from which he developed the notion of the career anchor. He articulated a model of organisational culture and how it operates in complex systems. He wrote extensively on the process of organisational change and his construct of the clinical approach to research. Each of these contributions is the subject of a book or several books. Other contributions that are found in articles, book chapters and interviews include his reflections on learning and education and notions of organisational therapy, organisational socialisation, dialogue and the role of anxiety in organisational change. He has offered a thematised account of his work in terms of the academic as an artist (Schein, 1993) and of a Greek drama (Schein, 2006). With such an extensive corpus over a long period, Edgar

DOI: 10.4324/9781003366355-2

This chapter has been made available under a (CC-BY-NC-ND) 4.0 license.

Schein has been termed a "transcendent thought leader" and it is in this spirit that a volume exploring his work offers a contribution to how scholars and practitioners can come to understand our engagement in organisations as scholar-practitioners.

Reflexivity as the focus of this volume

I am adopting a reflective perspective on Ed's work as a reflexive social scientist and show how he developed his artistry as an engaged scholar-practitioner through attention to his experience in working with managers and organisations and generating knowledge out of action. Each of the themes expressed in the chapters in this book emerged from his experience and his questioning. Accordingly, the exploration of the major themes of Ed's work will discuss both the content of the themes themselves, how he came to develop practical knowledge on each theme and how we might understand the process of being an engaged organisational scholar-practitioner. This reflexive attention to both the external data of his consulting and research and the internal data of his thinking is what I am calling his interiority (Coghlan, 2018, 2023).

Why focus on Ed Schein as a social scientist, particularly on what I am calling his interiority? His long-term colleague at MIT and friend, John Van Maanen, has drawn on the analogy of the distinction between foxes and hedgehogs (Van Maanen, 2019). According to the Greek legend, foxes know many things while hedgehogs know only one thing. He elaborated on how foxes steer clear of the one big idea and focus on the particular, the concrete and the situation. Foxes' learning is grounded in observations, interactions and conversations. In Van Maanen's experience, Ed Schein was a fox. The spread of interests, as represented in the range of topics that the chapters in this book explore, demonstrates that there is no single, established Schein school of thought to mark his contribution to the field of organisational studies (Collins, 2021). In Van Maanen's view, Ed's work was mostly phenomenon-based, problem-focused and pragmatic. He has summarised Ed's approach as improvisational, procedural and path-dependent depending on the subjectivity and intentionality of those engaged. Knowledge comes through surprises and accumulates and develops over time as experiences throw up questions and provisional explanations which are tested through further experiences and questioning. Van Maanen posed this question. "How is it that a coherent research narrative – such as those produced by Ed over the years – can be fashioned and put in a persuasive way?" (p. 17). His answer was to note Charles Peirce's notion of abductive reasoning as paramount in Ed's approach. Abductive reasoning describes the reasoning process where tentative, provisional or plausible explanations are framed about puzzling phenomena. In Van Maanen's view, abductive reasoning characterised Ed's work – an engagement in continuing cycling of observation and questioning until a satisfying understanding is found.

My response to Van Maanen's question is to focus on Ed's way of thinking as an organisational scholar-practitioner and to frame his legacy in terms of his interiority (Coghlan, 2023). When I first met Ed's work in the mid-1970s through his *Process Consultation* book, I was struck by an element of the definition "to help the client *perceive*, *understand* and *act* upon process events" (Schein, 1969, p. 9). Here was a consultant who was explicitly working with clients' cognition about their organisational experiences and with how they might move from experience to understanding and to decision and action. Not only was Ed describing issues of working with clients, but he was also relating how he was thinking and what cognitional activities needed to go on inside the head of the process consultant. I was so excited by what I was reading in *Process Consultation* as it brought what I was working on in a philosophical arena into the interpersonal areas of consulting and implicitly into education.

Around the same time, I had been reading Bernard Lonergan's major philosophical work, *Insight* and his account of human knowing and I was learning how knowing comes through experience, understanding and judgement (Lonergan, 1957/1992). In the Introduction to *Insight,* Lonergan stated that his concern is not with the existence of knowledge or with what is known but with the structure of knowing and with the personal appropriation of the dynamic and recurrent operative structure of cognitional activity as a method of coming to terms with oneself as a knower. Lonergan said of *Insight*,

> The present work is not to be read as though it described some distant region of the globe which the reader never visited, or some strange and mystical experience which the reader never shared. It is an account of knowledge. Though I cannot recall to each reader his personal experience, he can do so for himself and thereby pluck my general phrases from the dim world of thought to set them in the pulsing flow of life.
>
> (1992, p. 13)

Here I discovered a philosophical approach that begins with the person engaged in the process of knowing and is directed towards self-understanding. As Lonergan expressed it,

> what we are dealing with is not just a set of static elements but a process. It is always a process *in us*; our knowing is always dynamic; we are always moving on to the next step. The pursuit of knowledge is the pursuit of an unknown. It is guided by an ideal, and the ideal changes and becomes more precise in the course of the pursuit. Consequently, what we have to do now is to grasp that dynamic aspect, and grasp it in a reflective fashion. We have to perform the activities and go through the routines that will bring to explicit consciousness the dynamic aspect of the process of knowing.
>
> (1990, p. 60)

Years later, I read a comment by Lonergan that he viewed his own approach to cognitional activity, whereby one attends to the operations of knowing, as paralleling Carl Rogers' aim of enabling his clients to attend to, recognise, identify, name and distinguish the feelings that they experience. I was later able to articulate the link between Lonergan's and Ed's work (Coghlan, 2009). Attending to both the outer data of the senses (what we see, hear and so on) and the inner data of consciousness (how we are thinking, interpreting, imagining and so on) are what constitute interiority. In the final chapter of his book on the phenomenology of understanding, Cronin (2017) has a heading titled "Being at Home in a Philosophy of Interiority". When I read that, it jumped out at me, and I had the stereotypical aha! moment where everything I have been working on fitted and made sense and I realised that it was Ed's work that had me at home in a philosophy of interiority long before I could put a name on it.

This volume explores and exploits Ed's interiority through the range of familiar themes on which he has written (Figure 1.1): process consultation (Chapter 5), humble inquiry, consulting and leadership (Chapter 6), clinical inquiry/research (Chapter 7), coercive persuasion, social influence and education (Chapter 8), organisation development, change and changing (Chapter 9), the individual and the organisation (Chapter 10) and organisational culture (Chapter 11). Laying the foundations for these explorations are an account of his life (Chapter 2), an exploration of the social science of the scholar-practitioner (Chapter 3) and an introduction to his interiority (Chapter 4). When he was asked by Lambrechts et al.

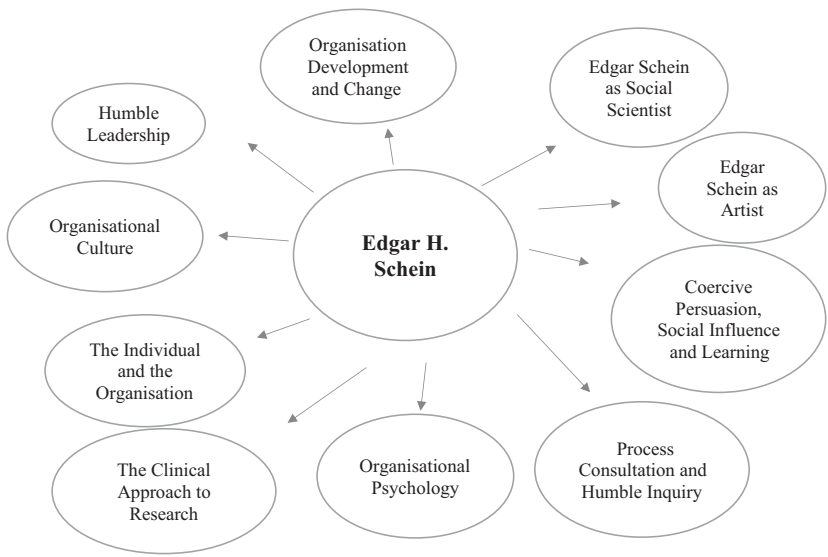

Figure 1.1 Themes in the Work of Edgar H. Schein

what he considered to be his most important contribution or the one to which he was most attached, Ed replied:

> You can say that career anchor idea is all about the individual, culture is really all about the organization and process consultation and helping are about the relationship. So the contribution is the total package rather than one element of it.
>
> (in Lambrechts, Bouwen, Grieten, Huybrechts, & Schein, 2011, p. 141)

The foundational material in this volume is Ed's own writing: his published books and articles which are referenced at the end of each chapter and with a complete list at the end of the book as an Appendix, the interviews with him and his own memoirs, published (Schein, 2016) and unpublished. To hear Ed's voice on his interiority (though he does not use this term) as he was writing his Memoirs:

> As I launched into this project I realized that being acutely observant, analytical and reflective leaves one with a dilemma of what to write about – the events, the reactions, the consequences, or the reflections and the "looking back on it" after decades have gone by. I have chosen to do some of each of these things, as some of the biggest lessons or insights came out of these reflections. Therefore, I decided to intersperse them with the professional and personal stories.
>
> (Unpublished Memoirs)

Finally, by exploring Ed's interiority, I am engaging in my own interiority as I attend to my thinking in the light of describing Ed's work. I have chosen to insert myself into this initiative, rather than report on it as a detached external analyst. Ed continuously placed himself in his work and exploited his interiority by sharing what he was thinking. When he has done this, I have found myself wondering about how I am exercising my scholarship (Coghlan, 2017).

While I had read *Process Consultation* in the mid-1970s, and as reported previously, I had been bowled over by it, it was a further 10 years before I met Ed. I spent a year at MIT's Sloan School in the mid-1980s and had a course with him. There I met Ed in person and we became friends. We had frequent meetings in his corner office overlooking the Charles River and he used to give me copies of his work in progress – working papers and the manuscripts of his books in progress. For his 80th birthday, Rami Shani and I guest-edited a species issue of the *Journal of Applied Behavioral Science* (JABS) on his selected topic of being a scholar-practitioner (Coghlan & Shani, 2009). On the occasion of his 90th birthday in 2018, I engaged in a metalogue with him on themes of his work that had been formative in shaping my work (Coghlan, 2018).

Invitation to readers

In keeping with the dynamic theme of interiority, I invite you, the readers of this volume, to attend to how the accounts of Ed's work across the chapters evoke questions about your experience, concerns and practices, in order that you learn not only about the work of Ed Schein but also are enriched in your lives and work. Ed felt very concerned about our culture of telling and doing and consistently argued that we need to focus more on inquiry and curiosity (Schein & Schein, 2021). Hopefully, this book is grounded in humble inquiry, both into Ed's work and into our own. Accordingly, each chapter concludes with questions for study and reflection.

Questions for study and reflection

1. In this chapter, Ed's work is described as phenomenon-based, problem-focused, pragmatic, improvisational, procedural and path-dependent depending on his subjectivity and intentionality. What words describe your work as a scholar-practitioner?
2. What experiences and questions out of those experiences have shaped your approach to being a scholar-practitioner?
3. How are you exercising your scholarship of practice?
4. How do/might you share your learning with others?

References

Coghlan, D. (2009). Toward a philosophy of clinical inquiry/research. *Journal of Applied Behavioral Science*, *45*(1), 106–121. doi:10.1177/0021886308328845

Coghlan, D. (2017). How might we learn about the philosophy of ODC research from 24 volumes of ROCD? An invitation to interiority. In A. B. (Rami) Shani & D. A. Noumair (Eds.), *Research in organizational change and development* (Vol. 25, pp. 335–361). Bingley: Emerald. doi:10.1108/S0897-301620170000025010

Coghlan, D. (2018). Edgar Schein at 90: A celebratory and exploratory metalogue. *Journal of Applied Behavioral Science*, *54*(4), 385–398. doi:10.1177/0021886318801279

Coghlan, D. (2023). Interiority in the work of Edgar H. Schein: A personal reflection. *Journal of Applied Behavioral Science*, *59*(2), 191–196. doi:10.1177/00218863231161624

Coghlan, D., & Shani, A. B. (Rami). (2009). The challenges of the scholar-practitioner: Introduction to the special issue. *The Journal of Applied Behavioral Science*, *45*(1), 5–7. doi:10.1177/0021886308328852

Collins, S. B. (2021). *A historical analysis study of Edgar H. Schein and implications for leaders and organization development practitioners*. Gonzaga University ProQuest Dissertations Publishing. Retrieved May 2023, from www.proquest.com/docview/2553475986?pq-origsite=gscholar&fromopenview=true

Cronin, B. (2017). *Phenomenology of human understanding*. Eugene, OR: Pickwick.

Hansen, A. V., & Madsen, S. (2019). *Theorizing in organization studies: Lessons from key thinkers*. Cheltenham: Edward Elgar.

Lambrechts, F., Bouwen, R., Grieten, S., Huybrechts, J., & Schein, E. H. (2011). Learning to help through humble inquiry and implications for management research, practice, and education: An interview with Edgar H. Schein. *Academy of Management Learning & Education*, *10*(1), 131–147. doi:10.5465/amle.10.1.zqr131

Lonergan, B. J. (1990). *The collected works of Bernard Lonergan. Vol. 5*, *understanding and being* (E. Morelli & M. Morelli, Eds.). Toronto: University of Toronto Press.

Lonergan, B. J. (1992). *The collected works of Bernard Lonergan*, *Vol. 3*. *Insight: An essay in human understanding* (F. Crowe & R. Doran, Eds.). Toronto: University of Toronto Press. (Original work published 1957, London: Longmans)

Schein, E. H. (1965). *Organizational psychology*. Englewood Cliffs, NJ: Prentice-Hall.

Schein, E. H. (1969). *Process consultation: Its role in organization development*. Reading, MA: Addison-Wesley.

Schein, E. H. (1993). The academic as artist: Personal and professional roots. In A. Bedeian (Ed.), *Management laureates*: *A collection of autobiographical essays* (Vol. 3, pp. 31–62). Greenwich, CT: JAI Press.

Schein, E. H. (2006). From brainwashing to organizational therapy: A conceptual and empirical journey in search of 'systemic' health and a general model of change dynamics. A drama in five acts. *Organization Studies*, *27*(2), 287–301. doi:10.1177/0170840606061831

Schein, E. H. (2016). *Becoming American. My first learning journey*. Bloomington, IN: iUniverse.

Schein, E. H., & Schein, P. A. (2021). *Humble inquiry: The gentle art of asking instead of telling* (2nd ed.). San Diego, CA: Berrett-Kohler.

Van Maanen, J. (2019). On foxes and hedgehogs: Learning from Ed Schein. In G. Fatzer, J. Van Maanen, D. C. Schmid, & W. G. Weber (Eds.), *Edgar H. Schein: The spirit of inquiry* (pp. 13–27). Innsbruck: Innsbruck University Press.

2 Ed's learning journey, 1928–2023

> Good fortune, serendipity and opportunism played significant roles but above all I have become aware that whatever constraint, danger or opportunity came my way, the "only child" in me turned it into something that I felt I could benefit from. My first title for these memoirs was "Right Time; Right Place" because I did have the good fortune to have lived through "interesting times" and had many opportunities handed to me as gifts, if I could learn from them. My early experiences taught me to be observant and mindful and, being an only child much praised by my parents, I learned how to learn. So after much dialogue with friends, colleagues and myself I settled on the title "My Learning Journeys" because that most accurately describes the various pieces of my personal and professional history.
>
> (Schein, Unpublished Memoirs)

A central element of Ed's approach to inquiry was that he would invite people to begin with a story. Accordingly, it is appropriate that we begin this exploration of Ed's work with the story of his life. In almost every interview conducted with Ed, an opening question is something in the vein of "tell me a little of your background" (Sashkin, 1979; Luthans, 1989; Quick & Gavin, 2000; Scarpino, 2012) or "we would like to hear of your personal learning history" (Lambrechts, Bouwen, Grieten, Huybrechts, & Schein, 2011), and in response, Ed has told the same story. These accounts are more than the basic biographical details of his early life. They provide a core thread of his interiority because it is in these accounts that Ed has been explicit about how his life shaped the emergence of the theory and practice that he evolved throughout his approach to his work. He has provided more detailed reflective accounts in several publications devoted to his interiority, for example, through the theme of "the academic as artist" (1993), the metaphor of a Greek drama (2006) and "becoming American" (2016) and some unpublished memoirs which he sent me.

In this chapter, I relate the core thread of Ed's life from his birth on 5 March 1928 to his death on 26 January 2023. As his telling of his life story is intertwined with his reflections on his life as a scholar-practitioner, many of these

DOI: 10.4324/9781003366355-3

This chapter has been made available under a (CC-BY-NC-ND) 4.0 license.

reflections are passed over in this chapter and explored in later thematic chapters. On several occasions, he has noted that serendipity has played a key role in his life where because he was in the right place at the right time, the opportunities to pursue questions presented themselves and he took them. As an example, we will see in Chapter 8 that the delay of his ship leaving Korea in 1953 afforded him the opportunity to use the time to interview former prisoners of war (POWs) which opened up the most significant research of his life. Another instance he recounted is how, as an undergraduate at the University of Chicago, on hearing about Carl Rogers he and his fellow students used to say something and the other would parrot it back word for word and they would laugh at the idea (Hansen & Madsen, 2019). At the time, he did not realise how Rogers' approach would become a major therapeutic technique and would influence his process consultations work. More on this is in Chapter 5. Ed's reflection was that ideas can emerge in different settings, not only in the classroom but also in playful settings where the groundwork of new ideas may emerge.

Part I 1928–1956

Ed was born in Zurich, Switzerland on 5 March 1928. His father was a Hungarian and his mother was a German. They had met in Zurich where Ed's father was studying for a doctorate in physics. Ed spent the first six years of his life in Zurich. As Swiss government policy was not to offer jobs to foreigners, after graduation, Ed's father had to leave Switzerland to pursue his career and the family moved to Odessa in the (then) Soviet Union where they lived for three years. In 1937, the Stalin purges were beginning and it was not safe to be a foreigner in the Soviet Union. Accordingly, the Schein family moved to Prague in Czechoslovakia where Ed attended school. With the growing threat from Hitler's rise to power in Europe, it became no longer safe to remain in Czechoslovakia. Ed's father took the opportunity to go to the United States, and he received a position as an instructor in the Physics Department of the University of Chicago where he became a full professor within 10 years. Ed and his mother spent six months back in Zurich preparing to join him and they moved to Chicago in 1938. Ed then went to school in Chicago, and as he did not speak English, he was put back two grades for a semester and then caught up. Ed reflected:

> These events are relevant in that I had by age ten, to learn Russian, Czech and then English and had made four cultural transitions . . . Later concerns with being careful when encountering new cultures with not making too many premature assumptions and with shaping diagnostic skills in the here-and-now situation all derived from these early experiences.
>
> (2006, p. 288)

Chicago

As an undergraduate at the University of Chicago, Ed took a wide range of courses (including physics which he failed). It was through a general biology course that he learned about psychology and about Carl Rogers who was on the faculty of the University at the time and was pioneering his radical approach to therapy. We will explore Ed's engagement with Rogers' work in Chapter 5. At any rate, psychology intrigued him, and as there were no opportunities in Chicago to study it, he transferred to Stanford University in California.

Stanford

In Stanford, Ed took every psychology course he could and discovered that what attracted him was social psychology and the experiments on social influence that were being pioneered at the time by Sherif, Asch and others. He decided to remain for another year for a master's degree where he wrote a master's dissertation on social influence. We will review Ed's reflection on the kind of science in which he was engaging then in Chapters 6 and 7. Ed noted that his interest in how social influence occurs was sparked at this time, little knowing how it would become a major theme of his work years later. He decided that experimental social psychology was the field for him and that he wanted to do a PhD and enter academia (Schein, 2016). Judging that he had used up the resources in psychology at Stanford Ed applied to and was accepted for PhD at Harvard University which he took up in the summer of 1949.

Harvard

At the time, Harvard University formed a new Department of Social Relations out of the social science departments of clinical psychology, social psychology, sociology and anthropology and separate from the traditional psychology department. This was a powerful interdisciplinary department where Ed was exposed to Gordon Allport, Richard Solomon, Freed Bales, George Homans, Jerome Bruner, David McClelland and Talcott Parsons, among others. Each of these was engaging in pioneering social psychology research. At a daily sandwich lunch, Ed reports that he was "thrilled to eavesdrop as different faculty members from different departments engaged in lively discussion and debates during these lunches" (Schein, 2016, p. 81). Through the interdisciplinarity of the group, he developed an eclectic view of social psychology. Allport was his first important mentor and taught him to locate issues in their historical context and emphasised the adage that if you cannot write about something, then you do not know it. Solomon taught him about good experimentation and the value of following interesting problems that affect theory and practice. Bruner's research on the effect of social class on perception taught him how the perceptual system is an active process of seeking out and attending to things that concern us.

During his doctoral studies, Ed took a course in group dynamics at MIT that was delivered by Alex Bavelas, whose ability "to stimulate excitement and his creativity in the design of experiments were unbelievable" (Schein, 2016, p. 95). Ed was exposed to the famous Bavelas and Leavitt communication experiments that mapped the effects of different communication patterns on task performance. He reflected:

> I became aware that the field of group dynamics was flourishing and that much of the work of people like Festinger, Schachter, Thibaut, Back, and Deutsch were actually conducted in and around MIT. This was experimental psychology at its best. Alex Bavelas became then and has remained one of my all-time heroes in the field. But alas I was in the army and committed to at least 3 years of service as an army psychologist. Kurt Lewin and his theories stayed very much on my mind even though I had never met him. I would continue as an experimental group dynamics researcher and I resolved to pursue the Bavelas or Leavitt types of experiments in the future.
>
> (2016, pp. 97–98)

As the military draft was still in operation, in parallel to his doctoral studies, Ed joined the US Army clinical psychology programme in which he was committed to spending a three stint after graduation. He was attached to the Walter Reed Army Institute of Research in Washington DC. Through Walter Reed, he had access to army inductees and was able to conduct his experiments and his analysis readily for his doctoral dissertation.

In 1952, Ed completed his PhD in social psychology under the direction of Allport and Solomon. His interest in social influence had led him to conduct an experimental study of imitation, on the question that, if people learned to imitate someone performing one task, would they continue to imitate that person on other tasks?

Walter Reed

The Harvard programme required a one-year postdoctoral internship, and with his military position, Ed was able to secure a position at Walter Reed as a clinical psychologist. From 1952 to 1956, Ed spent four postdoctoral years at Walter Reed where he joined an interdisciplinary team led by the psychiatrist, David Rioch, whom Ed ascribed as his second most important mentor (after Allport). Rioch taught him that if he wanted to find out something not to ask directly about it but to invite a story that would reveal what he wanted to know. This maxim became a central approach in process consultation and humble inquiry. Rioch created a powerful interdisciplinary environment in the department and regular visitors included Erving Goffman, Leon Festinger and Fred Fiedler among others. Meeting and working with Goffman was one of the most powerful formative

experiences for Ed who noted that Goffman's "influence was deep and lasting" (Schein, 2006, p. 291).

As Ed was settling into a series of experiments on the Bavelas-Leavitt leadership model, he received instructions from his military superiors to report within 72 hours for an overseas assignment. That assignment was to go to Korea for a programme that evaluated and treated military personnel who had been captured by the Chinese. These personnel were considered to have been indoctrinated and had allegedly collaborated with the enemy. Repatriates were to be returned to the United States from Korea by ship, and on the voyage, they were to be assessed psychologically and given therapy by clinical and psychiatric teams, of which Ed would be a member. The experiences Ed had in Korea led to his seminal research which has permeated his work throughout the rest of his life. We will explore this research in Chapter 8.

Part II The MIT years, 1956–2008

When he had completed his doctorate and military service, Ed was faced with a career choice. He was offered a position at Cornell University which offered him an assistant professorship in the psychology department which would have led him into an academic career in experimental social psychology. Out of the blue came an invitation from Douglas McGregor at the newly formed MIT Graduate School of Industrial Management to be an assistant professor teaching social psychology to management students. McGregor had been instrumental in bringing Lewin to MIT in 1945 and Ed knew of McGregor's work on leadership and as noted earlier had been very impressed by Alex Bavelas. Although Ed knew nothing about management or organisations, McGregor sold his vision of the MIT School as built around hiring people from different disciplines and letting them learn about business and organisations, rather than hiring people already in those fields. This would, in McGregor's vision, lead to a more exciting department (Sashkin, 1979). Ed found McGregor and Bavelas very convincing and accepted the offer. He joined the MIT School of Industrial Management in 1956 and remained there until his retirement in 2008. Between 1968 and 1971, he was an undergraduate planning professor at MIT, and in 1972, he became the chairman of the Organization Studies Group in the School. Ed's decision to join the MIT School of Industrial Management (later the MIT Sloan School of Management) was transformative. Through his choice to join a professional school rather than a traditional psychology department, Ed was opting for a focus on applied research rather than one of experimentation, the then favoured research model in social psychology.

> I decided at that point to gamble on a career at a professional school. Incidentally, I never regretted that decision. In retrospect, it probably was the best decision I ever made.
>
> (in Luthans, 1989, p. 61)

Becoming a professor

Ed's observations of his professor father had taught him several lessons. He saw how in the move to Odessa his father had to go wherever he felt he could do his best research in his field and how his academic career was not immune from politics as the subsequent moves demonstrated. As a child, Ed watched his father work at home for many hours struggling with analysing data, writing up research results, organising his teachings and entertaining graduate students and colleagues. What came through to Ed was the intensity of academic work and the excitement and celebration when something new emerged and a paper or book was published.

> I never doubted that I would become a professor but I also never realized how different the process of "becoming" a professor is from "being one", how long it would take me to choose a field, and how the work I ended up doing would be quite different from what I had planned to do during my graduate education. The abstract idea of the academic life as teaching, research, discovery, publication, and more research turns out in practice to have many vicissitudes based on the field you are in, the kind of university you are in, and a host of contextual factors that will be explored in this book.
>
> (Unpublished Memoirs)

Ed drew on Leopold's reflection on being a professor.

> There are men charged with the duty of examining the construction of the plants, animals, and soils which are the instruments of the great orchestra. These men are called professors. Each selects one instrument and spends his life taking it apart and describing its strings and sounding boards. This process of dismemberment is called research. The place for dismemberment is called a university. A professor may pluck the strings of his own instrument, but never that of another, and if he listens for music he must never admit it to his fellows or to his students. For all are restrained by an ironbound taboo which decrees that the construction of instruments is the domain of science, while the detection of harmony is the domain of poets.
>
> (Leopold, 1949, p. 162)

Ed commented that, in his move from being an experimental social psychologist to being a more clinically oriented scholar-practitioner in an applied field, he was learning how to dismember social and organisational phenomena. He noted:

> Leopold correctly focuses on research (dismemberment) as the essence of the professorial role, or as one of my colleagues put it less elegantly – professors are professional hair splitters. I knew of the importance of research from my own background in an academic family, but I also knew that the daily reality

> of the job involved "teaching," which, in an applied school was every bit as important as research.
>
> (Unpublished Memoirs)

In the context of social psychology in the post-World War II period, there was a strong need to explain the Nazi horrors and the racial troubles within the United States. As mentioned earlier in relation to Ed's time at Stanford, researchers such as Sherif, Asch and others were exploring the processes of influencing and imitation. What Ed also noted as significant was the emergence of group dynamics and experiential learning through the work of Kurt Lewin and John Dewey's influence in education. In the United Kingdom, the work of the Tavistock Institute articulated the notion of "socio-technical" systems to demonstrate the inseparability of the technical side of the work to be done from the human concerns. These were key foundations for Ed's approach to understanding organisations.

Becoming a teacher

As Bavelas had left MIT Ed looked for his course notes. McGregor would not give them to him and encouraged him to design his own course.

> We hired you and the strategy of the Sloan School is to see what a practising social psychologist would have to say to a group of future managers. You figure it out.
>
> (in Schein, Turner, Schein, & Hayes, 2021, p. 291)

Ed has described the daunting challenges facing him in teaching for the first time –wading through the wide range of issues in the field of social psychology, selecting topics for their relevance to management (of which Ed knew nothing), organising his choices into a fourteen week course, selecting readings and designing quizzes and exams and underpinned by the question "do I know enough to fill up the whole semester?". It was only when he had topics organised across the weeks, could he consider how that topic could lend itself to an interesting lecture. In retrospect, he saw that what he considered "interesting" was that it was interesting to him and not necessarily to the students. Ed reflected:

> You then realize that "organizing the material" is a skill you have to learn quite apart from what you will talk about in any given lecture. In a "good" course the dramatic variation has to occur across the weeks as well as across a given session so that the student's interest will continue throughout the semester. You then realize that implicit in all this is also the aesthetic component. You might not be tempted to verbalize the feeling, but after a successful lecture you might well feel that you had done a "beautiful" job. You might also admit to yourself and your confidants that good teaching also has a strong

> component of "entertainment," but you quickly reassure yourself and others that if it becomes "only entertainment," it is suspect.
>
> (Unpublished Memoirs)

Ed reflected that the academic culture that was operative for him and still is operative rests on a set of basic assumptions that direct the university teaching profession, what he calls the technical rational paradigm (Schein, 1972). This paradigm is founded on the following assumptions. There is an underlying discipline or basic science upon which practice is developed. An applied science from which day-to-day diagnostic procedures and problem solutions are derived. A skills and attitudinal component that concerns the actual performance of services to clients using the underlying basic and applied science. This paradigm is embedded in the institutional structures and philosophy of higher education which has internalised the separation of theory from practice. The curriculum begins with science and is followed by an applied component. Students learn science first. Otherwise, they have nothing to apply. Skills are secondary knowledge. The outcome of this paradigm is that there is a hierarchy of knowledge. Science is on top, and the technical skills of day-to-day practice are on the bottom. The nearer one is to basic science the higher is one's academic status. Academics are superior to practitioners. The corollary is that there is a split between theory and practice, a split that is grounded in the positivist philosophy of science. This model of technical rationality is an instrumentalist positivist one that frames the educational process in terms of means and ends and that every classroom activity can be classified in these terms.

Ed reflected that behind these assumptions are some "understandings" that function as implicit rules as he was learning as a young professor. Academics are licensed and obligated to teach what is considered to be the true state of knowledge at that time based on their own scholarship and research. Some lecturing is expected and is a learned skill. Delivery of a course material has to be organised across a whole course, not just one or two lectures. A fourth understanding is that it is OK to use someone else's organisation of the material, that is a good textbook. Lectures should be supplemented with readings, discussions, exercises and various kinds of homework assignments. Ed noted that he became aware of them later as he and his colleagues had their own PhD students whom they were forming to become professors themselves.

In designing and delivering an elective course "Influence, Persuasion and Attitude Change", Ed presented his insights about how coercive persuasion worked in various different settings. Being with a smaller class and engaging the students with readings and discussion gave him an alternative experience to the big class setting.

In Ed's third year at MIT, McGregor invited him to sit in with him in the Sloan Fellows class. The Sloan Fellows were young up-and-coming managers who were transitioning from staff or line jobs in various technical functions

to middle- and senior-level general management jobs because their companies viewed them to have the potential for higher-level executive positions. This was a new challenge as these students found the material too abstract, too far from anything practical that they as managers dealt with and actually quite boring. They constantly interrupted with questions and made it quite clear that when they did not understand something they were not about to just sit there and waste time. Ed reflected:

> I could not figure out what I was doing wrong until I watched carefully how McGregor handled his class sessions. I suspect he wanted me to co-teach with him to give me an opportunity to watch him in action and learn from that. He would present only a few ideas and quickly engage the class in discussing these ideas. Reviewing relevant research was not necessary, nor was it important to tell the students how these ideas fitted into broader theories. The goal seemed to be to *stimulate* not to lecture, to *provoke thought* not to tell them what or how to think.
>
> (Unpublished Memoirs)

Subsequently, Ed delivered an organisational psychology course to the Sloan Fellows programme for many years. He took a process approach where he framed the learning goals in terms of learning about the organisational underworld and learning about self. The organisational themes of working in groups, careers, cultural assumptions, social rituals and the relationship of work to family were embedded in processes of learning how to manage self and deal with emotions, listening, double-loop learning and communication. The weekly three-hour class time comprised both plenary meetings and small group learning (L groups) on specific themes and plenary debriefing (Schein, Beckhard, & Driscoll, 1981). Structured around Ed's ORJI (**O**bservation, **R**eaction, **J**udgement, **I**ntervention) reflection model, which we will see in Chapter 6, participants wrote reflective papers on their experience. Almost 40 years later, I still have the ORJI papers I wrote while in Ed's course on the Sloan Fellows' programme in 1984, and on rereading them, I appreciate the observation and reflective skills they provoked me to learn.

When he had stepped down from the Sloan Fellows' course, Ed offered an elective on planning and managing change. In this course, he required the participant to undertake both a personal and an organisational change and he acted as a process consultant to the individual and to the class. One of the exercises in the course (and in the Sloan Fellows' course) was the "empathy walk" in which participants in pairs, sought out and interviewed a person they perceived to be totally different from themselves. Ed published a reflection on the course and framed it in Lewinian change theory, which we will discuss in Chapter 9 (Schein, 1996).

NTL

In the summer of 1958, McGregor suggested to Ed that he attend a Human Relations Lab conducted by the National Training Laboratories (NTL) Institute for Applied Behavioral Science and the National Education Association at the Gould Academy in Bethel, Maine. These workshops had been developed in 1947 by some of the colleagues and students of Kurt Lewin and were breaking new ground by combining research with some new forms of education.

When Ed first encountered the unstructured T-groups, he reported that he was "stunned, anxious, angry, puzzled, and intrigued". He was not prepared for the nondirective behaviour of the group leader and the self-directedness of the process as the agenda for learning was in the here-and-now process of the group itself. Then he got it. He discovered the concept of group process that he could see the interplay of the content of what was being talked about with the actual manner in which it was being done. He discovered the power of looking at the here-and-now as a source for learning instead of gathering data and then analysing it by looking back as his professional training had taught him.

> I overcame my initial resistance and became an enthusiastic supporter of this new kind of "experiential" learning, joined the 1960 summer staff, became a regular staff member/trainer for more than a decade and ran the intern program for new staff members for many years. Whatever else I did as a teacher, I was convinced I would have to bring this form of learning into my regular classroom. But first I had to learn more about experiential learning and the Laboratory Method.
>
> (Unpublished Memoirs)

For Ed, the apprenticeship in the summer of 1959 provided a very important transition from being the anxious, angry, intrigued young academic researcher to learning a whole new way of designing learning experiences. His assumptions underpinning experiential learning were different from the ones listed above which had directed his early teaching. These new assumptions were as follows: the subject matter is interpersonal, group and organisational dynamics and leadership. This kind of subject matter cannot be taught; the student has to learn it through combining experience with concepts. The job of the teacher is to create the conditions for learning – a "cultural island" in which learners can say things that are ordinarily forbidden by the rules of etiquette, tact and good manners. The teacher designs the learning setting and learning experiences. The teacher facilitates learning by helping the learner to learn. In order to learn, the student must first have an experience before he or she can understand the concepts that "explain" or "illuminate" that experience. The ultimate goal is to teach the student how to learn by gaining experience in observing analysing and intervening in "here-and-now" group and interpersonal processes. Experiential learning

involves new ways of perceiving, analysing and talking about group interpersonal and organisational processes. This kind of learning enables learners to discover things about themselves, their impact on others and the deeper dynamics of groups that cannot be learned in other ways (Schein, 2014). Drawing on Lewin's change theory, which we will discuss in Chapter 9, Ed wrote a book with Warren Bennis on the theory and practice of experiential learning which became a standard reference work on the topic (Schein & Bennis, 1965).

Warner Burke co-trained with Ed in NTL experiential groups for several years in the late 1960s. He reflected:

> Ed was a deep thinker and could express his thoughts masterfully. By that I mean he was consistently focused, clear, patient, and inquiring regarding our exchanges. Ed was astute at helping others to learn via reflection, probing ideas, and exploring early thoughts. He didn't "teach" you. He helped you to formulate in your own words your early thinking.
>
> (Burke, 2023, p. 215)

Becoming a researcher

From his post-doctoral time at Walter Reed, Ed had a good deal of research experience and a track record of publishing his work on brainwashing with the prisoners of war (Schein, 1954, 1956a, 1956b; Schein, Strassman, & Thaler, 1956). His output continued (Schein, 1957a, 1957b, 1959a, 1959b; Schein, Hill, Williams, & Lubin, 1957; Schein & Singer, 1958). He felt well prepared for doing further research at MIT and a direction for research on social influence opened up.

From his work with the POWs, he received a grant from the CIA to continue his work on brainwashing. He became more interested in interpersonal influence so the study of the indoctrination of POWs during the Korean conflict (which we will discuss in Chapter 8) became an opportunity to study a real version of such influence and led directly to his research interest in how organisations influence their new employees. He began to see connections between the POW camps and settings that exercised physical and emotional control of inmates, such as prisons and mental hospitals, settings that Goffman had researched (Goffman, 1961). As he studied how prison governors managed their prisons, how nuns were inducted into their order (He cited *The Nun's Story* frequently, Hume, 1956) and schools, he saw how similar methods of persuasion were used, even across the values systems of these settings. The key, as he identified, was the degree to which the target person could be kept captive whether by physical or economic means. He also saw how the NTL labs exercised a form of constraint: get someone to commit to a fixed period of time, make some investment in terms of tuition or time commitment and then assume that they would remain even if they didn't like what was happening to them and be exposed to a new form of learning.

As he began to read the business literature and meet managers, Ed discovered that companies, such as General Electric and IBM, had their own version of indoctrination to train their future managers in how things were done in that company and what key values had to be accepted. In 1961, he published an article, "Management development as a process of influence" which argued explicitly that coercive persuasion and management development used the same techniques (Schein, 1961). The core theme based on the coercive persuasion work was always interpersonal and organisational influence.

> I made the decision to abandon the experimental research on group dynamics and leadership and concentrate fully on studying the organizational processes of indoctrination and socialization.
>
> (Unpublished Memoirs)

Becoming a consultant

Ed's entry into a school of management instead of a psychology department exposed him to a world of real organisations through consulting opportunities. He has recounted an early experience with a company where he and a colleague interviewed over 100 engineers in a company to find out what was and was not working well (Schein, 2009). They had produced a report with the data organised into neat categories, pointed out where engineers had told them how management could be improved and had made several very sensible recommendations. In a meeting to discuss their findings, the manager browsed the report, read the section dealing with himself and the perceptions of the strengths and weaknesses of his managerial style, thanked them and terminated the meeting.

Looking back on what was his first consulting experience, Ed reflected:

> We were trained in how to be good scientists, gather valid data, do good coding and statistical analysis, and think clearly and logically from the data to the recommendations. We knew very little about the social and psychological dynamics of human systems and forgot that an organization and its various sub-units are human systems. We also were naïve with respect to the political processes and power games that characterize organizations. It is quite possible that the VP of administration was dissatisfied with the performance of the engineering group and was looking for a vehicle to surface their bad performance so that he could get rid of the lab manager. We might have become pawns in that game without being aware of it.
>
> (Unpublished Memoirs)

Ed went on to frame his well-known distinction between different forms of consulting – *doctor–patient*, *purchase* and *process consultation* – that he has described in his *Process Consultation* works (Schein, 1969, 1987, 1988, 1990,

1999) which emerged from his early experiences as a consultant. He understood talks he gave to managers at Dutch Royal Shell in the mid-1960s as educational interventions in the mode of the *purchase* model where giving a talk in a company became an intervention as it was aimed at stimulating thought from his position as an expert. The arrival into the MIT faculty of Richard (Dick) Beckhard in 1963 opened up a new world for Ed. He and Dick conducted many workshops for senior managers. For Ed, Dick was "one of the major influences of my life" (Luthans, 1989, p. 75).

Through his consulting experiences, Ed was challenged, not only to observe what he had read about but also to take on an obligation to do something about what he observed and be helpful. I will explore Ed's thinking on consulting in Chapter 5.

Undergraduate planning professor, 1968–1971

In 1968, the then President of MIT, Howard Johnson, asked Ed to take on the role of undergraduate planning professor. MIT in 1968 was in a period of transition and innovation, with student unrest over the Vietnam War increasing across the country and curriculum review a current topic. Ed's role would be that of a free-floating change agent reporting to the Provost in the MIT central administration and playing a key role on the Committee on Educational Policy (CEP). This committee would be processing some of the major curriculum changes that were in the offing and Ed was to use his skills to facilitate the work of this group and to support further educational innovations in the undergraduate programme. Ed found that, across the university, there were plenty of proposals and plans, but what seemed to be needed were process skills in implementation. He defined his primary role as a "roving catalyst" which involved explaining new ideas and programmes within various committees such as the CEP, **s**erving as an information source on new ideas and programmes which were arising both within and outside of MIT, ensuring coordination among the innovative programmes themselves as more of them developed, helping new programmes to get off the ground and helping students and faculty who were interested in educational innovation to find the appropriate forum for their ideas. He reported how his office became a kind of diagnostic centre for students who were particularly interested in educational reform. He worked with various faculty members and groups to develop and install new educational approaches. He facilitated seminars on teaching. He found that the interventions he was making had more to do with the processes of decision-making, conflict resolution and appropriate coordination of resources than with the actual content of the curriculum innovations. Ed reflected:

> The job lasted for almost three years and was incredibly satisfying in that I could stimulate, catalyse, coach, support and create various innovations that were being developed by the various members of the MIT faculty in Science,

> Engineering, Humanities, Social Science, and Architecture. What made this job particularly exciting was the ability to exercise my process consultation skills inside an academic organization. It was one thing to teach experientially and innovate in my own courses. It was quite another thing to work with faculty in various other departments and help them invent, evolve and implement new approaches.
>
> (Unpublished Memoirs)

From this work, he wrote several reflective pieces, where he argued that, in the absence of models for integrating scholarship, teaching and maintenance concerns, professors need to become more "role innovative" with regard to teaching and governance activities (Schein, 1970).

Chair of the Organization Studies Group, 1971–1981

From 1971 to 1981, Ed chaired the Organization Studies Group (OSG) at the Sloan School. He often argued that organisation studies was a better term than organisation behaviour to express the field. "Organizations don't behave; people do" was his common retort. The OSG was a discipline-focused area within an area that included strategy, industrial relations, law, R&D management and international management. This basic organisation of subjects and research areas created effective smaller units of professors who could either work autonomously or form teams around specific research foci. Ed reported that his belief in McGregor's Theory Y, that is to believe in people and to assume that they want to do the right thing and control themselves governed his management style as Chair of the group.

> My agenda for the Organization Studies Group was: 1) Bring in the best and most creative faculty with a bias toward sociology and anthropology; 2) Create a climate that encourages innovation and personal growth and development; 3) Create and run effective meetings that would build and develop the group; 4) mentor students and young faculty, and 5) "manage" as little as possible.
>
> (Unpublished Memoirs)

Ed reported that the only real complication in this role resulted from intergroup issues, where the different disciplinary perspectives, such as those with quantitative or qualitative research orientation had different criteria as to what constituted scholarship worthy of tenure. He commented that it always annoyed him that quantitative professors felt completely qualified to judge qualitative material when it was obvious that they did not understand the field and should have excused themselves from judging those cases. When it came to complex mathematical analysis, his more qualitative colleagues and he used to give way

to colleagues who really understood the maths, but he got no such reciprocity from the economists who judged themselves to be qualified judges across the board.

> I felt caught in the middle because I had originally been more quantitative but had been weaned away from that approach toward a more qualitative sociological and anthropological approach to organization studies. I felt that the psychological research was carefully building knowledge brick by brick but that we also needed a more daring interventionist approach based on Lewin's dictum "You don't really understand an organization until you try to change it".
>
> (Unpublished Memoirs)

The research agenda that Ed was working to develop in OSG was more sociological and ethnographic such as in the study of organisational cultures and socialisation mechanisms. It was not that he was opposed to or was undervaluing quantitative research, but he was countering the view that quantitative methods were often viewed to be more important than studying problems relevant to organisational dynamics. In this vein, he opposed tenure to scholars whom he acknowledged to be competent researchers, with good publications but lacking, in his view, a "creative spark" or a lack of imagination needed in an academic career.

Ed considered that the most important thing he achieved as Chair was to bring in new faculty, especially Lotte Bailyn and John Van Maanen. He had already hired Lotte as a researcher during his period in his undergraduate planning role. He now brought her onto the regular tenure track and a faculty member. John's contribution was to legitimise clinical and ethnographic research by showing how the insights of the ethnographer are crucial to understanding what really goes on in organisations. Ed reflected:

> I am emphasizing this work with John and Lotte because it was the logical extension of the work that Warren Bennis, David Berlew, Richard Beckhard, David Kolb and I were doing on *experiential learning* and on what came to be called *action research*. Building on Lewin and the work of the Tavistock in the U.K, it was becoming obvious that when working with human systems the research process itself was an intervention and that the best data came out of the joint involvement of researcher and subject in the research. More of us began to take seriously the concept of "Socio-Technical Systems" as a core concept for both research and intervention in recognizing that gathering data and intervening are two sides of the same coin and always a single process.
>
> (Unpublished Memoirs)

Ed reviewed his tenure as OSG Chair.

> As I look back on my ten years of being a department chair, several thoughts/feelings surface. I had a chance to channel the intellectual thrust of the group toward the academic and practitioner values that I had acquired. The most important part of that thrust was to get away from just psychology and begin to build around sociology and anthropology by hiring Lotte Bailyn and John Van Maanen, and then shepherding them through the tenure gauntlet. Working closely with them throughout the years strongly influenced our joint ability to put career studies, work/family/self issues, socialization and culture research on the map, including helping to create the Careers Division of the Academy of Management.
>
> (Unpublished Memoirs)

The research culture Ed created in the OSG has been reflected on by several of the former doctoral students of that period (Fazter, Van Maanen, Schmid, & Weber, 2019). Steve Barley describes entering a programme where the focus was on phenomena rather than on theory. He recalled "Our student culture's theory was that Ed had architected our doctoral experience to produce anything but clones. This is why there was no smorgasbord of courses in organisation studies. We were never asked to read or even publish in the *Academy of Management Journal* or the *Academy of Management Review*" (2019, p. 51). He went on to note that writing was what was valued most highly not with a focus on A journals but on communicating ideas and scholarship. Gideon Kunda reflected:

> It was Ed's contribution to my own budding research effort that led me to consider what I consider my deepest learning, a culmination of all his teaching that preceded it. Believing that if we are to become scholars of the sort he wished to create,, we had to engage, directly, intensively and wholeheartedly with the turbulent world outside and so he gently nudged us out.
>
> (2019, pp. 98–99)

Annamaria Garden has expressed it personally "With Ed it seemed he had created in me a new brain that functioned from then on in my own individual way. Each conversation with him and you were inspired for a week" (2015, p. 99). Deborah Dougherty (2019) drew her learning from Ed into five lessons: do good work by studying real problems (in all their reality), listen and attend closely (to people and the phenomenon of study), bring a wealth of knowledge to bear on the research challenge, work hard and diligently and be there for students, colleagues, practitioners and academic professions.

Interpersonal dynamics

A central theme running through Ed's work is that of interpersonal dynamics. It was at the forefront of his notions of process consultation and humble inquiry and his writing on culture, leadership and consulting. He recounted how he and Warren Bennis used to have stimulating conversations about what goes on between people and in groups (Schein, 1993). As time went on, they drew doctoral students, Dave Berlew and Fritz Steele, into the conversations on what they were teaching students. This led to the sharing of reading lists and key readings and then to a decision to publish a book with key analytic essays by each of them (Bennis, Schein, Berlew, & Steele, 1964, 1968, 1973). John Van Maanen replaced Berlew for a later edition (Bennis, Van Maanen, Schein, & Steele, 1979). This latter volume is the one with which I have the most familiarity. While Van Maanen's two chapters provide a profound perspective of theories of interpersonal dynamics, in the context of this present volume, Ed's chapter "personal change through interpersonal relationships" has provided a comprehensive account of how his application of Lewin's change framework is applied to helping settings such as teaching, counselling and consulting (Schein, 1979).

Ed related that his involvement in the production of the editions of this volume was a creative group project that had no original intent (Schein, 1993). He expressed a nostalgic memory of fun academic teamwork and an example of his creative opportunism. What is regrettable is that, as this volume went out of print, what I judge to be a key Schein output has disappeared and has not been reproduced in any collections. It would, in my view, be essential reading for those in counselling and consulting educational and training programmes.

McGregor

I cannot leave Ed's tenure at MIT without an exploration of McGregor's role. Douglas McGregor was an influence on Ed in two ways (Burke, 2009). He was the person who brought Ed to MIT and then as a mentor encouraged him to develop his own courses, modelled teaching for the young professor, encouraged him to go to NTL and encouraged him to take up consulting. The second way McGregor influenced Ed was through his writings, particularly through his notion of Theory X and Theory Y, two constructs of managerial assumptions about human nature (McGregor, 1960, 1967), which Ed evaluated.

> McGregor was a psychologist writing about the human side of enterprise. I became his student and adopted his philosophy: that the important thing is your attitude and assumptions about people. Do you have faith in people or do you think about them cynically? He became my major source of conceptual influence.
>
> (in Hansen & Madsen, 2019, p. 48)

Ed was concerned about the simplistic interpretations that have presented Theory X and Theory Y as management styles of behaviour (Schein, 1975) and consistently emphasised paying attention to managers' underlying assumptions about their employees. He argued for McGregor's theory to be taken more seriously, the theory being the focus on assumptions as distinct from values, beliefs and attitudes. In Ed's view, this theory was profound and it became the third level of his analysis of organisational culture. Ed elaborated McGregor as a theoretician and a social philosopher who behaved in his managerial and consultant roles in a manner congruent with his theory (Schein, 2011). As described earlier by not giving him Bavelas' course notes, McGregor gave him the freedom and space to create his own course and so to flourish as a young professor and by suggesting he attend the NTL groups, without formulating what he thought Ed ought to learn, he changed the direction of Ed's career and life. After McGregor's untimely death in 1964, Warren Bennis and Ed were invited by Caroline McGregor, McGregor's widow, to edit a collection of his essays (McGregor, 1966).

Part III California, 2011–2023

In 2011, after the passing of his wife, Mary, in 2008, Ed moved to a retirement complex in California. Here, he embarked on a fruitful collaborative partnership with his son, Peter, who was a consultant. Together they formed the Organizational Culture and Leadership Institute (*www.scheinocli.org*) and worked with companies on health and safety issues and with a healthcare organisation. In this work, they conducted training in the practice of attending to human processes and relationships through humble leadership (see Chapter 6). Peter has described their collaboration as combining his "youthful energy" with Ed's wisdom. Together they revised Ed's books: *Organizational Culture and Leadership* (Schein & Schein, 2017), a third edition of *The Corporate Culture Survival Guide* (Schein & Schein, 2019), a second edition of *Humble Inquiry* (Schein & Schein, 2021), and *Career Anchors Reimagined* (Schein, Van Maanen, & Schein, 2023) and two editions of *Humble Leadership* (Schein & Schein, 2018, 2023). As Ed's energy declined, he stopped travelling and spent a good deal of his time engaging with groups and individuals on Zoom calls, and on the day of his passing, 26 January 2023, he had spent several hours on a Zoom call with colleagues and friends.

Conclusions

We have explored some of the main threads of Ed's life in this chapter because Ed himself understood how his experiences in his life shaped his thinking and his work. He constantly referred back to a series of core experiences so as to provide an understanding of his work for the readers of his work to provide both insight into Ed himself and into how we might reflect on what has shaped us as

scholar-practitioners. A key lesson is how we can see Ed's practice of interiority as he reflected on both the outer events of his life and the inner meanings that these events had for him.

Questions for study and reflection

1. What does reading Ed's learning journey evoke in you?
2. How has your life and academic formation shaped your work as a scholar-practitioner?
3. Who have been your mentors and what have you appropriated from them?
4. Can you identify an incident that expresses the best of what being a scholar-practitioner means for you?

References

Barley, S. R. (2019). About organizational socialization at the MIT Sloan School of Management- for Ed Schein. In G. Fazter, J. Van Maanen, D. C. Schmid, & W. G. Weber (Eds.), *Edgar H. Schein: The spirit of inquiry* (pp. 47–56). Innsbruck: Innsbruck University Press.

Bennis, W., Schein, E. H., Berlew, D. E., & Steele, F. I. (1964). *Interpersonal dynamics*. Homewood, IL: Dorsey.

Bennis, W., Schein, E. H., Berlew, D. E., & Steele, F. I. (1968). *Interpersonal dynamics* (2nd ed.). Homewood, IL: Dorsey.

Bennis, W., Schein, E. H., Berlew, D. E., & Steele, F. I. (1973). *Interpersonal dynamics* (3rd ed.). Homewood, IL: Dorsey.

Bennis, W., Van Maanen, J., Schein, E. H., & Steele, F. I. (1979). *Essays in interpersonal dynamics*. Homewood, IL: Dorsey.

Burke, W. W. (2009). The Douglas McGregor legacy. *Journal of Applied Behavioral Science*, *45*(1), 8–11. doi:10.1177/0021886308327234

Burke, W. W. (2023). Edgar H. Schein: Reflections on his life and career. *Journal of Applied Behavioral Science*, *59*(2), 214–222. doi:10.1177/00218863231163607

Dougherty, D. (2019). Learning to learn from Ed. In G. Fazter, J. Van Maanen, D. C. Schmid, & W. G. Weber (Eds.), *Edgar H. Schein: The spirit of inquiry* (pp. 73–82). Innsbruck: Innsbruck University Press.

Fazter, G., Van Maanen, J., Schmid, D. C., & Weber, W. G. (Eds.). (2019). *Edgar H. Schein: The spirit of inquiry*. Innsbruck: Innsbruck University Press.

Garden, A. M. (2015). *The roles of organisation development*. Abingdon: Routledge.

Goffman, E. (1961). *Asylums*. New York: Anchor Books.

Hansen, A. V., & Madsen, S. (2019). *Theorizing in organization studies: Lessons from key thinkers*. Cheltenham: Edward Elgar.

Hume, K. (1956). *The nun's story*. New York: Pocket Books.

Kunda, G. (2019). Learning with Ed. In G. Fazter, J. Van Maanen, D. C. Schmid, & W. G. Weber (Eds.), *Edgar H. Schein: The spirit of inquiry* (pp. 93–104). Innsbruck: Innsbruck University Press.

Lambrechts, F., Bouwen, R., Grieten, S., Huybrechts, J., & Schein, E. H. (2011). Learning to help through humble inquiry and implications for management research, practice,

and education: An interview with Edgar H. Schein. *Academy of Management Learning & Education*, *10*(1), 131–147. doi:10.5465/amle.10.1.zqr131

Leopold, A. (1949). *A sand county almanac*. New York: Oxford University Press.

Luthans, F. (1989). Conversation with Edgar H. Schein. *Organizational Dynamics*, *17*(4), 60–76.

McGregor, D. M. (1960). *The human side of enterprise*. New York: McGraw-Hill.

McGregor, D. M. (1966). *Leadership and motivation: Essays of Douglas McGregor* (W. Bennis & E.H. Schein with the collaboration of C. McGregor, Eds.). Cambridge, MA: MIT Press.

McGregor, D. M. (1967). *The professional manager*. New York: McGraw-Hill.

Quick, J. C., & Gavin, J. H. (2000). The next frontier: Edgar Schein on organizational therapy. *Academy of Management Executive*, *14*(1), 31–48. www.jstor.org/stable/4165606

Sashkin, M. (1979). Interview with Edgar Schein. *Group & Organization Studies*, *4*(4), 400–417.

Scarpino, P. (2012). Edgar Schein oral history interview. Tobias Leadership Center, Indiana University. Retrieved May 2023, from https://tobiascenter.iu.edu/research/oral-history/audio-transcripts/index.html

Schein, E. H. (1954). The effect of reward on adult imitative behavior. *Journal of Abnormal and Social Psychology*, *49*, 389–395. doi:10.1037/h0056574

Schein, E. H. (1956a). The Chinese indoctrination program for prisoners of war: A study of attempted brainwashing. *Psychiatry*, *19*, 149–172. doi:10.1080/00332747.1956.11023044

Schein, E. H. (1956b). Some observations on Chinese methods of handling prisoners of war. *Public Opinion Quarterly*, *20*, 321–327. www.jstor.org/stable/2746576

Schein, E. H. (1957a). The effect of sleep deprivation on the sending and receiving of complex instructions. *Journal of Applied Psychology*, *41*, 247–252.

Schein, E. H. (1957b). Methods of forceful indoctrination: Observations and interviews. *Group for the Advancement of Psychiatry*, *4*, 253–269.

Schein, E. H. (1959a). *Brainwashing*. London: Encyclopedia Brittanica.

Schein, E. H. (1959b). Brainwashing and totalitarianization in modern society. *World Politics*, *11*, 430–441. doi:10.2307/2009202

Schein, E. H. (1961). Management development as a process of influence. *Industrial Management Review*, *2*, 55–77.

Schein, E. H. (1969). *Process consultation: Its role in organization development*. Reading, MA: Addison-Wesley.

Schein, E. H. (1970). The reluctant professor: Implications for university management. *Sloan Management Review*, *12*, 35–49.

Schein, E. H. (1972). *Professional education*. New York: Wiley.

Schein, E. H. (1975). In defense of theory Y. *Organizational Dynamics*, *4*(1), 17–30. doi:10.1016/0090-2616(75)90002-9

Schein, E. H. (1979). Personal change through interpersonal dynamics. In W. Bennis, J. Van Maanen, E. H. Schein, & F. I. Steele (Eds.), *Essays in interpersonal dynamics* (pp. 129–162). Homewood, IL: Dorsey.

Schein, E. H. (1987). *Process consultation Volume II: Lessons for managers and consultants*. Reading, MA: Addison-Wesley.

Schein, E. H. (1988). *Process consultation, Volume I: Its role in organization development* (2nd ed.). Reading, MA: Addison-Wesley.

Schein, E. H. (1990). A general philosophy of helping: Process consultation. *Sloan Management Review*, *31*(3), 57–64.

Schein, E. H. (1993). The academic as artist: Personal and professional roots. In A. Bedeian (Ed.), *Management laureates*: *A collection of autobiographical essays* (Vol. 3, pp. 31–62). Greenwich, CT: JAI Press.

Schein, E. H. (1996). Kurt Lewin's change theory in the field and in the classroom: Notes toward a model of managed learning. *Systems Practice*, *9*(1), 27–47. doi:10.1007/BF02173417

Schein, E. H. (1999). *Process consultation revisited: Building the helping relationship*. Reading, MA: Addison-Wesley.

Schein, E. H. (2006). From brainwashing to organizational therapy: A conceptual and empirical journey in search of 'systemic' health and a general model of change dynamics. A drama in five acts. *Organization Studies*, *27*(2), 287–301. doi:10.1177/0170840606061831

Schein, E. H. (2009). Reactions, reflections, rejoinders and a challenge. *Journal of Applied Behavioral Science*, *45*(1), 141–158. doi:10.1177/0021886308328942

Schein, E. H. (2011). Douglas McGregor: Theoretician, moral philosopher or behaviorist? An analysis of the interconnections between assumptions, values and behavior. *Journal of Management History*, *17*(2), 156–164. doi:10.1108/17511341111112569

Schein, E. H. (2014). The role of coercive persuasion in education and learning: Subjugation or animation? In A. B. (Rami) Shani & D. A. Noumair (Eds.), *Research in organizational change and development* (Vol. 22, pp. 1–24). Bingley: Emerald. doi:10.1108/S0897-301620140000022001

Schein, E. H. (2016). *Becoming American. My first learning journey*. Bloomington, IN: iUniverse.

Schein, E. H., Beckhard, R., & Driscoll, J. W. (1981). Teaching organizational psychology to middle managers: A process approach. *Organizational Behavior Teaching Review*, *5*(5), 19–26. doi:10.1177/105256298000500105

Schein, E. H., & Bennis, W. G. (1965). *Personal and organizational change through group methods: The laboratory approach*. New York: Wiley.

Schein, E. H., Hill, W. F., Williams, H. L., & Lubin, A. (1957). Distinguishing characteristics of collaborators and resisters among American prisoners of war. *Journal of Abnormal and Social Psychology*, *55*, 197–201. doi:10.1037/h0038533

Schein, E. H., & Schein, P. A. (2017). *Organizational culture and leadership*. San Francisco, CA: Jossey-Bass.

Schein, E. H., & Schein, P. A. (2018). *Humble leadership: The power of relationships, openness and trust*. San Diego, CA: Berrett-Kohler.

Schein, E. H., & Schein, P. A. (2019). *The corporate culture survival guide* (3rd ed.). Hoboken, NJ: Wiley.

Schein, E. H., & Schein, P. A. (2021). *Humble inquiry*. San Diego, CA: Berrett Kohler.

Schein, E. H., & Schein, P. A. (2023). *Humble leadership* (2nd ed.). San Diego, CA: Berrett Kohler.

Schein, E. H., & Singer, M. T. (1958). Projective test responses of prisoners of war following repatriation. *Psychiatry*, *21*, 375–385. doi:10.1080/00332747.1958.11023146

Schein, E. H., Strassman, H., & Thaler, M. (1956). A prisoner of war syndrome: Apathy as a reaction to severe stress. *American Journal of Psychiatry*, *112*, 998–1003. doi:10.1176/ajp.112.12.998

Schein, E. H., Turner, R. A., Schein, P. A., & Hayes, T. L. (2021). A long and beautiful conversation with Edgar Schein: His journey through seven decades of social psychology, anthropology, and organizational life. *Consulting Psychology Journal: Practice and Research*, *73*(4), 289–301.

Schein, E. H., Van Maanen, J., & Schein, P. A. (2023). *Career anchors reimagined. Finding direction and opportunity in the changing world of work*. San Francisco, CA: Jossey-Bass.

3 The social science of the scholar-practitioner

> A scholar-practitioner . . . is a professional who knows how to abstract new knowledge from experiences in organizations; someone who is dedicated to generating new knowledge that is useful to practitioners.
>
> (Schein in Wasserman & Kram, 2009, pp. 19–20)

To celebrate the occasion of Ed's 80th birthday, Rami Shani and I guest-edited a special issue of the *Journal of Applied Behavioral Science* (JABS). Given the range of subjects on which Ed had written, we asked him which he would like the focus of the special issue to be. His reply was unequivocal – the scholar-practitioner. The special issue was titled, The Challenges of the Scholar-Practitioner (Coghlan & Shani, 2009).

In response to the call for papers for this special issue, Wasserman and Kram (2009) explored what being a scholar-practitioner might mean for those who designate themselves as such. They interviewed 25 people, asking them such questions as to how they identified with the term, how they defined the role and what they experienced as the challenges and dilemmas. Wasserman and Kram framed the dynamic role of the scholar-practitioner in terms of being at the midpoint on a continuum anchored at both ends by a segmentation of the roles of scholar and practitioner and being able to integrate both roles. Ed was one of the participants in Wasserman and Kram's study, and they cited some of his reflections on being a scholar-practitioner, including the aforementioned definition.

In his response to Wasserman and Kram's article, Ed commented on their findings and reflected on how his early work in experimental and social psychology and his training in statistics and experimental methods were a base for developing clinical inquiry. He judged the latter to be "a better science for the study of human systems than positivistic experimentation and option surveying because I learned the advantages and limitations of both" (Schein, 2009a, p. 41). We will explore Ed's clinical approach to research in Chapter 7.

DOI: 10.4324/9781003366355-4

This chapter has been made available under a (CC-BY-NC-ND) 4.0 license.

Tenkasi and Hay (2008) defined the scholar-practitioner as

> the contemporary carriers of the Aristotelian second vision, who skilfully integrate theory, experience and practice to create actionable scientific knowledge or knowledge that advances the cause of both the organization and the larger scientific discourse.
>
> (p. 49)

They revisited Aristotle's distinction between different forms of knowledge, often cited as the source of the separation of theory and practice and made the case for the scholar-practitioner as integrating the two as an "epistemic technician". Tenkasi and Hay, however, pointed to what they frame as Aristotle's "second" legacy, namely his notion of *phronesis*, usually translated as practical wisdom (Dunne, 1993; Eikeland, 2007). *Phronesis* is grounded in experience and integrates moral and ethical reasoning. It is in terms of *phronesis* that Tenkasi and Hay framed the scholar-practitioner as an "epistemic technician". While Ed did not refer to Aristotle explicitly, he reflected:

> I have never been interested in theory for theory's sake. I find l always want to go down the abstraction ladder and use examples, metaphors, or other simplifications to make theoretical points. In other words, parsimony is very important to me, but high levels of abstraction are not.
>
> (in Wasserman & Kram, 2009, p. 12)

In the light of his insightful assertion that Ed Schein was a fox and that there is no single, established Schein school of thought to mark his contribution to the field of organisational studies, Van Maanen posed this question: "How is it that a coherent research narrative – such as those produced by Ed over the years – can be fashioned and put in a persuasive way?" (Van Maanen, 2019, p. 17). My response to this question is to focus on Ed's way of thinking as an organisational scholar-practitioner and to frame his legacy as his interiority (Coghlan, 2023). I am proposing that a focus on interiority as a philosophical concept and as an integrating theme enables readers to explore the range of Ed's work in a manner that illuminates his way of thinking and which provides methodological insights into being an organisational scholar-practitioner. We will explore interiority in the next chapter.

To ground our understanding of Ed's work as an organisational scholar-practitioner, we need to understand the nature of social science. Such an understanding may form the basis for learning about the theory of being a scholar-practitioner. Accordingly, I now step back from Ed's work to lay its foundations in a philosophy of social science, particularly that of Kurt Lewin, and how it underpinned Ed's work.

The philosophies of social science

In their exploration of the nature of social science, Delanty and Strydom (2003) outlined three conceptions of a philosophy of social science: (i) as derived from the philosophy of science, (ii) as an epistemological concern for the status of scientific knowledge and (iii) as a reflection on the practice of social science. They described the philosophy of social science derived from a philosophy of science, specifying prescriptively how science should be conducted and mirroring the subjection of social science to the natural sciences. The philosophy of social science as epistemology is concerned with the nature and status of scientific knowledge and with what goes on within social science. The philosophy of social science is also a reflective discourse on the practice of social science and its relation to knowledge and action. In Delanty and Strydom's view, the three conceptions mark a move away from any intra-disciplinary philosophical debate and towards the applications of social science (i.e. questions of knowing, of practice and of societal structures and cultural processes that influence social science research). As this volume unfolds I will be showing how Ed's practice of the social science of being a reflexive organisational scholar-practitioner accords with Delanty and Strydom's third conception of social science, namely as a reflection on its practice.

Delanty and Strydom consolidated the strands of contemporary social science into four conclusions. The first is that social science is an activity that is inextricably engaged with society and not isolated from it. It is dependent on the historical and cultural forces present at the time of the research. The second is that the role of social scientists has shifted from being a passive recipient of truth or the discoverer of extant truth to being active and creative agents in the construction of knowledge. The third theme is a challenge to any purported scientific truth test that might differentiate valid and reliable facts from opinion and fiction, and accordingly, the quality is assessed by the reflexivity of the actors and not on the empirical independence of the facts produced by any truth test within that turn. The fourth theme extends the third one and highlights the importance of managing the reflective practices of the actors within social science as they explore their collective philosophical beliefs with both other scientists and with the communities that constitute the context of social science. In the next chapter, I will elaborate on how Ed's practice as a social scientist exemplifies Delanty and Strydom's conclusions about the nature of social science.

Social science as engaging with meaning

The emergence of social science from the natural sciences was identified by Wilhelm Dilthey (1833–1911) who argued that human life could only be understood in terms of categories that do not apply to knowledge of the physical world, namely aspects of meaning such as "value", "purpose" or "development" (Hollis,

2002). Accordingly, social science is essentially interpretive as it explores the meaning of how we understand ourselves in the world.

Human living is mediated largely through acts of meaning (Lonergan, 1993). We express ourselves through language, art, symbols, rituals, how we live and what we do. We are constantly engaging in acts of meaning in our experiencing, our understanding, our judgements, our decisions and our actions. We create meaning through our intentions, analysis, choices, decisions, actions and learning. At the same time, we question meaning because error and deceit can distort truth, fact, science and honesty. In the collective context, meanings are shared in communities and organisations which come about because their member people share common meanings from common fields of experience, common understandings, common measures of judgement and common consent. Organisation and community are only possible through a common ground of meaning which finds expression in the articulation of shared values and aims and in shared actions. At the heart of the social science of organisational research are the collaborative activities of uncovering diverse meanings, exploring them and seeking to explore each shared meaning in order that actions are taken to achieve shared outcomes (Shani & Coghlan, 2021).

Realms of meaning

Heron and Reason (1997) have described "an extended epistemology", which describes four forms of knowing: experiential, presentational, propositional and practical. Experiential is described as the knowing that comes directly through experience. Presentational knowing captures knowing through art, literature, music and aesthetics. Propositional knowing expresses what we understand as scientific or conceptual knowing, through systematic and ordered understanding. Practical knowing relates to the completion of everyday tasks and seeks to help us deal with situations as they arise and to discover solutions that will work. Each form is governed by rules and norms appropriate to its own form and has its own criteria for affirming what is so. For example, the criteria for practical knowing are whether it works; the criteria for science are whether it is based on evidence rigorously gathered and analysed. Heron and Reason make the case that practical knowing is primary as it "fulfils the three prior forms of knowing, brings them to fruition in purposive deeds and consummates them with its autonomous celebration of excellent accomplishment" (p. 281).

The question of how we can recognise and value these different forms of knowing in their respective contexts and recognise how we know in different settings is a relevant one in organisation studies. The answer lies in differentiated consciousness by which I mean how we can distinguish different settings and spheres of activities which hold different meanings and which require their own sometimes specialised forms of knowing and methods. For instance, in the realm of propositional knowing (science/theory), we are interested in things and

people as they relate to one another in a verifiable manner. Propositional knowing operates systematically, is governed by logic and uses language in a technical and explanatory manner. Explanation has to be accurate, clear and precise so the ambiguities of practical language are averted. Special methods are required to govern different types of investigation. An example of propositional knowing is Ed's work on careers, where he researched cohorts of executives and constructed the notion of career anchors (Schein, 1978; Schein & Van Maanen, 2013; Schein, Van Maanen, & Schein, 2023). We will explore this work in Chapter 10.

On the other hand, practical knowing focuses on the concrete and the particular concerns of human living and the successful performance of daily tasks. At its core, practical knowing describes things as they relate to us; it is a descriptive, subject-centred context of knowing, that is not interested in universal solutions. The arenas of management and organisation development (OD) and change, for instance are located within the realm of practical knowing as managers and consultants work on the strategic and operational concerns that they have about their organisations, what these concerns might mean and how they might address them. Ed's classic *Process Consultation* (Schein, 1969) provides an example of the process of practical knowing. We will explore this in Chapter 5.

Coghlan, Shani and Hay (2019) discussed how the practice of social science is enacted through interiority, which is the process whereby we attend to the cognitional operations within ourselves, that is the data of our consciousness. The core theme of this book is that Ed has demonstrated interiority in his practice of being an organisational scholar-practitioner and that interiority provides a philosophical foundation for understanding his scholarship of practice. Interiority is characterised by a turn from the outer world of practical and propositional knowing to the appropriation of ourselves as knowers (Eidle, 1990; Coghlan, 2010). The focus of interiority is to recognise the competencies of both propositional and practical knowing and to meet the demands of both without confusing them. Interiority involves shifting from *what* we know to *how* we know, a process of intellectual self-awareness. We will elaborate on the notion of interiority in the next chapter.

The social science of Kurt Lewin

A key influence on Ed's social science was Kurt Lewin (1889–1947), who is considered to be the father of social psychology. Lewin has been called the "practical theorist" by his biographer (Marrow, 1969) and the "complete social scientist" (Gold, 1999).

Lewin (1997a) provided a clear statement of how he saw basic issues of social research.

> It is important to understand clearly that social research concerns itself with two rather different types of questions, namely the study of general laws of

> group life and the diagnosis of a specific situation. Problems of general laws deal with the relation between possible conditions and possible results. They are expressed in "if so" propositions . . . To act correctly . . . he has to know too the specific character of the situation at hand . . . For any field of action both types of scientific research are needed.
>
> (p. 145)

Lewin's statement presents the dilemma confronting social science research. If the "general laws of group life" mark the realm of theory development as practiced by traditional positivist research, which in Lewin's terms "produces nothing but books", and if the "dynamics of a specific situation" mark the realm of practical knowing as practiced by practitioners in order to improve situations, then their coming together in the work of scholar-practitioners provides a way forward for an integration of research and action.

Bargal (2012) explored how Lewin's work was grounded in the interdependence of theory, research and action. He described three strands of Lewin's theory. The first strand is field theory, which Lewin understood as a metatheory, which is a psychological approach to understanding groups as a complex picture of dynamic forces that affect both the group and individual behaviour. A field therefore exists in a state of quasi-stationary equilibrium held together by forces that push for stability and ones that push for change. Field theory focuses on the total situation or life space in the present. The second strand of Lewin's theory is democratic principle, which from his leadership studies he distinguished from autocracy and laissez-faire (Lewin, Lippitt, & White, 1939). The third strand that Bargal discussed is Lewin's theory of social change as a dynamic of forces driving and restraining change within a force field (Lewin, 1948). It is in these terms that Lewin developed his three-step change model: unfreezing, moving and refreezing. Chapters 8 and 9 will explore how Ed drew on and developed Lewin's theory of change.

Argyris (1993) drew together four core themes of Lewin's work. First, Lewin integrated theory with practice by framing social science as the study of problems of real life, and he connected all problems to theory. Second, he designed research by framing the whole and then differentiating the parts. Third, he produced constructs that could be used to generalise and understand the individual case, particularly through the researcher as intervenor and his notion that one could only understand something when one tried to change it. Fourth, he was concerned with placing social science at the service of democracy, thereby changing the role of those being studied from subjects to clients so that, if effective, could improve the quality of life and lead to more valid knowledge. In Argyris' view, by enacting these four values, Lewin changed the role of those being studied from subjects to clients. He wanted to be of help and if successful would improve the quality of the client's life and produce actionable knowledge.

Table 3.1 Edgar Schein as a Lewinian Social Scientist

Lewin (Argyris, 1993)	*Schein*
Framing social science as the study of problems of real life, and connecting all problems to theory	The scholar-practitioner as professional who knows how to abstract new knowledge from experiences in organisations
Designing research by framing the whole, and then differentiating the parts	Following the story as the client presents it
Constructs that could be used to generalise and understand the individual case, particularly through the researcher as intervenor and his notion that one could only understand something when one tried to change it	The scholar-practitioner as an OD consultant working with organisational clients to effect change and generate practical knowledge
Lewin was concerned with placing social science at the service of democracy, thereby changing the role of those being studied from subjects to clients so that, if effective, could improve the quality of life and lead to more valid knowledge	Clinical inquiry inquiry/research is grounded in being helpful to clients to effect change as they define it

Table 3.1 juxtaposes Argyris' presentation of Lewin's social science with Ed's notion of the scholar-practitioner as a professional who knows how to abstract new knowledge from experiences of working as an OD consultant engaging with organisational clients to effect change and generate practical knowledge. His concept of clinical inquiry inquiry/research, which we will explore in Chapter 7, is grounded in being helpful to clients to effect change as they define it.

The scholar-practitioner as social scientist

I am grounding this volume on Ed's work on the notion of the scholar-practitioner as bridging the gap between theory and practice. While other terms, such as the engaged scholar (Van de Ven, 2007; Hoffman, 2021), are also in currency and Ed was certainly an engaged scholar, I am using the scholar-practitioner to describe Ed's work, as it was the term he used about himself as we have seen. Taking Delanty and Strydom's (2003) view that the philosophy of social science is now about reflective discourse on the practice of social science and its relation to cognition and knowledge, I propose that, in describing Ed's work, the characteristics of the scholar-practitioner be grounded in the actual operations of human knowing, which I will develop in the next chapter. Modern philosophy, under the influence of empirical positivism, avoided the issue of the subject in his/her acts of consciousness and so the subject became neglected. Organisational research became a process of collecting 'out-there' data and storing concepts by other people. While phenomenology, interpretivism and postmodern philosophy have revived attention to the subject there continues to be a dominance of

empiricism in organisational research, a practice Ed frequently questioned. An outcome of empirical positivism has been the split between theory and practice and between rigour and relevance. In the next chapter, I will explore how attention to the operations of human knowing through differentiated consciousness and the articulation of a general empirical method through interiority provide the thread for framing Ed's legacy.

As a scholar, Ed's foundational discipline was social psychology, and as he became a faculty in the MIT Sloan School of Management, he focused on organisational psychology. Accordingly, it is appropriate, in this chapter, to review his understanding of that field, how it shaped his work and how he shaped its evolution.

Organisational psychology

In 1965, Ed produced the first edition of his book, *Organizational Psychology* (with two further editions in 1970 and 1980). This landmark publication marked the identification of organisational psychology out of the disparate field of social and industrial sociology, economics and political science and contributed to the then-emerging field of organisation behaviour (of which term Ed was critical and preferred the term, organisation studies). In this landmark book, he chose to focus on what he understood as key organising concepts and themes, rather than providing a comprehensive textbook-type coverage. In 1973 and 2015, he reflected on the state of the field of organisational psychology in the light of his 1965 book. This chapter explores Ed's perspective on core themes in organisation studies and provides a foundation for understanding the dynamics of complex systems.

The Organizational Psychology *books*

In 1964, Ed was invited by a senior editor in Prentice-Hall to write a textbook for a new field that was emerging out of industrial psychology. Organisational psychology was becoming the focus of psychologists as managers sought help and group dynamics research was being applied to organisational issues. From his exposure to the study of small groups through his NTL experiences and his knowledge of the work of Lewin and the Tavistock Institute in the United Kingdom, as a social psychologist, he was excited about organisational phenomena. Although he was teaching middle managers at MIT, he told the editor that he was not interested in reviewing an expanding field. The editor persisted and persuaded Schein to draw together a number of the major themes in a short book of about a hundred pages.

In the preface to the first edition of *Organizational Psychology* (1965), Ed commented that the field was new and in a state of flux. In the second edition, he described it as in a process of formation (1970), and by the third edition,

it had arrived (1980). He iterated that he saw himself writing about the field and to make sense of it, rather than cover the entire field as a textbook might. After 1980, he declined to write further editions on the grounds that the field had expanded to the extent that he could not keep up with it. Ed reflected:

> The publication in 1965 of *Organizational Psychology* was one of the first efforts to define the systemic nature of organizations as contrasted with then mechanical models of 'industrial psychology' that were extant at the time.
>
> (2006, p. 295)

Ed adopted a storyline through which he explored key themes such: as the nature of organisations, the relationship between the individual and the organisation, assumptions about human nature, managerial assumptions, leadership, groups in organisations and organisational structure and effectiveness. He set up the context of each chapter, often with a question and so when he provided summaries of key research and theories he did so in the context of his introduction to the chapter on that topic. These introductions invite interiority in the readers as they provide an approach to considering the range of organisational issues and the multiple research studies. The third edition (Schein, 1980) was my first venture into the study of organisations and exposed me to its main themes. I still have my original copy with sentences underlined and handwritten notes in the margins. I consult it on occasions when I want to stand back from the complexity of the field and get back in touch with some core questions and research, a practice endorsed by John Van Maanen (2019).

Reviews of the field of organisational psychology

Ed engaged in two reflections on the developments and challenges facing the field of organisational psychology.

1973

In 1973, Ed reviewed the state of the field of organisational psychology. He reflected that he thought that the field of organisational psychology had reached its adolescence. His review was in the mode of interiority in that he stated that it was not coming out of an explicit analysis of what was going on in the field or surveying colleagues or a content analysis of the contents of the journal. What we were getting was his reflections.

He identified four new content areas, new application areas and three problems to be overcome. The context areas were as follows: (i) the need for integrating mechanisms for structural and process issues in complex systems, (ii) better interaction between the fields that focus on people in organisations such

as organisational psychologists and human resource experts and those that specialise in information and control systems, (iii) concern for the total person, with developing research on careers, and work and family relationships and (iv) the emergence of OD. The new application areas for organisational psychologists, as Ed saw it, were to integrate structure and process issues, to learn how to study whole people and whole careers, integrate an equal concern for task accomplishment and healthy relationship issues into OD, work internationally and work with public and nonprofit organisations and the professions. He identified three problems to be overcome: role confusion between researchers and practitioners, with the increasing complexity and trans-disciplinarity of problems to transcend disciplinary and professional boundaries and how to improve converting knowledge into action. Interestingly, these areas, applications and problems which he named in 1973 feature as key themes of his future work over the following 40 years, as the chapters in this present volume illustrate.

Review 50 years later

In *The Annual Review of Organizational Psychology and Organizational Behavior,* Ed revisited his 1965 *Organizational* Psychology book and reflected on how he viewed the changes in the field in the intervening 50 years (2015). In this review, Ed demonstrated his interiority where he noted that he was not undertaking a formal review but giving the impressions he had developed as a researcher, teacher and consultant and how he cautioned that readers should know of his biases from being an organisational clinician and process consultant.

Ed commented that the move in business schools towards empirical research that is aimed at quantitative abstract is a phenomenon that eluded him. In reflecting on the field since 1965, he noted the decline in research on small groups, yet while in the applied field, the learning from Lewin and T-groups had blossomed into the creation of OD and change, Ed wondered that, with the proliferation of subspecialities, each with its own jargon and research methods, if there was any such field as organisational psychology now. He also commented that, in 1965, researchers and practitioners interested in organisational phenomena occupied different camps; the former chose to conduct research through the university, while the latter, later to be called OD practitioners, worked as consultants. These overlapped minimally, and while some universities had leadership development programmes built around experiential learning methods, there was little mutual influencing going on. He commented, "I do not see much connection between what the OD community works on and what the academic researchers of today are studying" (2015, p. 4). I think that this reflection is noteworthy as it alludes to the distinctiveness of Ed's identity as a scholar-practitioner, explored in Chapter 4. In the context of this 2015 review, Ed noted that the term, scholar-practitioner, was a later development.

Other changes in the field since 1965 that he reflected on were an increasing individualisation, particularly in leadership studies (see Chapter 6), the emergence of organisational culture as an area of study, to which he has been a leading contributor (see Chapter 11), and the impact of information technology (see Chapter 9). While there has been a decline in research on small groups, he urged more longitudinal research on group and organisational dynamics, citing his work in Digital Equipment Corporation (DEC) (Schein, 2003). In his 1965 edition, Ed devoted several chapters to the relationship between the individual and the organisation. While some of that discussion focused on what might be seen as the traditional topics, managing human resources, motivation and participation being the obvious ones, the chapter on assumptions about human nature and managerial assumptions was what caught my eye in 1980. It shows evidence of McGregor's influence on his thinking, In this 2015 review, Ed revisited his exploration of motivation and managerial assumptions about human nature and questions how it is that managers find it hard to accept employees as real people. As we will see in Chapter 6, he later frames the challenge of organisational leaders to move from Level One to Level Two relationship (Schein & Schein, 2023).

Ed concluded this 2015 review with two strong critiques. One is on how quantitative statistical methods are driving research processes more and more resulting in abstractions that create statistical artefacts that are not anchored in empirical reality. We will discuss this in Chapter 7. His second critique is of the US power culture grounded in the decline of group dynamics as a focus of study and the dominance of a focus on individual accountability, despite the espousal of companies to become more team-based. He suggests that task complexity will be the driver of serious teamworking, particularly in contexts of coordinating specialisations in healthcare and high-hazard industries, a point explored in Chapter 6.

This review of how Ed saw the constants and the changes in the field of organisational psychology in the 50 years since the publication of his book on that subject reflects his interiority. He did not review the field in terms of an impersonal overview of trends through a literature review but rather from his experience as a researcher, teacher and consultant. He is noticing how what he identified as key issues in 1965 have continued to be important and he poses his questions as to the future. In my view, this is a significant review article by Ed that provides a window both into his thinking about the field to which he has devoted his life and into the field itself. Ed reflected:

> What I see in looking back over the last half century is *ironic*. We need to discover that the values we preached in the fifties for humanistic reasons have become *pragmatically necessary* because the task complexity of today requires relationships, good communication, high trust levels and good coordination. For the managerial culture to evolve in this direction will be difficult and will take time. It is also *ironic* that we may now finally begin to

> understand more deeply what the Tavistock and some of the European managers meant by the concept of *socio-technical systems*. Finally, it is *ironic* that some of the values that derive from the Japanese style of management with its emphasis on lifetime employment, commitment to employees, and company loyalty are resurfacing in hybrid forms in "young" U.S. companies such as Google and Facebook.
>
> (Unpublished Memoirs)

Theorising

For all scholars, creating theory is fundamental; it is what defines them as scholars. Theorising is described as the process of what one does when producing a theory. It is described as further thinking to explain data, reducing complexity and creating better understanding occurring within the contexts of discovery and verification (Swedberg, 2014). It works in terms of cognitive operations – speculating, guessing, supposing, conjecturing, hypothesising, conceiving, explaining (Hansen & Madsen, 2019), "racking one's brain" and "thinking deeply", sensemaking (Weick, 2014) and social activities of talking, listening, reading and writing in a community of scholars (Hansen & Madsen, 2019). Swedberg (2014) has noted that, while explanation is central to theorising in the social sciences, creative work in naming phenomena or in using metaphors to create new typologies is also valuable. As Van Maanen (2019) pointed out, Ed's work was phenomenon-based, problem-focused, pragmatic, improvisational and path-dependent depending on the subjectivity and intentionality of those engaged. The knowledge he generated accumulated and developed over time as his practitioner experiences as a consultant threw up questions and provisional explanations which he tested through further experiences and questioning.

Hansen and Madsen's book, *Theorizing in Organization Studies,* explored the process of theorising (Hansen & Madsen, 2019). The authors invited eight eminent scholars to reflect on their subjective theorising practices and to engage in dialogue about theorising in organisation studies. Ed was one of the participants. He offered several reflections. One is that, in his view, theory in the social sciences is at a pre-theory stage as social scientists apply fuzzy (though important and valuable) concepts and assumptions. He also reflected on how his life choices played a central role in his development. As we explored in Chapter 2, if he had accepted the offer of a place on the doctoral programme in Michigan, he would have become a traditional experimental social psychologist, while going to Harvard's Institute of Social Relations exposed him to an interdisciplinary faculty, In a similar vein, his decision to join the MIT faculty led him further away from experimental social psychology and into organisation studies.

Ed viewed theorising as postulating dynamic relationships between variables; what leads to what is the actual theory. He thought that the choice of variables

with which to make sense of data is where he was most successful. He posed a challenge to how theory is developed in social science.

> I think we need to develop a science based on good observation, that is, blended with a well-educated consciousness to make sense of what is going on and write about it so that others can replicate your experience. . . . The challenge is to go see for yourself and if you see something very different write about that.
>
> (in Coghlan, 2018, p. 397)

Conclusions

In grounding a philosophy of social science that explores human meaning and engages social scientists as reflexive actors, I am laying a foundation for exploring Ed's work. Building on the notion of the differentiated consciousness and the extended epistemology, in the next chapter, I will describe interiority as the mechanism by which we distinguish and hold different forms of knowing. I will propose that Ed has demonstrated interiority in his practice of being an organisational scholar-practitioner and that interiority provides a philosophical foundation for exploring the range of Ed's work in a manner that illuminates his way of thinking and which provides methodological insights into being a scholar-practitioner.

Hansen and Madsen (2019) framed theorising in terms of an image of an open space into which they invited the eight participants to engage in reflective discourse on their practice by reflecting on their experiences of becoming and of thriving as organisational scholars. This book is something of such an open space into which we enter in order both to appreciate and learn from the work of Ed Schein and to reflect on our own scholarship of practice so as to internalise what and how we have learned and are learning as social scientists.

Questions for study and reflection

1. How do you understand the social science of Ed's work?
2. What is your understanding of the notion of social science and of yourself as a social scientist?
3. What questions engage you?
4. How do you practice your craft as a social scientist?
5. What do you seek to contribute to the world in which you practice?

References

Argyris, C. (1993). *Knowledge for action*. San Francisco, CA: Jossey-Bass.

Bargal, D. (2012). Kurt Lewin's vision of organizational and social change: The interdependence of theory, research and action/practice. In D. Boje, B. Burnes, & J. Hassard (Eds.), *The Routledge companion to change* (pp. 347–356). Abingdon: Routledge.

Coghlan, D. (2010). Interiority as the cutting edge between theory and practice: A first person perspective. *International Journal of Action Research*, *6*(2–3), 288–307. https://nbn-resolving.org/urn:nbn:de:0168-ssoar-414128

Coghlan, D. (2018). Edgar Schein at 90: A celebratory and exploratory metalogue. *The Journal of Applied Behavioral Science*, *54*, 385–398. doi:10.1177/0021886318801279

Coghlan, D. (2023). Interiority in the work of Edgar H. Schein: A personal reflection. *Journal of Applied Behavioral Science*, *59*(2), 191–196. doi:10.1177/00218863231161624

Coghlan, D., & Shani, A. B. (Rami). (2009). The challenges of the scholar-practitioner: Introduction to the special issue. *The Journal of Applied Behavioral Science*, *45*(1), 5–7. doi:10.1177/0021886308328852

Coghlan, D., Shani, A. B. (Rami), & Hay, G. W. (2019). Toward a social science philosophy of organization development and change. In D. A Noumair & A. B. (Rami) Shani (Eds.), *Research in organizational change and development* (Vol. 27, pp. 1–29). Bingley: Emerald. doi:10.1108/S0897-301620190000027003

Delanty, G., & Strydom, P. (2003). *Philosophies of social science*. Buckingham: Open University Press.

Dunne, J. (1993). *Back to the rough ground: Phronesis and techne in modern philosophy and in Aristotle*. Notre Dame, IN: University of Notre Dame Press.

Eidle, W. R. (1990). *The self-appropriation of interiority: A foundation for psychology*. New York: Peter Lang.

Eikeland, O. (2007). *The ways of Aristotle: Aristotelian phronesis, Aristotelian philosophy of dialogue and action research*. Bern: Peter Lang.

Gold, M. (Ed.). (1999). *The complete social scientist: A Kurt Lewin reader*. Washington, DC: American Psychological Association.

Hansen, A. V., & Madsen, S. (2019). *Theorizing in organization studies: Lessons from key thinkers*. Cheltenham: Edward Elgar.

Heron, J., & Reason, P. (1997). A participatory inquiry paradigm. *Qualitative Inquiry*, *3*, 274–294. doi:10.1177/107780049700300302

Hoffman, A. J. (2021). *The engaged scholar*. Stanford, CA: Stanford University Press.

Hollis, M. (2002). *The philosophy of social science* (revised & updated ed.). Cambridge: Cambridge University Press.

Lewin, K. (1948). Group decision and social change. In E. Maccoby, E. Newcomb, & E. Hartley (Eds.), *Readings in social psychology* (pp. 265–284). New York: Holt (Reprinted in Gold)

Lewin, K. (1997a). Action research and minority problems. In K. Lewin (Ed.), *Resolving social conflicts* (pp. 143–154). Washington, DC: American Psychological Association. (Original work published 1946)

Lewin, K., Lippitt, R., & White, R. (1939). Patterns of aggressive behavior in experimentally created social climates. *Journal of Social Psychology*, *10*, 277–299. doi:10.1080/00224545.1939.9713366

Lonergan, B. J. (1993). Dimension of meaning. In B. J. Lonergan (Ed.), *The collected works of Bernard Lonergan* (Vol. 4, pp. 232–245). Toronto: Toronto University Press.

Marrow, A. J. (1969). *The practical theorist: The life and work of Kurt Lewin*. New York: Teachers College, Columbia University.

Schein, E. H. (1965). *Organizational psychology*. Englewood Cliffs, NJ: Prentice-Hall.

Schein, E. H. (1969). *Process consultation: Its role in organization development*. Reading, MA: Addison-Wesley.

Schein, E. H. (1970). *Organizational psychology* (2nd ed.). Englewood Cliffs, NJ: Prentice-Hall.

Schein, E. H. (1973). Organizational psychology: Problems and prospects for the future. *Training & Development Journal*, *27*, 43–49.

Schein, E. H. (1978). *Career dynamics: Matching individual and organizational needs*. Reading, MA: Addison-Wesley.

Schein, E. H. (1980). *Organizational psychology* (3rd ed.). Englewood Cliffs, NJ: Prentice-Hall.

Schein, E. H. (2003). *DEC is dead. Long live DEC*. San Diego, CA: Berrett-Kohler.

Schein, E. H. (2006). From brainwashing to organizational therapy: A conceptual and empirical journey in search of 'systemic' health and a general model of change dynamics. A drama in five acts. *Organization Studies*, *27*(2), 287–301. doi:10.1177/0170840606061831

Schein, E. H. (2009). Reactions, reflections, rejoinders and a challenge. *The Journal of Applied Behavioral Science*, *45*(1), 141–158. doi:10.1177/0021886308328942

Schein, E. H. (2015). Organizational psychology: Then and now. *Annual Review of Organizational Psychology and Organizational Behavior*, *2*, 1–19. doi:10.1146/annurev-orgpsych-032414-111449

Schein, E. H. & Schein, P. A. (2023). *Humble leadership: The power of relationships, openness and trust.* 2nd ed, remimagined and refined. San Diego: Berrett-Kohler.

Schein, E. H., & Van Maanen, J. (2013). *Career anchors: The changing nature of careers self assessment*. San Francisco, CA: Jossey-Bass.

Schein, E. H., Van Maanen, J., & Schein, P. A. (2023). *Career anchors reimagined: Finding direction and opportunity in the changing world of work*. San Francisco, CA: Jossey-Bass.

Shani, A. B. (Rami), & Coghlan, D. (2021). *Collaborative inquiry for organization development and change*. Cheltenham and Northampton, MA: Edward Elgar.

Swedberg, R. (Ed.). (2014). *Theorizing in social science*. Stanford, CA: Stanford University Press.

Tenkasi, R. V., & Hay, G. W. (2008). Following the second legacy of Aristotle: The scholar-practitioner as an epistemic technician. In A. B. (Rami) Shani, S. A Mohrman, W. A Pasmore, B. Stymne, & N. Adler (Eds.), *Handbook of collaborative management research* (pp. 49–72). Thousand Oaks, CA: SAGE.

Van de Ven, A. (2007). *Engaged scholarship*. New York: Oxford University Press.

Van Maanen, J. (2019). On foxes and hedgehogs: Learning from Ed Schein. In G. Fatzer, J. Van Maanen, D. C. Schmid, & W. G. Weber (Eds.), *Edgar H. Schein: The spirit of inquiry* (pp. 13–27). Innsbruck: Innsbruck University Press.

Wasserman, I. C., & Kram, K. E. (2009). Enacting the scholar-practitioner role: An exploration of narratives. *Journal of Applied Behavioral Science*, *45*(1), 12–38. doi:10.1177/0021886308327238

Weick, K. E. (2014). The process of theorizing. In R. Swedberg (Ed.), *Theorizing in social science* (pp. 177–194). Stanford, CA: Stanford University Press.

4 Interiority as a spirit of inquiry

> What I am most proud of when I had a theoretical insight and have been able to articulate it in such a way that satisfies me, even if no-one else likes it or gets anything out of it . . . What is ultimately exciting about the field of organizational psychology/sociology is that it does provide a context for discovery, that one can get students and clients to share in that excitement because the phenomena are complex and multifaceted, but not entirely out of reach. If we can improve our observational skills and learn to render what we see and hear in intelligible terms we will not only help ourselves but others as well. That seems to make it worthwhile.
>
> (Schein, 1993a, p. 51)

In the previous chapter, I laid a foundation for exploring Ed's work in a philosophy of social science. I took Delanty and Strydom's (2003) view that the philosophy of social science is about reflective discourse on its practice of social science and its relation to cognition and knowledge. Coghlan, Shani and Hay (2019) have discussed how the practice of social science is enacted through interiority, which is the process whereby people attend to the cognitional operations within themselves, that is the data of their consciousness as well as to the data of sense. Interiority involves shifting from *what* we know to *how* we know, a process of intellectual self-awareness, and provides a way of recognising the competence of both practical knowing and theory and meeting the demands of both without confusing them. As this volume unfolds, I will be showing how Ed's practice of the social science of being an organisational scholar-practitioner accords with Delanty and Strydom's third conception of social science, namely as a reflection on its practice. In this chapter, I frame how I understand Ed's reflexive scholarship of practice as his reflexive practice of social science.

The four conclusions capturing the strands of contemporary social science that Delanty and Strydom (2003) identified can provide the grounds for understanding Ed's practice of social science. Table 4.1 provides a summary of how I understand how the philosophy of social science is implicit in Ed's work. That social science is an activity that is inextricably engaged with society and is dependent

DOI: 10.4324/9781003366355-5

This chapter has been made available under a (CC-BY-NC-ND) 4.0 license.

Table 4.1 Edgar Schein's Social Science

Delanty and Strydom	*Schein*
Social science is inextricably engaged with meaning in society and is dependent on the historical and cultural forces present at the time of the research	Schein's approach typically comes from being in the role of consultant and engaging in the real-world concerns of the organisations with which he worked
The role of social scientists has shifted from being a passive recipient of truth or the discoverer of extant truth to being active and creative agents in the construction of knowledge.	Grounded in Lewinian social science that it is not enough to explain something one must try to change it is at the foundation of Schein's process consultation and clinical inquiry/research.
A challenge to any purported scientific truth test that might differentiate valid and reliable facts from opinion and fiction and accordingly the quality is assessed by the reflexivity of the actors and not on the empirical independence of the facts produced by any truth test within that turn.	Through humble inquiry, the cognition of clients is explored as the foundation for analysis and action.
Managing the reflective practices of the actors within social science as they explore their collective philosophical beliefs with both other scientists and with the communities that constitute the context of the social science.	Schein demonstrates reflections on his practice as a scholar-practitioner and presents them to both the scholar and practitioner audiences and has influenced both.

on the historical and cultural forces present at the time of the research are core themes of Ed's work. As we will see throughout this volume, Ed's approach typically comes from reflecting on being in the role of consultant and engaging in the real-world concerns of the organisations with which he worked. For instance, in a self-styled "rant", Ed issued a blog called "Social scientists need to speak up" (Schein, 2022). He called for social scientists to use their knowledge and skills to get involved at the political and national level and build greater collaboration to address global challenges. The role of a social scientist as an active and creative agent in the construction of knowledge, rather than an observer or a commentator, is most evident in the interventionist approach underpinning his engagement with organisations (Riordan, 1995). Ed had often been strident in expressing his view of the need for organisational researchers to generate knowledge from being directly helpful to organisations rather than being preoccupied with second-order statistical analysis. Finally, Ed continually has demonstrated reflections on his practice as a scholar-practitioner and has presented them to both the scholar and practitioner audiences and has influenced both audiences.

In a metalogue with Ed on the occasion of his 90th birthday, I engaged with him on three themes that I consider that I have learned from him over 40 years (Coghlan, 2018a). These themes were interiority, practical knowing and inquiring

in the present tense. In this chapter, I explore Ed's scholarship of practice in terms of these three themes. However, before doing that, I introduce a framework from the field of action research that integrates the significant activities or practices of the organisational scholar-practitioner as a social scientist.

The three practices of the scholar-practitioner

Organisational scholar-practitioners engage in three practices: personal reflexivity, collaborative work with others and generating practical knowledge. These practices are called first-, second- and third-person practices, respectively. Typically, *first-person* practice is characterised as a form of reflexive inquiry and practice that scholar-practitioners engage in on to their own data of consciousness. Philosophically, first-person practice means that scholar-practitioners, rather than observing themselves as objects from the outside, experience themselves as subjects with direct awareness of how they think and act (Argyris & Schon, 1974; Marshall, 2016; Hibbert, 2021). *Second-person* practice addresses the work of collaborating with others in exploring experiences, coming to common understandings and judgement so as to take joint action (Coghlan, 2018b; Shani & Coghlan, 2021). *Third-person* practice aims at creating communities of inquiry, involving people beyond the direct second-person action. Third-person is impersonal and is actualised through dissemination by reporting, publishing and extrapolating from the concrete to a more general setting. Reason and Torbert (2001) have pointed out that there are plenty of implicit examples of distinctive first-, second- and third-person inquiry and argue that what is required now in the world of research is the explicit integration of all three persons with action and inquiry. Ed's work exemplifies such an integration.

Table 4.2 provides an overview of Ed's engagement with these three practices of inquiry. In his writings, Ed continually engaged in reflexivity on how his experience has shaped his work as he shared his thinking in approaching the various topics he explored in his work (e.g. Schein, 1993a, 2006). Ed's first-person practice is a consistent theme throughout this volume. His second-person work

Table 4.2 First-, Second- and Third-Person Practice in the Work of Edgar Schein

Three Practices	*Schein*
First Person	Reflexivity on how his experience has shaped his work (e.g. 1993a, 2006)
Second Person	Process consultation, humble inquiry, clinical inquiry/research (e.g. 1969, 2008; Schein & Schein, 2021)
Third Person	Output on the theory and practice of organisational change, consulting (e.g. 1999), organisational culture (e.g. Schein & Schein, 2017), career anchors (e.g. Schein, Van Maanen, & Schein, 2023)

is most ably demonstrated in his process consultation, humble inquiry and clinical inquiry/research work where he engaged with clients to be helpful to them in understanding and addressing the problems they identify (e.g. Schein, 1995; Schein & Schein, 2021). Chapters 5–7 will explore Ed's second-person practice explicitly. Of course, his third-person output is evidenced in his extensive publications on such topics as the theory and practice of organisational change, consulting (e.g. Schein, 1999a), organisational culture (e.g. Schein & Schein, 2017) and career anchors (e.g. Van Maanen, Schein & Schein, 2023). What I am seeking to portray throughout this volume is how Ed's work exemplifies all three practices together and how our learning from him as a scholar-practitioner is to hold all three working in harmony. For instance, when asked about dialogue (a second-person activity), he integrated it with his first-person practice and offered a third-person understanding of what dialogue involves.

> Dialogue . . . redresses the balances between observing the other and observing oneself . . . Listening to the other is secondary to listening to the self.
>
> (in Quick & Gavin, 2000, p. 32)

In order to consolidate the foundations of interiority, an account of the operations of human knowing is necessary.

The operations of human knowing

Human knowing involves three activities or operations: experience, understanding and judgement (Lonergan, 1992; Cronin, 2017). There is the empirical level of e*xperience* where we hear, see, smell taste and touch and uncover data produced by the senses (data of sense) and the inner-oriented activities of thinking, feeling, remembering and imagining (data of consciousness). There is the intellectual level where we inquire, come to *understand* and express what we have understood. This comes in the form of insights and "aha" moments. There is the rational level where we check out if our understanding fits the evidence and if we can affirm that our understanding is correct or accurate. We marshal the evidence and ask the question, "Is it so?" and can answer "yes", "no" or "maybe". This is *judgement*.

There is a dynamic unity about human knowing. Understanding comes from questioning experience, and judgements come from testing understanding. Each pushes the other. The structure of human knowing as comprising experience, understanding and judgement is invariant in that it applies to all situations and can be verified experientially. Scientists attend to data, seek insight into what the data might mean and then work to verify their insights. They employ rigorous testing methods in their verification in order that they can be confident in their judgements. Artists express their insights in shapes and colours, and musical

composers in rhythms and harmonies. In settings of day-to-day practical knowing, such as in solving a problem, we attend to our experience, apply our intelligence to understanding that experience, verify it and choose to take action so as to be effective.

While this brief account of human knowing is simple, we can appreciate how actually coming to know is more complex. Understanding may not flow spontaneously from experience; an insight may be incorrect. Interpretations of data may be superficial, inaccurate or biased. Judgements may be flawed. We may have unconscious fears that censor, block or divert questioning. As members of groups, we can be blind to the limitations of our culture, race, gender, occupation and how power operates. At the same time, we can gain insight into these blocks to knowing by the same three-fold process of experience, understanding and judgement. The act of judgement enables critical reflection on insights and so enables distinctions between what we affirm by judgement and what we think through untested assumptions, emotional reasoning, wild claims and jumping to conclusions (Argyris, 2010; Kahneman, 2011; Langer, 1997).

We are not merely knowers. We also make value judgements and decisions about what to do and we take action. The process of deciding is a similar process to that of knowing. We experience a situation and from our understanding of the situation, we ask what courses of action are open to us and we review options, weigh choices and decide. We may reflect on the possible value judgements as to what the best option may be and decide to follow through the best value judgement and take responsibility for consistency between our knowing and our doing. Engaging in implementing judgements of value integrally involves interacting with other people as to what they judge to be valuable and worthwhile doing. This typically involves exploring differences of experience, understandings and judgements and how there might be common misunderstandings, distrust, suspicion and conflict in communities and organisations. Such an exploration lays the ground for collaborative inquiry and action. Ed has been explicit on the centrality of the process of knowing in framing the notion of process consultation. In the three editions of *Process Consultation* (Schein, 1969, 1988, 1999a), he has defined the process of working with clients to enable them to *perceive*, *understand* and *act* on process events in their organisations.

A general empirical method

The operations of experience, understanding and judgement and the praxis of doing form a general empirical method that is simply the enactment of the knowing process (Coghlan, 2010a). The general empirical method comprises

- Being *attentive* to data of sense and of consciousness (experience)
- Being *intelligent* in envisaging possible explanations of that data (understanding)

- Being *reasonable* in preferring as probable or certain the explanations which provide the best account for the data (judgement)
- Being *responsible* for what one decides and does (action)

Enacting the general empirical method is what organisational scholar-practitioners do. They use their experience, intelligence and reasoning in order to come to know the mixture of experience, understanding, judgements, decisions and actions in the organisations with which they engage. In their first-person practice, they try to catch their questions as to what value judgements and decisions they are making as to what questions to pursue or what interventions to make. This general empirical method is invariably operative whenever and wherever people ask intelligent questions of experience and thoughtfully assent to reasonable answers. It can be applied to the data of consciousness, just as the specialised empirical methods of the natural sciences can be applied to the data of sense. By using the general empirical method, scholar-practitioners can attend to data, think a matter through and ask relevant questions. They can know when they have reached reasonable conclusions and can take responsibility for those conclusions. Interiority is being faithful to the deepest and the best inclinations of mind and heart.

Any general empirical method works not only within the first-person consciousness of an individual but with the second-person engagement with other conscious individuals (Shani & Coghlan, 2021). Here individuals encounter the tension of opposites in the experiences, understanding, judgements, decisions and actions of different individuals and groups. Accordingly, such a dialectic is the precursor of dialogue. Dialogue is where conscious individuals engage with others to understand their experiences, understanding, judgements, decisions and actions in a mutual, collaborative manner and to come to a new position (Schein, 1993b; Coghlan, 2018b).

Interiority

Interiority is a philosophical term that expresses a way of holding both the outer data of sense and our inner data of consciousness and of appropriating how we come to know (Cronin, 2017, Eidle, 1990). It is not merely a theory of operating; it is an appropriation of the self and one's mind. As discussed in the previous chapter, the focus of interiority is to recognise the competencies of the different realms of knowing through differentiated consciousness without confusing them. Interiority involves shifting from *what* we know to *how* we know, a process of intellectual self-awareness.

> Self-appropriation is a movement towards interiority. It is not something one can talk about in ordinary common sense conversation, nor is it something that can be handled adequately with any amount of theory. It regards immediate internal experience. It is a third field of development.
>
> (Lonergan, 1996, p. 114)

The point is that we can be attentive to experience; be intelligent in understanding; be reasonable in judging and in taking action which can be applied to the data of consciousness. Across his works, as the chapters in this book demonstrate, Ed continually combined data of sense with data of consciousness by demonstrating how he reflected on his thinking as he worked to be helpful, commonly identifying errors in how he misread situations and intervened inappropriately and how his theory and practice has been shaped by this reflection. We will explore such an example in Chapter 5 where Ed reported how he struggled with how to be helpful to a management group and then attended to an insight he received as to how to break the group's processes in a manner that enabled the group to do its work more effectively.

In the metalogue on the occasion of his 90th birthday, I asked Ed how it was that, in his work, he has consistently been explicit about his intellectual development and how it has shaped his practice as a scholar-practitioner (Coghlan, 2018a). His response was that it was his T-group training (explored in Chapter 2) that taught him to access his feelings and that his later introduction to the dialogue process, in which he learned to suspend an impulse to respond to a question or a disagreement and ask himself why he might disagree or why he might need to respond just because he had been asked (Schein, 1993b). Each chapter of this volume introduces the respective themes of Ed's work in terms of his interiority by showing his thinking about engaging in each theme.

Inquiring in the present tense

In the metalogue, I pointed out to Ed how, in his *Process Consultation* and *Humble Inquiry* books, he consistently demonstrates paying attention to what is going on in the present situation, by assessing the nature of the situation in which he finds himself, especially in his relationship with a client and by what he is thinking, feeling and wanting (his interiority) (Coghlan, 2018a). In his response, Ed referred to his childhood which made him both skilled in figuring out what was going on and fearful if he could not. He reflected that, influenced by Goffman's "face work" and his direct experiences in the T-groups, he developed a spirit of inquiry, and that the power of here-and-now process analysis in groups turned his fear-oriented processes into work processes that produced successful outcomes in his immediate experience and in his writing. His attention in the present tense engaged his first-, second- and third-person practices as he was attentive to the data of his consciousness, engaged with his clients in the here-and-now and framed his learning from the encounter.

In an elaboration of Lewin's paper, "Defining the field at a given time" (Lewin, 1997), Coghlan and Shani (2017) framed inquiring in the present tense in terms of being attentive to the here-and-now dynamics of an engagement. Situations in the here-and-now are unique. Although the situation may be familiar or appear to be a repetition of an earlier set of circumstances, it is now irretrievable, hence the need to acknowledge the dynamics of the present situation and work with them. What is central to attending in the present tense is curiosity and a spirit of inquiry,

accessing what one knows one does not know ("accessing one's ignorance", as Ed has put it and which we will explore in Chapter 6) and a disposition of humility.

Wasserman (2023) has provided rich examples of Ed's attentiveness in the present tense. As they conversed in a six-hour car journey she reflected on how she experienced Ed as a "gift of being present in relational processes, analysing them at the moment and then honouring the dialogue partners and theoretical influence" (p. 207).

Creating practical knowing

As introduced in the previous chapter, practical knowing relates to the completion of everyday tasks and the creation of knowledge to make things work (Coghlan, 2016). In the metalogue with Ed, I pointed to how he has consistently argued for organisational research to be based in a contract to be helpful (Coghlan, 2018a). Ed's response was that his focus on helping emerged from his move from being an experimental social psychologist to becoming an applied psychologist when he joined the MIT management school in 1956 and when McGregor sent him to a human relations workshop at NTL. He reported that he began to learn about experiential education and how participants learned when they experienced something rather than being told about it. He reframed his role as a psychologist.

> Becoming a psychologist implied to me that understanding had to lead to some kind of improvement, and that our job as psychologists was not just to report back to people what we saw but to ask ourselves how we can be helpful.
> (in Coghlan, 2018a, p. 392)

Ed expressed his approach as clinical inquiry. Clinical inquiry is an orientation to inquiry that views the researcher as one who enters the organisation at its invitation and helps clients understand their organisational challenges and works with them to help address those challenges and be helped by the clients to generate the relevant data and build a relevant theory that is useful to both practice and scholarship. Chapter 7 will elaborate on Ed's notion of clinical inquiry/research.

The academic as an artist

In an extended first-person reflection on his life and work, Ed demonstrated his interiority clearly in portraying himself as an artist (Schein, 1993a). He reflected that his experience of the traditional model of science was limiting and depressing and had not influenced him. He reported that what excited him was an ability to represent something that was meaningful to others and so do so was partly an artistic skill. He noted:

> We tend to overestimate the intuitive and creative side of artistry and to forget how much else goes into this. A good artist is not a creative dabbler. A good

> artist must have knowledge, skill, vision, and something to say. He or she must know about the human eye, colour, the chemistry of paint and the qualities of other materials. Artists must have the whatever materials are being used, and the ability to judge their own work in order to know when to stop. And, finally, the good artist must have a message, a vision, something to say, some point he or she is trying to make or some phenomenon he or she is trying to make visible to others.
>
> (p. 51)

Ed considered that features of the artist should be considered a model for behavioural scientists working with human systems.

Ed returned to the theme of art and the role of the artist and its relevance for managers and his own work (Schein, 2001). He identified six functions of art and artists.

1. Art and artists stimulate us to see more, hear more and experience more of what is going on within us and around us.
2. Art does and should disturb, provoke, shock and inspire.
3. The artist can stimulate us to broaden our skills, our behavioural repertory and our flexibility of response.
4. The role of the arts and artists is to stimulate and legitimise our own aesthetic sense.
5. Analysis of how the artist is trained and works can produce important insights into what is needed to perform and what it means to lead and manage.
6. (Most important of all), the artist puts us in touch with our creative self.

I think that we can see in these six functions and Ed's reflections on them a mirror of his own interiority. He noted that these reflections were from a personal point of view, both as a lifetime sketcher and as a clinician interested in seeing how artistic activity had affected his life and the lives of others with whom he has worked. He was provoking the field of organisational psychology and research to be creative in being attentive and responsive to reality in more than one way (an implied criticism of traditional research approaches).

Towards a framework of Schein's interiority as an organisational scholar-practitioner

In the opening chapter, I cited Ed as saying:

> I think that it has always been my strength: to turn whatever is around me and what is going on around me into something analytically and practically useful.
>
> (in Hansen & Madsen, 2019, p. 45)

This reflexive statement, a statement of interiority and artistry, expresses the core threads of Ed's scholarship of practice. The core thesis of this volume is that Ed has demonstrated interiority in his practice of being an organisational scholar-practitioner and that interiority provides a philosophical foundation for understanding his scholarship of practice. In the previous chapter, I grounded this reflection in the broader context of the philosophy of social science, the scholar-practitioner and the process of theorising.

At the foundation is the broad context of the nature of social science outlined in Chapter 3. Social science is inextricably engaged with meaning in society and is dependent on the historical and cultural forces present at the time of the research. The role of social scientists has shifted to being active and creative agents in the construction of knowledge. Quality is assessed by the reflexivity of the actors who explore their collective philosophical beliefs with both other scientists and the communities that constitute the context of social science. The organisational scholar-practitioner is a professional who straddles the world of theory and practice and, through first-, second- and third-person practices, generates practical knowledge that is useful for practitioners and robust for scholars. Such an engagement involved the activities of attending to and questioning both data of sense and data of consciousness in the present tense to produce practical knowledge.

In Chapter 1, we saw Van Maanen's (2019) description of Ed's work as phenomenon-based, problem-focused, pragmatic, improvisational, procedural and path-dependent depending on the subjectivity and intentionality of those engaged in it. For Ed, knowledge emerged through surprises and accumulated and developed over time as his experiences threw up questions and provisional explanations were tested abductively through further experiences and questioning, hence, the centrality of interiority, attending in the present tense and generating practical knowledge.

Figure 4.1 expresses the elements of the framework of Ed's work as an organisational scholar-practitioner. At its heart are the three elements of Ed's practice of his interiority, attending in the present tense and generating practical knowledge (Coghlan, 2023). Engaging in the first-person activities of his interiority, the second-person practices of his humble inquiry collaborations and generating practical knowledge across a number of topics, the framework captures the processes of the scholarship of practice.

Extrapolating from the specific context of Ed's life and work, what might be gleaned for a more general understanding of the scholar-practitioner and towards a framework of Ed's scholarship of practice? Scholar-practitioners integrate their first-, second- and third-person practices through interiority by attending to the cognitional operations within themselves, that is the data of their consciousness, how they perceive, understand and act. Interiority involves shifting from *what*

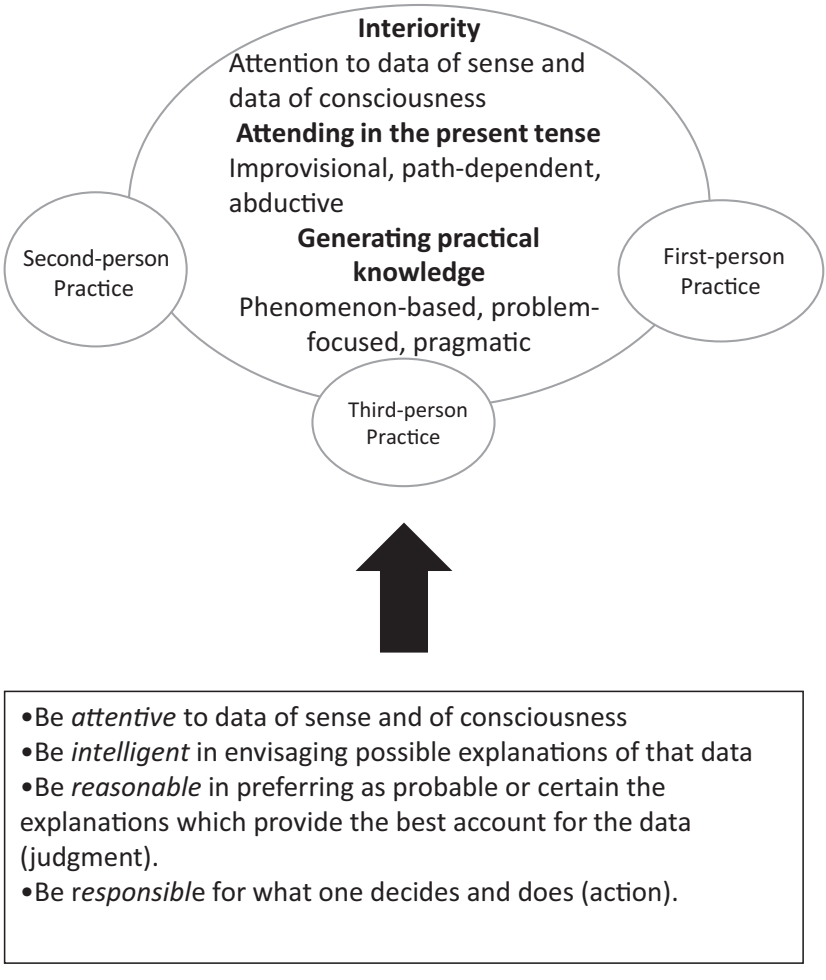

Figure 4.1 Edgar Schein as a Reflexive Organisational Scholar-Practitioner

people know to *how* they know, a process of intellectual self-awareness, and provides a way of recognising the competence of both practical and propositional knowing and meeting the demands of both without confusing them. Underpinning interiority is a general empirical method (be *attentive* to experience; be *intelligent* in understanding, be *reasonable* in judging and be *responsible* in taking action) as applied to the data of consciousness provides an essential method for the philosophy of social science of the scholar-practitioner.

Questions for study and reflection

1. How do you see instances of Ed's first-, second- and third-person practice in his publications?
2. What are instances of first-, second- and third-person practices working together in generating practical knowledge in the present tense in your work?
3. What moments of interiority can you identify in which by attending to the inner data of your consciousness you adapted your interaction with an individual or group?
4. How have you or might you exercise artistry in your work?

References

Argyris, C. (2010). *Management traps*. New York: Oxford University Press.

Argyris, C., & Schon, D. A. (1974). *Theory in practice: Increasing professional effectiveness*. San Francisco, CA: Jossey-Bass.

Coghlan, D. (2010a). Interiority as the cutting edge between theory and practice: A first person perspective. *International Journal of Action Research*, *6*(2–3), 288–307. doi:10.1177/00218863231161624

Coghlan, D. (2010b). Seeking common ground in the diversity and diffusion of action research modalities: Toward a general empirical method of action research. In W. A. Pasmore, A. B. (Rami) Shani, & R. W. Woodman (Eds.), *Research in organization change and development* (Vol. 18, pp. 149–181). Bingley: Emerald.

Coghlan, D. (2016). Retrieving the philosophy of practical knowing for action research. *International Journal of Action Research*, *12*(1), 84–107.

Coghlan, D. (2018a). Edgar Schein at 90: A celebratory and exploratory metalogue. *The Journal of Applied Behavioral Science*, *54*, 385–398. doi:10.1177/0021886318801279

Coghlan, D. (2018b). Insight and reflection as key to collaborative engagement. In J. M. Bartunek & J. McKenzie (Eds.), *Academic practitioner research partnerships: Developments, complexities and opportunities* (pp. 36–49). Abingdon: Routledge.

Coghlan, D. (2023). Interiority in the work of Edgar H. Schein: A personal reflection. *Journal of Applied Behavioral Science*, *59*(2), 191–196. https://nbn-resolving.org/urn:nbn:de:0168-ssoar-414128

Coghlan, D., & Shani, A. B. (Rami). (2017). Inquiring in the present tense: The dynamic mechanism of action research. *Journal of Change Management*, *17*(2), 121–137. doi:10.1080/14697017.2017.1301045

Coghlan, D., Shani, A. B. (Rami), & Hay, G. W. (2019). Toward a social science philosophy of organization development and change. In D. A. Noumair & A. B. (Rami) Shani (Eds.), *Research in organizational change and development* (Vol. 27, pp. 1–29). Bingley: Emerald.

Cronin, B. (2017). *Phenomenology of human understanding*. Eugene, OR: Pickwick.

Delanty, G., & Strydom, P. (2003). *Philosophies of social science*. Buckingham: Open University Press.

Eidle, W. R. (1990). *The self-appropriation of interiority: A foundation for psychology*. New York: Peter Lang.

Hansen, A. V. & Madsen, S. (2019). *Theorizing in organization studies: Lessons from key thinkers*. Cheltenham: Edward Elgar.

Hibbert, P. (2021). *How to be a reflexive researcher*. Cheltenham: Edward Elgar.

Kahneman, D. (2011). *Thinking, fast and slow*. New York: Penguin.

Langer, E. (1997). *The power of mindful thinking*. Reading, MA: Addison-Wesley.

Lewin, K. (1997). Defining 'the field at a given time'. In D. Cartwright (Ed.), *Field theory in social science: Selected theoretical papers* (pp. 200–211). Washington, DC: American Psychological Association. (Original work published in 1943)

Lonergan, B. J. (1992). *The collected works of Bernard Lonergan*, *Vol. 3*. *Insight: An essay in human understanding* (F. Crowe & R. Doran, Eds.). Toronto: University of Toronto Press. (Original work published 1957, London: Longmans)

Lonergan, B. J. (1996). Time and meaning. In R. C. Croken, F. Crowe, & R. Doran (Eds.), *The collected works of Bernard Lonergan, Vol. 6, philosophical and theological papers, 1958–1964* (pp. 94–121). Toronto: University of Toronto Press.

Marshall, J. (2016). *First person action research: Living life as inquiry*. London: SAGE.

Quick, J. C., & Gavin, J. H. (2000). The next frontier: Edgar Schein on organizational therapy. *Academy of Management Executive*, *14*(1), 31–48. doi:10.5465/ame.2000.2909835

Reason, P., & Torbert, W. R. (2001). The action turn: Toward a transformational social science. *Concepts and Transformation*, *6*(1), 1–38. doi:10.1075/cat.6.1.02rea

Riordan, P. (1995). The philosophy of action science. *Journal of Managerial Psychology*, *10*(6), 6–13. doi:10.1108/02683949510093821

Schein, E. H. (1969). *Process consultation: Its role in organization development*. Reading, MA: Addison-Wesley.

Schein, E. H. (1988). *Process consultation, Vol II: Lessons for managers and consultants*. Reading, MA: Addison-Wesley.

Schein, E. H. (1993a). The academic as artist: Personal and professional roots. In. A. Bedeian (Ed.), *Management laureates: A collection of autobiographical essays* (Vol. 3, pp. 31–62). Greenwich, CT: JAI Press.

Schein, E. H. (1993b). On dialogue, culture, and organizational learning. *Organizational Dynamics*, *22*(2), 40–51. doi:10.1016/0090-2616(93)90052-3

Schein, E. H. (1995). Process consultation, action research and clinical inquiry: Are they the same? *Journal of Managerial Psychology*, *10*(6), 14–19. doi:10.1108/02683949510093830

Schein, E. H. (1999). *Process consultation: Developing the helping relationship*. Reading, MA: Addison-Wesley.

Schein, E. H. (2001). The role of art and the artist. *Reflections*, *2*(4), 81–83. doi:10.1162/152417301750385495

Schein, E. H. (2006). From brainwashing to organizational therapy: A conceptual and empirical journey in search of 'systemic' health and a general model of change dynamics. A drama in five acts. *Organizational Studies*, 287–301. doi:10.1177/0170840606061831

Schein, E. H. (2008). Clinical inquiry/research. In P. Reason & H. Bradbury (Eds.), *Handbook of action research* (2nd ed., pp. 266–279). London: SAGE.

Schein, E. H. (2022). Social scientists need to speak up. In J. M. Bartunek (Ed.), *Social scientists confronting global crises* (pp. 130–131). Abingdon: Routledge.

Schein, E. H., & Schein, P. A. (2017). *Organizational culture and leadership* (5th ed.). San Francisco, CA: Jossey-Bass.

Schein, E. H., & Schein, P. A. (2021). *Humble inquiry: The gentle art of asking instead of telling* (2nd ed.). San Diego, CA: Berrett-Kohler.

Schein, E. H., Van Maanen, J., & Schein, P. A. (2023). *Career anchors reimagined: Finding direction and opportunity in the changing world of work*. San Francisco, CA: Jossey-Bass.

Shani, A. B. (Rami), & Coghlan, D. (2021). *Collaborative inquiry for organization development and change*. Cheltenham & Northampton, MA: Edward Elgar.

Van Maanen, J. (2019). On foxes and hedgehogs: Learning from Ed Schein. In G. Fatzer, J. Van Maanen, D. C. Schmid, & W. G. Weber (Eds.), *Edgar H. Schein: The spirit of inquiry* (pp. 13–27). Innsbruck: Innsbruck University Press.

Wasserman, I. C. (2023). Profound simplicity: Lessons learned from Ed Schein on rituals that sustain and nurture relationships. *Journal of Applied Behavioral Science*, *59*(2), 202–207. doi:10.1177/00218863231163897

Part II

Helping

Taylor & Francis
Taylor & Francis Group
http://taylorandfrancis.com

5 Process consultation

> Based on these experiences, especially the frustration of seeing how being an expert did not lead to any meaningful change in human systems, I developed a different model and called it process consultation.
>
> (Schein, 2006, p. 294)

If I were ever asked to contribute to a series where people describe books that changed people's lives, I would have little hesitation in selecting Ed's *Process Consultation* (1969) as the book that changed mine. When I read it for the first time in the mid-1970s, I discovered a way of attending to process and of a collaborative way of inquiring into experience, understanding, decisions and actions. It opened up a perspective of working with people on task-focused issues in a manner that allowed them to understand what was going on and develop their own actions to deal with them. It provided insights that changed my life and led me into organisation development (OD) and action research.

Process consultation is a term that Ed developed in the late 1960s as a contribution to OD theory and practice. While his intention was to articulate an approach to consulting, he found that it was being used by managers as much as by consultants. Ed followed his 1969 book with three other editions (Schein, 1987, 1988, 1999). The term, process consultation, has become established in the field of OD and management theory as an approach to being helpful in thinking out and working through issues and problems.

In this chapter, I introduce Ed's first-person narrative of how process consultation emerged from his second-person experience, his insights into what he was learning and how he developed that learning into a philosophy of helping (third-person). I define and describe process consultation as an approach to helping that extends beyond the consulting context. As an approach to helping, I relate it to Carl Rogers' person-centred approach and, in Chapter 7, lead into how Ed began to frame it as a clinical approach and a form of organisational therapy.

DOI: 10.4324/9781003366355-7

This chapter has been made available under a (CC-BY-NC-ND) 4.0 license.

Foundations for consulting

As we saw in Chapter 2, McGregor introduced Ed to consulting. In that chapter, I related an account by Ed on how in an early consulting work with a company he and his colleague interviewed staff and then presented their report, which contained the staff's critical comments of the manager's style, to the manager who promptly cancelled their contract (Schein, 2009a). Ed's retrospection was that they had never spoken to the manager and that there is more to the world of practice than producing good data.

As we have explored in Chapter 2, Ed's experiences at NTL were transformational for him. In the T-group, he was exposed to the concept of studying groups by analysing their process in the here-and-now. This was a challenge to his academic training. He reflected "Experiential learning became central to my own sense of how one learns in the human interaction domain" (Schein, 2006, p. 294). He also noticed how the role of the T-group trainer as a process observer intervenor provided him with a further set of insights. Here he learned that the most effective intervention was not expert advice but rather facilitating clients' understanding of their own problems and working with clients to develop a solution jointly.

A further strand came from Ed's experiences of co-teaching with McGregor. He was struck by when students asked McGregor about his consulting experience he told great stories and Ed resolved that if he ever had experiences like these he would write them down, rather than to use them merely in classroom stories. Ed told the story of how one day a colleague asked him why he was wasting his time teaching elementary psychology to a bunch of managers when he could be doing more important research. He reported how he tried to defend what he was doing to no avail.

> I angrily went home and wrote down what I was doing in a ten-page paper. About a year later that ten-page paper became *Process Consultation*.
>
> (in Sashkin, 1979, p. 409)

Ed began to use *Process Consultation* in the classroom because it contained chapters on group dynamics. The managers in his classes, especially the middle-level executives, expressed a liking for the book, even though it had not been written for them. They reported that, in their managerial role, they often engaged in process consultation activities as they try to be helpful to their subordinates, their peers and their own managers. In response to this unanticipated readership, Ed added the subtitle "Lessons for Managers and Consultants" to the second volume of the second edition (Schein, 1987).

The emergence of process consultation: the DEC experience

In the mode of his interiority, Ed related the story of his early work with Digital Electronic Corporation (DEC) (Schein, 1990, 2003). In 1965, he was invited by

Ken Olsen, cofounder and CEO, to help the senior team improve their communication and teamworking. What Ed observed was that at the meetings the managers constantly interrupted each other, often shouted at each other, blamed each other and essentially engaged in what would be considered dysfunctional group behaviour. Ed reported how in terms of a model of effective group behaviour (People should not interrupt each other and should listen to each other and so on) he intervened to make them into a better group. Each time he pointed out interruptions, the managers would acknowledge his point, apologise and then continue on as before. This pattern continued over several months. As Ed reflected on his frustration, he initially attributed his lack of influence to his lack of skill but then received the insight that he was making inappropriate assumptions about helping. The insight was that he was assuming that he knew how the group should work better than the group did itself and that he was importing a model of effective group behaviour from his own training. His further insight was that the group had an agenda that was more important than his humanistic one. He reflected:

> Engineers with an academic background were trained to debate an idea to the death. If anything could be found wrong with it, it might not be the right idea. At the same time the situation demanded getting it right because basically they were betting their careers and the company on the ideas they picked.
>
> (Unpublished Memoirs)

Ed came to understand that this agenda was "to resolve critical strategic issues around sources of technology and product in an industry where no one knew what would really work and where in the academic tradition ideas had to be tested and validated" (Schein, 1990, p. 58).

Accordingly, as he grew to understand what the group was trying to do, he began to intervene differently in the group's actual process. For example, instead of pointing out an interruption as an interpersonal process, he focused on the idea that had been cut off. By going to the flip chart and writing down the points that were being lost, he helped the group focus on their task. Then he was told that he was being helpful. He reflected:

> In retrospect, the essence of what I came to think of later as process consultation was derived from an insight that *I could not be helpful until I gave up my own notion of what the group should be* and began to pay attention to *what the group was actually trying to do*.
>
> (Schein, 1990, p. 58 italics in the original)

Fundamentals of process consultation

From the outset, Ed has described and contrasted three helping models: the doctor–patient model, the purchase model and process consultation (Schein, 1969). The doctor–patient model of helping is grounded in the familiar process of a client

experiencing a problem and going to an expert, who performs an assessment and prescribes a solution that the client then implements. This approach to receiving help is both prevalent and most useful as the knowledge of experts is an important contribution to addressing problems. However, as Ed has pointed out, certain elements need to be in play for this approach to be effective. The client needs to have identified the problem area correctly and to have revealed the necessary information for an accurate assessment by the expert. The expert needs to have the necessary expertise for effective assessment and prescription. The client has to accept the assessment, implement the prescription, and have the problem solved after the withdrawal of the expert.

In the purchase model, the client purchases the skills of the expert, who implements them on behalf of the client. This approach also depends on the client's performing a correct assessment and so identifying the relevant expert and the client's accepting what the expert has done; similarly, the problem is solved after the expert has withdrawn. Organisations draw on the doctor–patient model when external experts are brought in to perform an analysis and to write a report with recommendations for organisational action. They draw on the purchase model when they employ external expert skills, for example, to design and install technological systems.

The third model, process consultation, has been defined by Ed as the creation of a relationship with the client that permits the client "to perceive, understand, and act on process events that occur in the client's internal and external environment to improve the situation as defined by the client" (Schein, 1999, p. 20). From this definition, it can be seen that the core elements of process consultation are building a collaborative relationship between consultant and client so that the client sees what is going on, develops some understanding and builds a plan to act. In other words, process consultation fosters interiority in the client so that the client learns to attend to their cognition operations in perceiving what is going on, to catch and question how they are understanding and base their remedial organisational actions on how they have questioned their experience, tested their understanding and come to judgement of what they think is best do. In effect, they enact the general empirical method described in Chapter 4.

Process consultation is based on the underlying assumptions that managers often do not know what precisely is wrong in an organisation and so need a special kind of help to understand what their problems actually are. They may think only of the doctor–patient model and therefore have a limited knowledge of the different kinds of help consultants can give and so may benefit from help in knowing what kind of help to seek. More important, they may want to solve the problems themselves and not hand them over to an expert who provides a prescription, but at the same time, they need help in deciding what to do. In this manner, it may be understood how process consultation is an organisational equivalent of what occurs in therapy, where the therapist helps clients solve their own problems.

In the third edition of *Process Consultation*, Ed grounded his approach. "Process consultation is a philosophy about and attitude toward the process of helping individuals, groups, organization and communities" (Schein, 1999, p. 1). Ed was not using the term "philosophy" in the sense of philosophy as a technical, often abstruse, discourse among specialists. Rather he was philosophical in the sense of philosophy as "reflective inquiry into what it means to function consciously as an inquirer and as a responsible agent" (Webb, 1988, p. 3). He was philosophical in the sense of ancient philosophy understood as "a mode of existing-in-the-world, which had to be practiced at each instant and the goal of which was to transform the whole of the individual's life" (Hadot, 1995, p. 265). He was philosophical in terms of the Aristotelian notion of *phronesis*, the qualities of acting justly and wisely in everyday action. In this manner, he accords with the notion of scholar-practitioner that Tenkasi and Hay (2008) present as an "epistemic practitioner" that we discussed in Chapter 3.

Assessment and intervention

In the expert-based models described earlier, assessment or diagnosis is undertaken by the expert as an antecedent to intervention. In process consultation, assessment and intervention are simultaneous processes as the process consultant engages in conversation with clients in trying to understand what is going on and why. Process consultants ask questions and make comments that aim to be helpful in structuring clients' thinking further and in revealing information about what is really going on, thereby teaching the client to be able to look at their own information and analyse it. In Ed's experience, their interventions must seem normal and not be mysterious so that clients themselves may learn the skills of attending to their experience, testing their insights and taking actions based on their understanding. Hence, through the interaction between the process consultant and clients, clients perform the assessment. A key tacit process is that process consultants are communicating to the client that they are willing to help but not take the problem onto their own shoulders. Ed framed a core insight.

> Every decision to observe something, or to ask a question, or to meet with someone constitutes an intervention into the ongoing organizational process. The consultant cannot, therefore, avoid or escape taking the responsibility for the kind of data-gathering method he uses.
>
> (1969, p. 97)

Ed has framed a typology of interventions through which the client is enabled to think through the problem and develop an action plan for addressing it. In *pure inquiry*, process consultants listen carefully and neutrally and prompt the elicitation and exploration of the story of what is taking place, thereby demonstrating clients' ownership of the issues and the facilitative role of the process consultant.

The second type of inquiry is what Ed has called *diagnostic inquiry*, in which process consultants begin to manage the process of how the content is understood by clients by exploring (1) reasoning processes, (2), emotional processes and (3) actions. The third type of inquiry is what Ed has called *confrontive inquiry*. This is where the process consultants, by sharing their own ideas, challenge the client to think from a new perspective. Ed has made the case strongly that the pure inquiry mode must dominate so as to enable clients to feel heard and to be autonomous. Moving into confrontive interventions too soon may push the process consultant into being the expert and clients into dependency. This typology also forms the basis for skills training in process consultation (Coghlan, 1989).

The emphasis on the helping relationship is in Ed's view the decisive factor as to whether or not help will occur in the relationship between consultant and client. He notes that, while this is well-established in psychotherapy and other helping roles, in organisational consulting, consultants report that they think it important to make a formal diagnosis, write reports and make specific recommendations in order to feel they have done their job. He articulated 10 principles of process consultation (Schein, 1999). Always try to be helpful. Always stay in touch with current reality. Access your ignorance. Everything you do is an intervention. It is the client who owns the problem and the solution. Go with the flow. Timing is crucial. Be constructively opportunistic with confrontive interventions. Everything is a source of data; learn from inevitable errors. When in doubt, share the problem.

Figure 5.1 captures the essence of the epistemic and methodological process of process consultation. Process researchers work to help clients perceive,

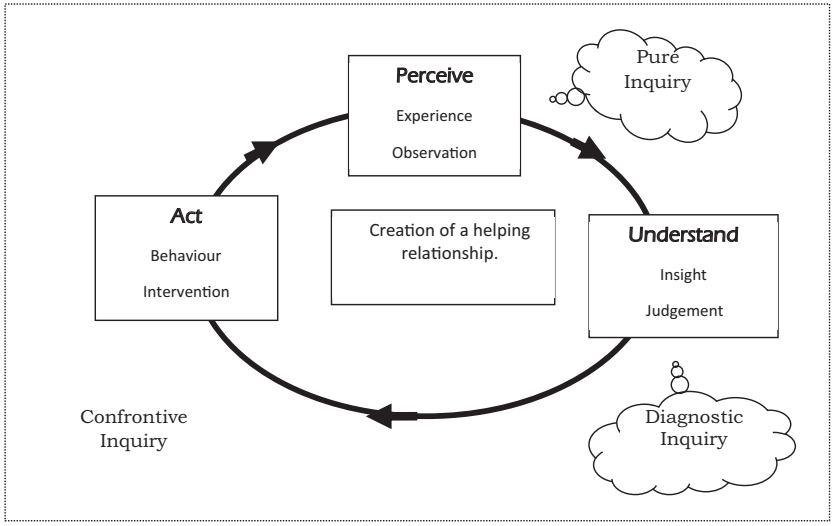

Figure 5.1 The Dynamics of Process Consultation

understand and act on events that are occurring in their organisational environment. Through pure, diagnostic and confrontive inquiry, process consultants engage with clients to draw out their experience, their insights, their judgements and their actions in settings where things change as a consequence of intervention, and where perceptions and meanings shift as people interact and enact strategies and actions for change. The focus is firmly on a collaborative approach inquiry that locates emphasis on the client's interiority.

In Chapter 9, we will return to process consultation and explore how it is a foundational element of OD. For now, we recognise it as a core philosophical value of being helpful. The focus of much scholarship is on content knowledge and expertise, with little attention paid to process. The scholarly and educational implications of process consultation are that scholars and researchers would benefit from learning to be helpful. Ed has made the case that, as part of their education, business and organisation studies, students spend time in organisations, hanging around and learning the skills of how to be helpful. The professional implications of process consultation for modern managers are that as expertise becomes more narrowly defined, the role of the general managers increasingly becomes one of enabling professionals to do their own jobs well. As Ed himself experienced, what was articulated initially as a form of consultation became adopted by managers in working with their own staff. He also found that process consultation skills are useful for parents and professionals in all fields and for informal exchanges between colleagues and friends.

Lambrechts, Grieten, Bouwen and Corthouts (2009) consider how, as the knowledge and experience of T-groups faded in the 1970s and 1980s so too did the impact of process consultation as it was replaced by functional and instrumental approaches. In their view, while it remained suitable for problems of dysfunctional conflict, deficient group work, poor communication and so on, it became categorised as an intervention choice within a suite of intervention options in OD, such as a human processual approach (Friedlander & Brown, 1974) or a group process approach (French & Bell, 1999). This latter categorisation frustrated and annoyed Ed. In Lambrechts et al.'s view, process consultation lost its general philosophical foundation underpinning every OD intervention (Coghlan, 1988). They suggest reframing process consultation in terms of a relational practice perspective through seeing its process in terms of social constructionism and Ed's explicit links to Goffman's symbolic interactionism. A social constructionist lens views organisations as meaning-making systems and stresses the value of conversation in creating common meaning, as contrasted with the objectivist view of organisations, an argument made by Bushe and Marshak's contrast of diagnostic and dialogic OD we will discuss in Chapter 9. Lambrechts et al. conclude that socio-relational constructionism provides a new theoretical foundation for process consultation. In his response to these authors, Ed has argued that relational practice is not an alternative to but a consequence of effective process consultation (Schein, 2009a). He re-emphasised the central process of establishing a trusting relationship so that the conversation may emerge and proceed.

Process consultation in an intervention tradition

The process consultation approach is consonant with a wider tradition of helping that may be termed, nondirective, client-centred, catalytic and facilitative, to name some of its expressions (Coghlan, 2006).

The first major treatment of nondirectiveness as an approach to working with people is found in one of Carl Rogers' early books (Rogers, 1942). In this work, he devoted a chapter, "The Directive Versus the Nondirective Approach", to his critical views on current practices in counselling and psychotherapy, in which the counsellor engaged in such behaviours as advice-giving, exhortation, interpretation, reassurance, persuasion and others. In his comparison of the two approaches, Rogers located the differences in practice between the directive and nondirective approaches in their underlying philosophies of counselling. In the directive approach, the assumption is that the counsellor chooses the desirable and socially approved goal for the client and directs his/her efforts to helping the client attain that goal. Accordingly, there is an emphasis on social conformity and the counselling process is problem-focused. In contrast, the nondirective approach is based on the assumptions that the client has the right to select his/her own goals and to be psychologically independent. Therefore, the nondirective approach is client-centred, rather than problem-centred.

Rogers ceased using the term, "nondirective" in his published works after 1947. Cain (1989) discussed several possible reasons for this. One is that Rogers got tired of being attacked on the nondirective nature of his approach to counselling, which was perceived as lacking substance and direction. Rogers firmly believed that his approach did have direction, but that it was a direction set by the client rather than by the therapist. A second possibility, in Cain's view, is that as Rogers' thought evolved, the issue of nondirectiveness by the therapist became less central and the client's self-direction became more important. And so Rogers moved from his use of the term, "nondirective" in 1942 to "client-centred" (Rogers, 1951) and then to "person-centred" (Rogers, 1980).

Rogers' philosophy of the person is based on the premise that the human being is basically a trustworthy organism, capable of evaluating the outer and inner situation, understanding himself/herself in its context, making constructive choices as to the next steps in life and acting on those choices. A person working in a facilitative mode can aid in releasing these capacities when relating as a real person to the other, owning and expressing his/her own feelings; when experiencing a non-possessive caring and love for the other and when empathically understanding the inner world of the other. The three conditions that constitute this facilitative process are congruence or genuineness, unconditional positive regard or caring and empathic understanding. These conditions relate to the ability to build trust to allow oneself to experience positive feelings towards the other, be strong in oneself to allow freedom to the other, be able to enter the world of the other and see things as he/she does, to be free from

external evaluation and allow the other person to be the process of becoming. When this approach is made with an individual or with a group, Rogers attests, over time, that the choices made, the directions pursued and the actions taken are increasingly constructive personally and tend towards a more realistic social harmony with others.

Ed reported how as an undergraduate student at the University of Chicago, in his General Biology course, he came across a section on psychology which included a discussion of a new method of doing psychotherapy which was being developed by Rogers. He and his friends used to caricature the Rogerian method of reflecting back to the client what he or she had just said and then laughing uproariously about how silly this all seemed. Ed later reflected:

> The irony, of course, is that almost my later work on process consultation and helping is entirely consistent with Rogerian principles, though it only became clearer to me much later. I had to discover for myself how influencing others is very much a function of helping them understand their world and that enables them in most cases to find their own solutions. During this time in Chicago and for decades thereafter I never heard of Rogers, never met him and never took his model seriously. By working in these memoirs have I realised how radical his thinking was in the 1940s.
>
> (Schein, 2016, pp. 53–54)

This description of the process consultation approach, its theory and practice demonstrates many similarities with the person-centred approach, particularly regarding the nature of the helping role (Coghlan & McIlduff, 1995). While both disciplines work in different arenas, they are linked through sharing some common fundamental assumptions about facilitating positive change. They have arisen and developed independently of each other. For both Rogers and Schein, their approach is wider and more fundamental than that of providing a technique of how to work in a helping role with individuals, groups and organisations. For Schein, process consultation is a "philosophy of how to provide help to human systems"; for Rogers, the person-centred approach is a facilitative "way of being". Despite different terminology, the underpinning philosophical foundations of theory and practice of both traditions are consistent with each other.

Ed expanded the focus from individual coaching, working to improve group functioning and intergroup problems to the organisation as a client (Schein, 2017; Schein, Turner, Schein, & Hayes, 2021). He noted that, as organisations are complex systems, process consultants need models that deal with systemic forces. The entry point may be an individual, such as a CEO or senior manager, but who the actual client is may emerge. He gave the example of a 360-degree feedback intervention or executive coaching which may start out as individually focused but then draws in others and becomes an organisational issue.

In what seems to have been an isolated reflection, Ed published a short two-page piece in *Consulting Psychology Bulletin* on "the role of process consultation in the creation and implementation of strategy" (Schein, 1991). My memory is that, at the time as editor of the Addison-Wesley OD series, Ed was negotiating with Chris Worley and his colleagues on a volume on strategic change, which was published later (Worley, Hitchin, & Ross, 1996). In his mode of creative opportunism, Ed used the stimulus of the negotiations to apply process consultation to the activities of strategic analysis, strategy making and the development and implementation of a strategic change plan. He never took it further than this short paper.

Conclusions

In this chapter, we have explored one of Ed's most popular works, his notion of process consultation as presented in his initial ground-breaking book and its subsequent editions. Through his interiority, we have seen how it emerged from his experience with the DEC managers, his first-person wondering why he was not being helpful and then his insights into what he was doing and the underlying assumptions from which he was working. Testing these insights through further second-person practice with the managers, he was confirmed in his learning and developed that learning into third-person a philosophy of helping. Ed synthesised his position.

> What therapists have discovered is that the best way to deal with a patient who is under stress is to give them a chance to talk out exactly what the sources of stress are and to help them figure out how to redesign their work life in such a way that it is less stressful., The traps for us consultants is to have an answer to that question that is general rather than local. People have to make their own decision on what they want to stabilize and what they want to keep open. We can't do that for them as experts. And therapists have learned this a long time ago. You have to listen to the patient and help them to figure out what to do differently.
>
> (Schein & Ameln, 2019, p. 142)

In the next chapter, we will see how his further experience and questioning opened up a new perspective on process consultation which has led him to his formulate of humble inquiry and its corollaries, humble consulting and humble leadership.

Questions for study and reflection

1. How might you distinguish the doctor–patient model, the purchase model and process consultation?

2. Take a situation in which you were asked to help, probably in the form of being asked for advice on what to do.
   i. What did the other person want?
   ii. What did you think/feel on being asked?
   iii. How did you respond?
   iv. Could you have responded differently?
   v. What was the outcome?

References

Cain, D. J. (1989). The paradox of nondirectiveness in the person-centered approach. *Person-Centered Review*, *4*(2), 123–131.

Coghlan, D. (1988). In defence of process consultation. *Leadership & Organization Development Journal*, *9*(2), 27–31. doi:10.1108/eb053635

Coghlan, D. (1989). Process consultation skills for personnel managers. *Organizational Behavior Teaching Review*, *13*(3), 87–93.

Coghlan, D. (2006). Facilitating learning and change: Perspectives on the helping process. *Organization Development Journal*, *20*(2), 116–119.

Coghlan, D., & McIlduff, E. (1995). Process consultation and the person-centered approach: Schein and Rogers on the helping process. *Organization Development Journal*, *13*(3), 45–56.

French, W. L., & Bell, C. H. (1999). *Organization development: Behavioral science interventions for organization improvement* (6th ed.). Englewood Cliffs, NJ: Prentice-Hall.

Friedlander, F., & Brown, L. D. (1974). Organization development. *Annual Review of Psychology*, *25*, 313–341. doi:10.1146/annurev.ps.25.020174.001525

Hadot, P. (1995). *Philosophy as a way of life: Spiritual exercises from Socrates to Foucault*. Oxford: Blackwell.

Lambrechts, F., Grieten, S., Bouwen, R., & Corthouts, F. (2009). Process consultation revisited: Taking a 'relational practice' perspective. *Journal of Applied Behavioral Science*, *45*(1), 39–58. doi:10.1177/0021886308326563

Rogers, C. R. (1942). *Counseling and psychotherapy*. Boston, MA: Houghton-Mifflin.

Rogers, C. R. (1951). *Client-centered therapy*. Boston, MA: Houghton-Mifflin.

Rogers, C. R. (1980). *A way of being*. Boston, MA: Houghton-Mifflin.

Sashkin, M. (1979). Interview with Edgar Schein. *Group & Organization Studies*, *4*(4), 400–417. doi:10.1177/1059601179004004

Schein, E. H. (1969). *Process consultation: Its role in organization development*. Reading, MA: Addison-Wesley.

Schein, E. H. (1987). *Process consultation volume II.: Lessons for managers and consultants*. Reading, MA: Addison-Wesley.

Schein, E. H. (1988). *Process consultation, volume I: Its role in organization development* (2nd ed.). Reading, MA: Addison-Wesley.

Schein, E. H. (1990). A general philosophy of helping: Process consultation. *Sloan Management Review*, *31*(3), 57–64. http://hdl.handle.net/1721.1/2269

Schein, E. H. (1991). The role of process consultation in the creation and implementation of strategy. *Consulting Psychology Bulletin*, *43*(1), 16–18.

Schein, E. H. (1999). *Process consultation revisited: Building the helping relationship*. Reading, MA: Addison-Wesley.

Schein, E. H. (2003). *DEC is dead, long live DEC*. San Diego, CA: Berrett-Kohler.

Schein, E. H. (2006). From brainwashing to organizational therapy: A conceptual and empirical journey in search of 'systemic' health and a general model of change dynamics. A drama in five acts. *Organization Studies*, *27*(2), 287–301. doi:10.1177/0170840606061831

Schein, E. H. (2009a). Reactions, reflections, rejoinders and a challenge. *Journal of Applied Behavioral Science*, *45*(1), 141–158. doi:10.1177/0021886308328942

Schein, E. H. (2016). *On becoming American: My first learning journey*. Bloomington, IN: IUniverse.

Schein, E. H. (2017). Process consultation as a helping relationship. In E. H. Schein & J. Ogawa (Eds.), *Organizational therapy: Multiple perspectives* (2nd ed., pp. 10–18). San Jose, CA: Process Consultation.

Schein, E. H., & Ameln, F. (2019). Relationships as the key to change: Ed Schein on the legacy and future of change management. *Gruppe Interaktion. Organisation*, *50*, 41–144. doi:10.1007/s11612-019-00462-4

Schein, E. H., Turner, R. A., Schein, P. A., & Hayes, T. L. (2021). A long and beautiful conversation with Edgar Schein: His journey through seven decades of social psychology, anthropology and organizational life. *Consulting Psychology Journal*, *73*(4), 289–301. doi:10.1037/cpb0000213

Tenkasi, R. V., & Hay, G. W. (2008). Following the second legacy of Aristotle: The scholar-practitioner as an epistemic technician. In A. B. (Rami) Shani, S. A. Mohrman, W. A. Pasmore, B. Stymne, & N. Adler (Eds.), *Handbook of collaborative management research* (pp. 49–72). Thousand Oaks, CA: SAGE.

Webb, E. (1988). *Philosophers of consciousness: Polanyi, Lonergan, Voegelin, Ricoeur, Girard, Kierkegaard*. Seattle, WA: University of Washington Press.

Worley, C., Hitchin, D., & Ross, W. (1996). *Integrated strategic change*. Reading, MA: Addison-Wesley.

6 Developing relationships through humble inquiry, consulting and leadership

> Groups, organizations, society itself is best conceived of as a set of relationships that enable humans to accomplish various things such as meeting their immediate needs and creating something new and better, not as a set of individuals doing various things to meet their individual needs. It is convenient to use individual action as the focus for analysis, but that action is always related to other individuals, and it is the nature of the relationship that determines whether the individual needs and purposes will be met.
>
> (Schein, Unpublished Memoirs)

Having explored Ed's first-, second- and third-person practice with regard to process consultation in the previous chapter, we now turn to Ed's notion of humble inquiry and its corollaries, humble consulting and humble leadership and its grounding in relationships. In this chapter, we not only review these notions and their contribution to the social science of organisation development and change (third-person) but also receive insights into his thinking as to how he came to them (first person) and how to engage in it.

In Chapter 2, we saw how Ed moved from being a traditional scientist doing research in social psychology, brainwashing and corporate indoctrination, through a metamorphosis at a three-week Human Relations Workshop at Bethel, Maine run by the National Training Labs. From this experience flowed his learning of the practice of consulting/coaching and helping to discover a different concept of scientific inquiry and the important role of anthropology and organisational culture in the understanding of "relationship". He reported how after several decades of being a consultant during which he had evolved his model of process consultation which had emphasised the need to involve clients in the process of figuring out what was wrong in their organisation and what they needed to do, he began to realise that it had implications for all kinds of helping relationships. He added "Building the Helping Relationship" as the subtitle for the fourth process consultation book (Schein, 1999). His thinking about helping relationships culminated in his book, *Helping* (Schein, 2009b) which led to his

DOI: 10.4324/9781003366355-8

This chapter has been made available under a (CC-BY-NC-ND) 4.0 license.

new understanding in a series of books, *Humble Inquiry*, *Humble Consulting* and *Humble Leadership* which we will now discuss.

In this book, *Helping,* Ed included a chapter called "Humble Inquiry" which he related to the early stages of trying to be helpful (2009b). He described the dispositions that the helper needs to adopt, such as being open to what the client is actually asking and being aware of how initial assumptions may be incorrect. The client may need time and space to build self-confidence in seeking help. The helper needs to be attentive to observations and to listen carefully. Ed framed this process as "accessing your ignorance", a quality he had identified in process consultation (1999), and "because it is genuine inquiry it is appropriate to call it humble" (2009b, p. 67). By 2013, From a stimulation by a Berrett-Kohler editor, Ed came to calling his whole approach, *Humble Inquiry* (Schein, 2013) and, in the following years, produced a second edition (Schein & Schein, 2021), *Humble Consulting* (Schein, 2016) and two editions of *Humble Leadership* (Schein & Schein, 2018, 2023).

Humble inquiry

In 2012, when Ed sent me his preliminary notes on a forthcoming book, *Humble Inquiry*, looking for feedback, I was challenged to examine my thinking on what this might mean. Mental models of being humble as self-abnegation in religious practice, of expressions of obeisance in medieval society and as fawning as portrayed by the Dickensian character, Uriah Heep, came to mind. At first sight, humility seems to conflict with values such as self-esteem. However, the Greek philosophers, Socrates and Aristotle, saw humility as an intellectual and moral virtue grounded in self-knowledge and respect for others (Alfano, Lynch, & Tanesini, 2020). Later I read, as Worthington, Davis and Hook (2016) portray, there is a developing focus on humility in contemporary psychology.

I reflected back to Ed that he might need to articulate the context in which he was using the term, "humble". Subsequently, he explained humility as granting someone else a higher status than oneself and being humiliated as being deprived of one's status or of losing face. He defined humility in terms of three kinds of status. The first kind is *basic humility* where being humble is a condition in society as where there is an "upper" and "lower" class with a structured status attached. Here humility is a structure and is not chosen. In democratic societies, there is a minimum civility and signs of respect expected. The second kind is what Ed called *optional humility*. This is where status is achieved through accomplishments and we feel humble in the presence of people who have high achievements and we admire or are envious of them. In such settings being humble is a choice, which is dependent on what we attribute status to and whose company we value. Ed called the third kind *here-and-now humility*, later *situational humility* (Schein & Schein, 2023). This is where one is dependent on another and inferiority is contextual and temporary as in, for example the achievement of a

task. Those with less knowledge or expertise are dependent on those with more for the completion of a specific task. Ed noted that the situation of subordinates, students, clients and patients are obvious examples, while for peers in a team, it may be less visible. It is in terms of this third kind of humility that he grounded humble inquiry.

The word humble originates in "humus", the Latin word for ground or earth, so another angle on being humble is to be grounded, while Ed did not acknowledge this, it accords with his use of the term. Being grounded is consonant with a fundamental theme of his approach to inquiry, namely accessing your ignorance.

Ed's exploration of being humble was grounded in the sociology of social behaviour as articulated by Erving Goffman (1957). As explored in Chapter 2, Ed was exposed to Goffman while at Walter Reed Research Institute and considered him to be one of the major influences on his work. Goffman's point is that social behaviour is regulated and that people work to maintain the social order. There are rules of interaction based on assumptions about what constitutes appropriate behaviour, especially around role enactment and face saving. Ed noted that, while understanding how the cognitive and emotional processes within individuals are essential, exploring interpersonal processes between them is also critical (Schein, 2009a). Ed referred to the Johari Window which expresses how individuals in communication have an open pane that others can see, a private pane that is held from others, a blind pane that others can see but the individual does not and an unknown pane that is an unknown pane that is unknown to both self and others (Luft, 1961). In humble inquiry, participants may choose to reveal private aspects of themselves to the other and their interactive engagement may reveal unknown aspects of both parties which need to be appropriate to the situation.

Ed defined humble inquiry as "the fine art of drawing someone out, of asking questions to which you do not already know the answer, of building a relationship based on curiosity and interest in the other person", grounded in "the attitude of listening more deeply to others' responses to our inquiry, responding appropriately and revealing more of ourselves in the relationship building process" (Schein & Schein, 2021, p. 3). He posed challenging questions about the US culture which emphasises individualism and status through achievement and devalues teamwork, relationship building and collaboration other than for task achievement. In this culture, he argued telling is more valued than asking or relationship building. However, as tasks become more complex and interdependent, collaboration, teamwork and relationship building become more important, hence his case for humble inquiry.

In *Humble Inquiry,* Ed has drawn readers into interiority by inviting us to consider both our dispositions towards engaging in humble inquiry and what might be going on in our heads as we engage. Regarding dispositions, he has suggested that we may have to unlearn current dispositions and habits in order to learn the new ones that humble inquiry requires. Ed explored this in terms of his learning and changing theory, how unlearning may involve working through

learning anxiety which has the effect of paralysing to get to survival anxiety which energises for action (which we will explore in Chapter 9). He provided some guidelines to help get started: to learn to slow down and to vary the pace, not to give in to the pressure that fast is better, to set up learning time with others, ask yourself humble inquiry questions, practice being more mindful and engage the improvisational artist within you. In terms of catching what goes on in our heads, he stated:

> We cannot be appropriately humble if we misread or misinterpret the situation we are in and either ignore or do not know what is appropriate in that situation. We need to see how our minds constantly create biases, perceptual distortions, and inappropriate impulses.
>
> (Schein & Schein, 2021, p. 97)

As introduced in Chapter 4, interiority involves shifting from *what* we know to *how* we know, a process of intellectual self-awareness. Attending to the cognitive operations of coming to know by enacting the general empirical method of being attentive to data of sense and of consciousness (experience), being intelligent in envisaging possible explanations of that data (understanding), being reasonable in preferring as probable or certain the explanations which provide the best account for the data (judgement) and being responsible for what one decides and does (action) is what we see Ed doing and what he is advocating for us to do.

Ed has exploited his own framing of the cognitive process, which he calls ORJI (**o**bservation, **r**eaction, **j**udgement **i**ntervention). ORJI is a process whereby humble inquirers observe (O) their experience, react (R) emotionally to what has been observed, analyse the process and make judgements (J) based on the observations and feelings and intervene (I) in order to make something happen. Ed paid particular attention to the movement from observation to judgement because he believed that frequently the individual does not pay attention to the reaction stage. In his view, the individual typically denies feelings, short-circuits them and moves straight to judgement and action. By learning to identify and attend to feelings, (a) as initial reactions and (b) as influencing judgements, humble inquirers may learn to be attentive to them and choose whether or not to act on them. Whatever the framing of how one comes to know, the interiority of the humble inquirer is an essential element to engaging in humble inquiry.

Humble consulting

In *Humble Consulting,* Ed expanded on his accounts of process consultation, as described in the previous chapter (2016). He explored how humble inquiry may be distinguished from helping, by emphasising its role at the early stages of the relationship and contrasting it with, what in his previous works he called, pure, diagnostic and confrontive inquiry. Ed shared his insight that the main inhibiting

factor in US clients being open and trusting is the cultural force in the United States of the heroic model of telling which spawned the consultation model of diagnosing and giving recommendations and that the telling model does not work (Schein, 2016). His further insight was that the helper has to build an open and trusting relationship from the outset and this makes demands on the humility of the consultant. He reflected:

> I think of this as an evolution in my thinking. Many of these ideas may have been implicit in earlier works, but they are only now coming into consciousness both as insights and as new principles of what has to happen if we really want to help on complex, dynamic "messy" problems and if we want to do it fast because, in many cases, clients need to do something adaptive right away.
> (Schein, 2016, p. xiii)

He teased out the implications by drawing in the interiority of the readers inviting us to rethink what a humble approach to consulting might mean, for instance developing a new form of relationship with clients, adapting a stance of humility through, curiosity and questioning, developing responding skills and creating conversations as dialogues. As Buono reflected on what he has learned from Ed's writings about consulting, "when our humility increases we are better prepared to uncover the insight and wisdom that support our ability to be truly helpful to those we are working with" (2023, p. 201).

Humble leadership

In his *Organizational Psychology*, Ed discussed leadership as a variable of organisational effectiveness (1965). First, he noted how leadership is a function in the organisation rather than a trait in an individual. It is also distributed among the members of the organisation and is not automatically vested in an individual with a formal role of authority. Good leadership and good membership blend into each other in an effective organisation, and it is as much the task of the members to help the organisation reach its goals as it is the leader's. Second, leadership has a unique obligation to manage the boundaries between the system and its environment, particularly in setting goals for the organisation and defining its values and norms to shape its identity. The top executive leadership is typically at the organisational–environment boundary, and therefore, it is its function to set policy for the organisation. This, in Ed's view, is not to say that an organisation's identity values and goals need to be imposed by executive leadership but that they are set by them.

Ed's comment 50 years later was that he has observed how the field of research on leadership has been "grabbed" (his word) by both researchers and practitioners to be mostly as characteristic of individuals (2015). He acknowledged the voice of those on distributed leadership but that most of the field in his view has

been "obsessively" (his word) trying to identify what personal characteristics distinguish leaders from the rest of humanity. He noted that because different kinds of leadership are needed for different tasks and in different settings the field has settled for contingency theory. He reflected that from his consulting activities, he observed how leadership is intertwined with organisational culture and that an organisational leader's role is to define its values and norms to shape its identity (2015).

In *Humble Leadership* in 2018, Ed posed the key question, why do we need another book on leadership? (Schein & Schein, 2018). He provided three answers. The first is how task complexity is increasing exponentially as emergent technologies and multi- and inter-disciplinary collaboration involve different occupational and national cultures. Products and services are becoming more complex and are constantly shifting. Information technology and geographically dispersed social networks are making demands on new ways of working and the arrangement of work. The increasing rate of change, of global interconnectedness, multiculturalism and the pace of technological advancement are accelerating. These forces are making demands on team working and collaboration based on personal relationships and higher levels of trust.

His second answer was to reflect on how, in his view, management culture is myopic and has created blind spots and "diminished peripheral vision". In accordance with the task complexity and socio-technical demands on leaders he identified in the first reason, he challenges traditional assumptions about leadership. Problems are not in the individual nodes but in the interrelationships. Malaises in organisations can be attributed to the persistent failures of both downward and upward communication. Downward communication is problematic because employees do not understand or trust when what executives say or ask of them conflict with deeper cultural elements. For example, declarations of the priority of teamwork may not fit with a competitive individualism on which promotions or bonuses are awarded. Upward communication may fail because employees resist speaking up because they do not understand or agree, or they see problems ahead or their experience is that nothing is done. Whistle-blowers get punished or their careers are damaged. A common critique that Ed made is how, in the US culture, the hero myth of the leader and the machine model of organisations dominate, which undermine empowerment, engagement, organisational agility and the capacity to innovate in the VUCA context. His third reason for another book on leadership was the challenge that arises from a general change in societal values towards work and the workplace. Social responsibility and being guardians of the planet are common currency. A generation of workers want work to be meaningful. There is often an emphasis on talent management.

In adopting the nomenclature of "humble" leadership, Ed was marking a move from a leadership as a transactional role and turning the focus on relationships. He defined leadership "as wanting to do something *new* and *better* and getting others to go along" (p. 2). He noted that what is new and better depends on

context, the nature of the task and cultural values that are operative. In the second edition (Schein & Schein, 2023), Ed reinforced his message:

> Humble leadership is a necessary foundational substrate for all brands of leadership today and . . . therefore requires the creation of personal relationships that will make others feel safe enough to be open with their leaders and with other members of the team that is striving to create something new and better. (p. 12)

Levels of relationship

Between the publication of *Humble Inquiry* in 2013 and *Humble Consulting* in 2016, Ed developed a framework of different levels of relationships. He reflected that while everyone acknowledges the importance of relationships in human affairs, that relationships should be good and that we need to learn how to deal with bad relationships, we find very little elaboration of what good or bad means in this context. We take it for granted that levels of relationship are intuitively obvious and settle for vague notions of connecting, linking and getting to know each other without feeling a need to explain what is really going on. He provided a definition of a relationship as a "set of mutual expectations about each other's future behaviour based on past interactions with one another" (Schein, 2016, p. 28). He was distinguishing a relationship from a connection or a linkage. Relationships are interactive and involve a symmetry whereby an individual acts over time to build the relationship and frame whether it is casual or deep.

Ed then built a table of four different levels of relationship so as to enable us to understand its complexity and the crucial processes of managing our relationships to better achieve our purposes in life and for society and its operations to function more effectively.

- *Level One* marks a negative relationship that is built on power and dominance with the more powerful exploiting, coercing and manipulating the other. Examples are situations where equitable relationships are excluded, such as with prisoners, slaves, members of another culture, emotionally ill patients and other like settings.
- *Level One* is a transactional relationship based on formal role definitions and characterised by professional distancing. In these relationships, we engage in polite and civil interactions based on the needs of the situation. Examples are the relationships with service deliverers such as servers in a restaurant or shop assistants or with professional helpers such as lawyers or doctors.
- *Level Two* marks relationships where people get to know one another as individuals and develop a deeper degree of openness and trust than in Level One.
- *Level Three* relationships are characterised by close friendships, intimacy and love.

Ed created a new term to express what Level Two relationships involve. He presented *personisation* as a new concept to clarify the difference between the levels of relationships. He defined *personisation* as "the process of building a working relationship with a fellow employee, teammate, boss, subordinate or colleagues based on trying to see that person as a whole, not just in the role he or she may occupy at the moment" (2016, p. 24). He distinguished *personisation* from personalisation which applies to customisation. He argued that *personisation* has nothing to do with being nice or generous or working conditions or benefits. Rather, it is about building a relationship in order to get the job done and to avoid indifference, manipulation, lying and concealing. Ed has suggested that it may begin early on in the relationship when one asks a personal question or reveals something personal, thereby the parties investing themselves in the relationship to some degree and allowing themselves to be vulnerable to the other. "*Personization* is intrinsically an interactive reciprocal process" (p. 25).

It is Ed's argument that what constitutes humble inquiry, humble consulting and humble leadership is a Level Two relationship. His critique of consulting is that Level Two humble consulting supersedes the Level One professional distancing diagnosis and intervention approach. His case for humble leadership as a new concept is that it is built on interdependent Level Two relationships, rather than the transactional telling-oriented Level One.

Dialogue

While firmly grounded in his learning from his T-group experiences, Ed realised that a process such as a T-group is culturally embedded and would not be appropriate in many cultures or in multi-cultural team building. In an article in *Organizational Dynamics,* he compared the T-group with dialogue (Schein, 1993). The focus of the T-group is on personal learning through interpersonal dynamics, emotions and how to give and receive feedback. Dialogue, in contrast, focuses on trying to understand others' thought processes. This, in Ed's view, requires a form of listening that involves both listening to the others and to one's own mental filters. In contrast to standard polemic settings that are marked by competing, advocating one's position, making convincing arguments and debate, a dialogical process is characterised by suspending one's own views, internal listening, accepting differences and building common ground. Ed drew on the metaphor of sitting around the campfire, where people talk to the campfire (whether real or imagined) as a foundation for building group consciousness. He made the case that dialogue is necessary for understanding cultures and subcultures and that organisational learning will ultimately depend upon such cultural understanding.

Drawing on Edmondson, Bohmer, and Pisano's (2001) work on teams in hospitals, Ed provided an example of a senior surgeon who took the surgical team (key nurse, anaesthetist and others) off for a few days to learn a new surgical procedure so that they could learn both the procedure and to work together. Within the hierarchical relationships of an operating theatre, which may also be

complicated by a blend of ethnic cultures, Ed made the point that "somewhere they have to learn how to be temporarily humble in the interest of building relationships with the people on whom they are dependent" (Lambrechts, Bouwen, Grieten, Huybrechts, & Schein, 2011, p. 137).

While he has explored the centrality of relationships and adopted a humble stance for leaders, consultants and those in helping settings, Ed has also reflected on the evolution of relational dynamics in his own professional development.

Relational dynamics in the different phases of Ed's career

In an unpublished reflective note which he sent to me several months before his death, Ed reflected on the relational dynamics of his academic career. When he went to Stanford University to study psychology, he was exposed to the social psychology research focus on social influence. After World War II, there was a great deal of interest in how Nazism had developed and how social influence worked. As a psychology student, Ed became involved in experiments on influence that were set up to see how people perceived things like brightness and weight when they were exposed to alternate views and social pressure was put on them to conform in the face of their own judgements. This experiment was part of a widespread trend of experiments to determine what it would take to get subjects to resist the influence of strangers with whom the subjects had no relationship. The most infamous of these experiments is the Stanford prison experiment where the purpose was to determine how the cruelty of prison guards could develop even among ordinary people if they were given the role of prison guard. Ed reflected:

> What I realize in retrospect was at work here was the power of the culture of science and the power we attributed to people who had status as teachers and scientists. I also realized how easy it is in a seemingly neutral transactional relationship to seduce someone into a situation the leads them to do things that under normal conditions they would never do.
>
> (Unpublished Reflective Note)

Ed's doctoral research at Harvard University was on the subject of imitation, asking if people learned to imitate someone performing one task would they continue to imitate on a different task (Schein, 1954). He set up experiments with military inductees to test how much they imitated one group member who was shown to be correct, where they would give their estimate of how many dots they saw on slides or make a judgement about a photograph. With respect to himself, Ed has noted:

> My purpose in reviewing these experiment was to highlight how much I was part of the culture of experimental social science and happily participated in creating control situations that would enable me and my colleagues to discover some of the forces driving human social behavior. What I had not considered at that time is that if we are all creatures of the histories of our own relationships,

> then what I was doing to experimental subjects was influencing them in unknown ways, and I had no idea that this might matter and no concern about it.
>
> (Unpublished Reflective Note)

In his post-doctoral study of the Korean POWS (which we will explore in Chapter 8), Ed's research shifted. Here he was working on a real issue – to study the indoctrination of prisoners of war in Korea and civilian prisoners during the 1950s Korean conflict. In this study, he uncovered how relationships were used to manipulate the prisoners into confessing, a technique he has called persuasive coercion and which became a key theme of his later research.

Conclusions

In this chapter, we have explored Ed's notion of being humble. His account of humble inquiry, humble consulting and humble leadership are grounded in reflections on his experience which incorporate both his engagement as a consultant and as a researcher through his outer arc of attention and the examination of his thinking through his inner arc. Giving equal attention to both is the mark of interiority. To close with Ed's reflection:

> I have realized that my own professional upbringing began with a very biased emphasis on the Level Minus One types of relationship both as an object of study and as a subtle but important value in the pursuit of research as a social psychologist. About six years into my professorship at MIT's School of Industrial Management I underwent a dramatic change both in my understanding and behavior of what relationships were, could be, and should be that led to important new insights and values.
>
> (Unpublished Reflective Note)

It is these new insights and values that we now take up in his thinking and practice of clinical inquiry/research.

Questions for study and reflection

Throughout both editions of the *Humble Inquiry* and *Humble Leadership* books, there are numerous examples of humble inquiry and humble leadership, and at the end of each chapter, there are exercises for the readers to practice. There is a Discussion Guide and Exercises and a series of mini-cases. These all play a role in exercising the interiority of the reader to think about inquiry and to develop the appropriate skills.

1. How do you think when you know that you don't know something? How do you access your ignorance?
2. Have you examples in your experience of when *personisation* transformed a working situation? How did it work?

References

Alfano, M., Lynch, M. P., & Tanesini, A. (Eds.). (2020). *The Routledge handbook of the philosophy of humility*. Abingdon: Routledge.

Buono, A. F. (2023). A humble giant: Reframing the management consulting challenge. *Journal of Applied Behavioral Science*, *59*(2), 197–201. doi:10.1177/00218863231162403

Edmondson, A. C., Bohmer, R. M., & Pisano, G. P. (2001). Disruptive routines: Team learning and new technology implementation in hospitals. *Administrative Science Quarterly*, *46*, 685–716. doi:10.2307/3094828

Goffman, E. (1957). *The presentation of self in everyday life*. New York: Bantam.

Lambrechts, F., Bouwen, R., Grieten, S., Huybrechts, J., & Schein, E. H. (2011). Learning to help through humble inquiry and implications for management research, practice, and education: An interview with Edgar H. Schein. *Academy of Management Learning & Education*, *10*(1), 131–147. doi:10.5465/amle.10.1.zqr131

Luft, J. (1961). The Johari window. *Human Relations Training News*, *5*(1), 6–7.

Schein, E. H. (1954). The effects of reward on adult imitative behavior. *Journal of Abnormal and Social Psychology*, *49*, 389–395. doi:10.1037/h0056574

Schein, E. H. (1965). *Organizational psychology*. Englewood Cliffs, NJ: Prentice-Hall.

Schein, E. H. (1993). On dialogue, culture, and organizational learning. *Organizational Dynamics*, *22*(2), 40–51. doi:10.1016/0090-2616(93)90052-3

Schein, E. H. (1999). *Process consultation: Building the helping relationship*. Reading, MA: Addison-Wesley.

Schein, E. H. (2009a). Reactions, reflections, rejoinders and a challenge. *Journal of Applied Behavioral Science*, *45*(1), 141–158. doi:10.1177/0021886308328942

Schein, E. H. (2009b). *Helping: How to offer, give and receive help*. San Diego, CA: Berrett-Kohler.

Schein, E. H. (2013). *Humble inquiry: The gentle art of asking instead of telling*. San Diego, CA: Berrett-Kohler.

Schein, E. H. (2015). Organizational psychology: Then and now. *Annual Review of Organizational Psychology and Organizational Behavior*, *2*, 1–19. doi:10.1146/annurev-orgpsych-032414-111449

Schein, E. H. (2016). *Humble consulting: How to provide real help faster*. San Diego, CA: Berrett-Kohler.

Schein, E. H., & Schein, P. A. (2018). *Humble leadership: The power of relationships, openness and trust*. San Diego, CA: Berrett-Kohler.

Schein, E. H., & Schein, P. A. (2021). *Humble inquiry: The gentle art of asking instead of telling* (2nd ed.). San Diego, CA: Berrett-Kohler.

Schein, E. H., & Schein, P. A. (2023). *Humble leadership: The power of relationships, openness and trust* (2nd ed., reimagined and refined). San Diego, CA: Berrett-Kohler.

Worthington, E., Davis, D., & Hook, J. (Eds.). (2016). *Handbook of humility: Theory, research and application*. Abingdon: Routledge.

7 Clinical inquiry/research

> Most of my academic contributions resulted from seeing the contrast between the impacts of the different kinds of levels of relationship and my growing intention to shift away from a structural research model to a mode of inquiry that was scientifically acceptable but was based on different underlying assumptions and values about research. I realized that the relationship between the scientist and the subject of study was better conceived of as the scientist working with other humans on real problems in the role of a helper who would build a Level Two relationship with the client in an effort to jointly figure out what is going on and how the interests of the scientist and the needs of the client could best be met in Level Two mutual collaboration.
>
> (Unpublished Reflective Note)

This reflection both demonstrates Ed's interiority and acts as a bridge from the last two chapters to this one, In the last two chapters, we have explored Ed's first-, second- and third-person practice as he engaged in process consultation and humble inquiry as second-person practices and how he understood their significance, in terms of both their contribution to the social science of organisation development (third-person) and to his own first-person scholarship of practice.

Ed has consistently been critical of current trends in management and organisational research which he saw as having a strong quantitative and pre-structured orientation and removed from research into real-life organisational issues. In his view, management research is producing over-abstract and de-contextualised information that is removed from the actual challenges of organisations. Researchers are rewarded for their ability to massage second- and third-order data and are producing "more sophisticated knowledge about less important things" (Schein, 1993, p. 703). In this view, Ed accorded with the many critiques of how research is viewed and enacted in the field of management and organisational studies, in particular the polarisation between rigour and relevance, explanation and understanding and theory and practice (Hoffman, 2021). He argued for the collaboration between the researcher and the practitioner where the former

DOI: 10.4324/9781003366355-9

This chapter has been made available under a (CC-BY-NC-ND) 4.0 license.

helps the practitioner address organisational issues and the practitioner helps the researcher generate more valid data about real-life organisations in order to build relevant organisational theories. He reflected:

> I use the concept of "inquiry process" rather than "research" because the philosophy underlying action research undermines some of the most basic assumptions of science as it was defined within social psychology in the 40's, 50's and 60's. We have given up, I hope, the notion that we are clever enough or willing to gain sufficient experimental or statistical control of human phenomena to test formal hypotheses in a hypthetico-deductive process. Instead, we find that more descriptive and qualitative scientific methods deriving from sociology, anthropology and clinical work in therapy and consulting are producing more powerful insights than the traditional laboratory studies.
>
> (2010, p. 92)

And

> My biggest surprise is to think that we are still hung up on a model of science built on physics that puts all the emphasis on quantitative studies and haven't really evolved ethnographic, clinical and other kinds of work well enough.
>
> (in Mike, 2014, p. 327)

Clinical inquiry/research

In the late 1980s, Ed began to use the term "clinical" to frame how process consultation has a clinical orientation, that is it focuses on understanding and treating organisational dysfunctions and pathologies as a clinician would.

> By clinical I mean those helping professionals who get involved with individuals, groups organizations and communities in a helping role.
>
> (Schein, 1987, p. 11)

This includes trained professionals such as clinical and counselling psychologists, social workers, psychiatrists and organisation development consultants, including process consultants. Through being present in a helping role, the process consultant is oriented towards organisational health. Ed reflected:

> What makes me talk a lot about it as a *clinical* process is that it is always geared to the organization feeling that something is not right, that it is always trying to fix something or improve something . . . It is always biased towards some improvement process.
>
> (in Quick & Gavin, 2000, p. 33)

In his first introduction to the notion of clinical inquiry/research, Ed argued that the knowledge obtained by traditional research models frequently does not reflect what things are really like in organisations and so is inadequate for studying organisational processes (Schein, 1987, 1993). He proposed the clinical approach in which researchers who gain access to an organisation at the organisation's invitation in order to facilitate change are afforded access to perceptions and information that might not be shared readily with outsiders. There are three basic assumptions underlying his notion of clinical inquiry/research.

- Clinical researchers are hired to help. The research agenda comes not from the interests of the researchers but from the needs of the client system.
- Clinical researchers work from models of health and therefore are trained to recognise pathological deviations from health.
- Clinical researchers are not only concerned with diagnosis but have a primary focus on treatment.

Through being present in a helping role, the clinical inquiry/researcher is noticing how data are continuously being generated as the change process proceeds. While it may not be clear what this data might mean, the researcher's mode of inquiry enables the client to explore, understand and act upon the events as they emerge. In this way, the clinical researcher's data are real-time, generated in the act of managing change and not data created especially for the research project, and the mode of reasoning is abductive in puzzling out what the data might mean.

Ed laid out several working principles guiding clinical inquiry/research (Schein, 1997). The issues that clinical researchers work on are important. They accept the assumption that unless they attempt to change the system they cannot really understand it. The primary sources of organisational data are not what is "out there" but are in the effects of and responses to intervention. The process, whereby the clinical researcher is contacted, enters the system and begins to learn to be helpful is central. The clinical approach, therefore, focuses on understanding and treating organisational dysfunctions and pathologies. He outlined six clinical activities:

- In-depth observation of crucial cases of learning and change;
- Studying the effects of interventions;
- Focusing on pathologies and post-mortems as a way of building a theory of health;
- Focusing on puzzles and anomalies that are difficult to explain;
- Building theory and empirical knowledge through developing concepts that capture the real dynamics of the organisation; and
- Focusing on the characteristic of systems and systemic dynamics.

The six activities of clinical inquiry/research, outlined earlier, make demands on the interiority of clinical researchers in applying the general empirical method, that is to be attentive to data, to be intelligent in understanding, to be reasonable in making judgements and to be responsible in making interventions.

Ed's typology of inquiry introduced in the previous chapters on process consultation and humble inquiry forms the basis for his framework of clinical inquiry/research. The clinical researcher explores the situations through engagement in pure, diagnostic and confrontive inquiry modes. As working to be helpful is the central theme of clinical inquiry/research, pure inquiry is the key starting point and a constant focus of attention. It is the client who owns the problem and the solution and the clinical researcher must constantly be aware that the interactions in the here-and-now continually provide diagnostic information about what is going on, how the client is responding and the relationship between the clinical researcher and the client. As diagnosis and intervention are parallel and simultaneous, rather than sequential, the clinical researcher is always intervening. Everything is data. Accordingly, clinical researchers need to think out the consequences of their actions. Their interventions must seem normal and not be mysterious so that clients themselves may learn the skills of attending to their experience, testing their insights and taking actions based on their understanding.

Generating practical knowing

In Chapter 4, I named generating practical knowledge as one of the elements of Ed's scholarship of practice. The realm of knowledge in which clinical inquiry/research operates is the realm of practical knowing where knowledge is contextually embedded and there is a primary concern for the practical and the particular (Coghlan, 2016). Clinical inquiry/research seeks to generate knowledge that is practical and useful for practitioners in particular settings, and as that knowledge is contextually embedded, it is generated through collaboration with the members of the organisation in order to improve the situation as they define it. As described earlier, through humble inquiry, the collaborative process between the clinical researcher and the organisational members engages the latter in perceiving and understanding their own setting in order to use that knowledge to take action. The operations of experience, understanding, judgement and action are directed towards practical outcomes, rather than universal principles.

Clinical inquiry/research projects are situation-specific. As they are in the realm of practical knowing, they do not aim to create universal knowledge. At the same time, extrapolation from a local situation to more general situations is important. For the academic community, clinical researchers seek to extrapolate from the specific situation and offer considerations of which might be useful for other organisations, perhaps similar organisations or organisations undergoing similar types of change processes.

Ed's definition of process consultation as helping clients to *perceive*, *understand* and *act* may be reframed as generating practical knowledge as helping clients attend to their experience, have insights into that experience, make judgements as to whether the insights fit the evidence and then take action (Coghlan, 2009). Observation of clients in action and subsequent conversations between the clinical researcher and clients seek to bring out experience (through pure inquiry) test insights and form judgements about that experience (through diagnostic inquiry) and then make decisions and take action (through confrontive inquiry). Through these conversations, constructed meanings may be uncovered and tested, and action planned, taken and reviewed and learning framed.

In his reflection on the clinical approach as organisational therapy, Ed emphasised how organisations take in information, process it make decisions and enact action (what we will discuss as an adaptive coping cycle in Chapter 9) provide the lens for assessing the health of the organisation and the basis for clinical interventions in assessing how the steps are carried out (Quick & Gavin, 2000; Schein, 2013). He posed questions as to how the organisation perceives reality, how it communicates internally, its behavioural flexibility, its ability to communicate externally and internally and its ability to perceive the result of its own actions non-defensively. This systemic perspective underpins intervention work the clinical researcher may engage in at specific times, such as with individuals, teams and the interdepartmental group (Coghlan, Rashford, & Neiva de Figueiredo, 2016).

A question arises about how central terms such as "therapy", "clinical" and "pathology" are in clinical inquiry. Ed's account of his approach framed it as clinical researchers working from models of organisational health and therefore addressing pathological deviations from health. Appreciative inquiry appears to pose a challenge to this perspective. Ed's reflection was that when organisations ask for help they are admitting to a problem or an issue (Schein, 2008). While an inquiry in the mode of appreciative inquiry may be followed the underlying process is clinical.

Inquiring in the present tense

A third feature of Ed's scholarship of practice that I identified in Chapter 4 is his practice of inquiring in the present tense. Toulmin (1990) has discussed what had got lost in the move to the modern from the medieval period was a focus on the particular and timeliness. Clinical inquiry/research marks a return to the particular and a return to the timely. It takes place in real time, that is to say, in the present tense. It builds on the past, takes place in the present and seeks to create the future. Engaging in practical knowing involves being attentive to the uniqueness of the present situation (Coghlan & Shani, 2017). For the clinical researcher, the organisational situation in the here-and-now is unique although it may be familiar or appear to be a repetition of an earlier event or set of circumstances. Yet,

what occurred previously is irretrievable and obsolete and has to be revisited and modified in the light of the present unique situation. If the present uniqueness is ignored, the threat to learning and changing is obvious, such as the common perspective "We have done this before so doing it again is straightforward!" The clinical researcher catches such a barrier to inquiry and learning and may confront it. Ed's constant questioning of what is really going on in the present moment applied both to the situation, the present state of the relationship with the client and to what the clinical researcher is thinking.

Abductive reasoning

The clinical researcher is confronted by a series of observations in the present tense as the relationship develops and interventions are made in the system. There are continuing cycles of observation, interaction, questioning, action and review as the clinical researcher engages in pure, diagnostic and confrontive inquiry modes. As Ed summarised:

> [W]e don't really know what is going on and what we should do about it . . . Our job is to use our knowledge and experience to inquire intelligently and without too many preconceptions and prejudices to find out what is really going on. And in this process we maintain a clinical orientation so we can help our clients understand what is going on as well . . . We must have the skills of the effective ethnographer and the intervention skills of the effective clinician.
>
> (2010, p. 98)

Abduction is the prevalent mode of reasoning as clinical inquiry/research occurs in the present tense (Coghlan & Shani, 2021). Charles Peirce (1903) described three forms of reasoning: deductive, inductive and abductive. Deductive reasoning draws on generalisable theory to craft particular arguments, whereas inductive reasoning proceeds from particular observations to clarify more generalisable theory. Abductive reasoning produces exploratory hypotheses. As Peirce summarised, "Deduction proves that something *must* be; induction shows that something *actually is operative*; abduction merely suggests that something *may be*" (1903, p. 230). Abductive reasoning yields plausible explanations about puzzling phenomena and so it accords with the operation of insight into an experience following a question, such as What is going on?

Ed had made the case for clinical researchers to engage in first-person practice by being self-aware and self-reflective, questioning their own assumptions, biases and filters. As he said in an interview, "Listening to the other is secondary to listening to the self" (Quick & Gavin, 2000, p. 32). As we have explored in the previous chapter on humble inquiry one of the key principles is that clinical researchers access their ignorance, that is they learn to distinguish between what

they know from what they assume they know from what they truly do not know and to learn from their mistakes. As Ed remarked, "One should operate with self-insight and a healthy scepticism so that one does not misperceive what is out there to make it fit our preconceptions" (2008, p. 276). That as we've seen in the previous chapter is the foundation of humble inquiry.

Quality in clinical inquiry/research

We see in this chapter how clinical inquiry/research is focused on knowledge production as a by-product of helping rather than as a primary goal. Ed has elaborated that, because clinical inquiry/research deals with immediately observed organisational phenomena, it is more empirical than research that massages second- and third-order data (Schein, 2008). Clinical inquiry/research challenges researcher interests as the basis for research and the notion that researchers need to remain as much an outsider as possible so as not to disturb the system. In Ed's view, this is an outdated view of science and that disturbing the system is a determinant of both understanding the system and of being helpful.

How might we judge the quality of a clinical inquiry/research endeavour? As clinical inquiry/research involves collaboration between clinical researchers and clients, the field of collaborative management research provides pertinent and useful frameworks for addressing the question of how we might judge the rigor, reflectivity and relevance of clinical inquiry/research (Pasmore, Woodman, & Simmons, 2008).

I propose four dimensions for assessing quality in clinical inquiry/research and apply them to Ed's work (Coghlan, 2009).

- Clinical inquiry/research engages with real-life issues.

Ed has argued continually in his writings that clinical inquiry/research is driven by the needs of the client system and that all inquiry and action are directed to resolving or advancing the issues that have been identified by the client. As this is the realm of practical knowing, a quality dimension of clinical inquiry/research is the extent to which it engages with the real-life issues of an organisational system as identified by its leadership and members.

- Clinical inquiry/research must be collaborative.

Clinical researchers work *with* members of the organisational system, rather than *for* them or *on* them. Working to be helpful is the key starting point and a constant focus of attention. It is clients who own the problem and must own the solution. Clinical researchers need to be aware constantly that the interactions in the present tense continually provide diagnostic information about what is going on, how the client is responding and the relationship between clinical researchers and the clients.

- Clinical inquiry/research must have a reflective process.

Clinical inquiry/research works through iterative cycles of perceiving, understanding and acting. These apply to both the treatment of the issue at hand and to reflection on the clinical inquiry process itself. As clinical researchers form working hypotheses about what they think that they will hear next immediately after making an intervention, their hypotheses may be tested in consequent actions. Accordingly, there need to be constant shared processes of interpreting events, articulating meaning and generating understanding between clinical researchers and clients. As Argyris (2003) has argued, this inquiry into the process of inquiry itself is central to the development of practical knowledge. It is the dynamic of this reflection on reflection that incorporates the learning process of the clinical inquiry/research process and enables clinical inquiry/research to be more than everyday problem-solving.

- Workable outcomes and actionable knowledge.

The outcomes of clinical inquiry/research need to be workable and sustainable for the client and the knowledge generated be understood to be actionable and transportable and adaptable to other settings.

Figure 7.1 captures the essence of the epistemic and methodological process of clinical inquiry/research. It is a specification of Figure 5.1. Clinical researchers work to help clients perceive, understand and act on events that occur in

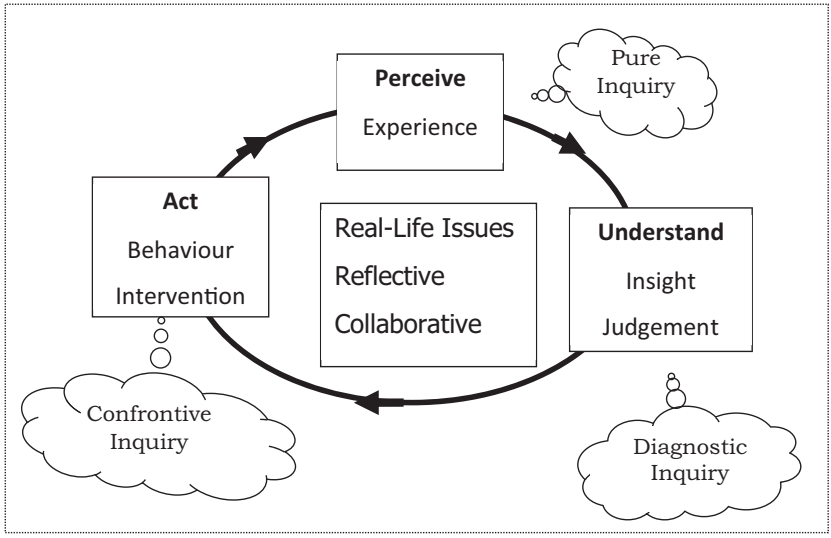

Figure 7.1 The Processes of Clinical Inquiry/Research

Source: From Coghlan (2009, p. 118)

their organisational environment. Through pure, diagnostic and confrontive inquiry, clinical researchers engage with clients to draw out their experience, their insights, their judgements and their actions in settings where things change as a consequence of intervention, and where perceptions and meanings shift as people interact and enact strategies and actions for change. The focus is firmly on acts of knowing and doing. The "here-and-now" confirmation or disconfirmation of hypotheses may be validated (a) by the participants' own experience as brought out in the reflection process and (b) by triangulation, especially what others have observed and understood. The measures of quality lie in how the participants have engaged in real-life issues, engaged in cycles of action and reflection, in the quality of collaboration, that the outcomes are workable and that they generate actionable knowledge.

Ed has provided two extensive accounts of his practice of clinical research. His work with the Singapore Economic Development Board (EDP) sought to understand the culture of this agency that spearheaded Singapore's rapid economic development (Schein, 1996b). On the basis of his academic reputation, Ed was invited to undertake an academic and critical analysis of the EDB as an organisation that had contributed to Singapore's economic success. Over a period of two years, Ed studied how the EDB was formed, its organisational structure and policies and how its leadership operated. He sat in on board meetings, interviewed relevant people both inside outside the organisation and framed the dynamics of its culture. In reflecting on the research method, Ed emphasises the interactive process between himself and the members of the EDB.

Ed was a process consultant to Digital Equipment Company (DEC) for over 25 years and his experience with the company contributed significantly to the development of his cultural framework (Schein, 2003). We saw in Chapter 2 Ed's account of how in one of his early engagements he received his insight that led to his formulation of the notion of process consultation. In his clinical work with the company, he highlighted three interdependent developmental streams: the technology stream, the organisation development stream and the organisational culture stream. In Ed's view, capturing the complex dynamics between these three streams was important as they represented how what could be managed and controlled (structural components) was deeply influenced by the technological and cultural forces that were less controllable, and so we need to understand how these influences work.

Clinical inquiry/research in relation to other research approaches

Coghlan, Shani and Hay (2019), in their exploration of the philosophies of social science in the field of organisation development and change, have argued for a conception of social science as a reflective discourse on its practice. Ed has engaged in such a reflection on practice in how he locates clinical inquiry/research in a comprehensive framework of research approaches

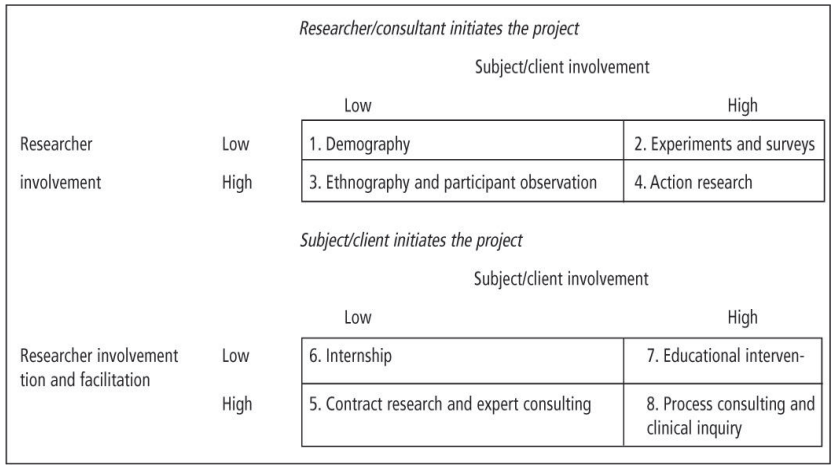

Figure 7.2 Types of Researcher/Consultant/Subject/Client Relationships

Source: *The Sage Handbook of Action Research*, 2nd ed, 2008, p. 268

(Schein, 2008). His framework of eight cells has been constructed around a high/low personal involvement of the researcher and of the subject/client (Figure 7.2).

Cell 1: Low researcher/low subject involvement: This cell is illustrated by demographic research which is data-driven and in which both the researcher and the participants have a low involvement.

Cell 2: Low researcher/high subject involvement: This cell is illustrated by experiments and surveys where the researcher sets the questions and designs the process and the subjects are heavily involved in delivering the knowledge outcomes.

Cell 3: High researcher/low subject involvement. This is illustrated by ethnography and participant observation, where the researcher is heavily involved and the subject may know little of what the observation is for and does not participate in the analysis.

Cell 4: High researcher/high subject involvement, Ed distinguishes between the clinical approach and action research (Schein, 1995). He comments that while in action research practical issues for a client are addressed the initiative may come from the researcher. In contrast, the clinical approach comes from a client requesting help. He locates action research in this Cell 4.

Cell 5: High researcher/low subject involvement. This is the situation where the subject becomes a client, designs the research agenda and hires a researcher to gather the data and issue a report.

Cell 6: Low researcher/low subject involvement. Schein sees this as a variation of Cell 5, where the client invites a postgraduate researcher to gather some data in order to learn about the organisation.

Call 7: Low researcher/high client involvement This is a situation where the consultant is invited to facilitate meetings or deliver educational programmes, such as running a seminar or giving a talk. The consultant can observe what is going on but is not licensed to influence beyond what is contracted for.

Cell 8: High researcher/high subject involvement, here Ed locates process consultation and clinical inquiry as described in Chapter 5 and in this chapter.

While Ed has not made any explicit connection, clinical inquiry research is firmly located in what Gibbons et al. (1994) have termed Mode 2 knowledge production. They describe Mode 2 knowledge as being generated in the context of application, as being transdisciplinary, reflexive, socially accountable and requiring its own quality controls. As we are exploring in this chapter, clinical inquiry/research engages with practical knowledge in the context of application to client organisations, is accountable to those organisations and demands reflexivity in the abductive process in the present tense (Coghlan, Shani, & Dahm, 2020).

Mirvis, Mohrman and Worley (2021) have focused on designing and conducting relevant research, which for them means "studying the real issues, problems, and demands facing organizations and the people that work in and manage them. It means generating knowledge that is 1) applicable to practice, 2) useful to practitioners, and 3) actionable" (p. 3). They introduced the notion of the "sweet spot" which they defined as the most favoured location or combination of factors at the intersection of theory and practice. They make the case for sweet spot research, demonstrating how it speaks to both scholars and practitioners who are interested in conceptualising and improving their actions. The notion of the sweet spot expresses Ed's philosophy of clinical inquiry/research. Practitioners are not passive objects of study but are active participants in the co-generation of relevant and practical knowledge.

In a parallel vein, as accreditation bodies have begun to emphasise impact as a key factor in assessing research, MacIntosh, Mason, Beech and Bartunek (2021) have proposed a model of impact in management research that is "processual, contextual and that incorporates different impact types that enable the actors to make choices about how they proceed" (p. 81). Their model unravels the complexity of making an impact on academia and on policy/practice in the forms of theoretical development and managerial practice. They propose that dialogue, praxis and reflexivity act as a lens to think about who is impacted and in what ways. These are characteristics of Ed's clinical inquiry/research.

Ed has posed a challenge to researchers.

> I think we need to develop a science based on good observation, that is, blended with a well-educated consciousness to make sense of what is going on and write about it so that others can replicate your experience . . . The challenge is to go see for yourself and if you see something very different write about that.
>
> (in Coghlan, 2018, p. 397)

Researcher education

Ed was consistently critical of the current thinking and structure of researcher education. He posed the question, "Why do we think that teaching graduate students statistical methods is better than teaching them how to do field observations and to analyse group behavior?" (2015, p. 16). He has expressed clear views of how researchers may be trained and suggests that, as part of their research training, organisational researchers do internships in organisations where their task is to be helpful, and that they learn observational and interviewing skills, rather than focusing on learning to analyse surveys.

> I do not wish to abandon the teaching of research as a logical process of thinking nor do I want to abandon empiricism. In fact my view of clinical research is that it is in some respects more empirical than traditional research in that it deals with immediately observable organizational phenomena instead of statistically massaging second- and third-order data.
>
> (1993, p. 707)

In response to the comment that contemporary PhD programmes do not afford their students that sort of time and put pressure on them to publish in a particular way in particular journals, Ed's counsel was to conform "and get through it as fast as you can and then afterwards do as you feel is more appropriate" (Lambrechts, Bouwen, Grieten, Huybrechts, & Schein, 2011, p. 138).

Conclusions

In this chapter, we have brought Ed's work on process consultation and humble inquiry to fruition in his notion of clinical inquiry/research. For Ed as a scholar-practitioner, process consultation, humble inquiry and clinical inquiry/research are the same activity, engaging as they do, a consultant in a relationship of being helpful to a system that is focused on enabling the client system to "perceive, understand and act" on issues that are of concern to it (Schein, 1995). It is in the process of such a collaborative inquiry undertaken in the present tense and

aiming to cogenerate practical knowledge that he conceives the relationship between the researcher as a social scientist and the system being studied. As we have been seeing across the chapters of this volume, Ed's approach is grounded in reflection on his experience as his explicit interiority consistently teaches us.

> Academic research is an intervention and, unfortunately, a lot of my academic colleagues don't accept that.
>
> (in Sashkin, 1979, p. 414)

I conclude this chapter with Ed's observation which captures the challenge he is putting to the world of organisational research.

> We are still uncertain whether we should (1) be scientific and rigorous, allying ourselves with our academic colleagues who are concerned with knowledge production or (2) be helpful, allying ourselves with our clients and with other practitioners for whom data production is secondary to learning and change.
>
> (in Reason & Bradbury, 2008, p. 697)

Questions for study and reflection

1. Where do you stand on Ed's criticism of contemporary organisational research?
2. How do you reply to the challenge he is putting in the final quote of this chapter?
3. What is your philosophy of research?

References

Argyris, C. (2003). Actionable knowledge. In T. Tsoukas & C. Knudsen (Eds.), *The Oxford handbook of organization theory* (pp. 423–452). Oxford: Oxford University Press.

Coghlan, D. (2009). Toward a philosophy of clinical inquiry/research. *Journal of Applied Behavioral Science*, *45*(1), 106–121. doi:10.1177/0021886308328845

Coghlan, D. (2016). Retrieving the philosophy of practical knowing for action research. *International Journal of Action Research*, *12*, 84–107. doi:10.1688/IJAR-2016-01

Coghlan, D. (2018). Edgar Schein at 90: A celebratory and exploratory metalogue. *Journal of Applied Behavioral Science*, *54*(4), 385–398. doi:10.1177/00218863192685

Coghlan, D., Rashford, N. S., & Neiva de Figueiredo, J. (2016). *Organizational change and strategy: An interlevel dynamics approach* (2nd ed.). Abingdon: Routledge.

Coghlan, D., & Shani, A. B. (Rami). (2017). Inquiring in the present tense: The dynamic mechanism of action research. *Journal of Change Management*, *17*(2), 121–137. doi:10.1080/14697017.2017.1301045

Coghlan, D., & Shani, A. B. (Rami). (2021). Abductive reasoning as the integrating mechanism between first- second- and third person practice in action research. *Systemic Practice & Action Research*, *34*(4), 463–474. doi:10.1007/s11213-020-09542-9

Coghlan, D., Shani, A. B. (Rami), & Dahm, P. C. (2020). Knowledge production in organization development: An interiority-based perspective. *Journal of Change Management*, *20*(1), 81–98. doi:10.1080/14697017.2019.1628086

Coghlan, D., Shani, A. B. (Rami), & Hay, G. W. (2019). Toward a social science philosophy of organization development and change. In D. A. Noumair & A. B. (Rami) Shani (Eds.), *Research in organizational change and development* (Vol. 27, pp. 1–29). Bingley: Emerald. doi:10.1108/S0897-301620190000027003

Gibbons, M., Limoges, C., Nowotny, H., Schartzman, S., Scott, P., & Trow, M. (1994). *The new production of knowledge*. London: SAGE.

Hoffman, A. J. (2021). *The engaged scholar*. Stanford, CA: Stanford University Press.

Lambrechts, F., Bouwen, R., Grieten, S., Huybrechts, J. P., & Schein, E. H. (2011). Learning to help through humble inquiry and implications for management research, practice, and education: An interview with Edgar H. Schein. *Academy of Management Learning and Education*, *10*(1), 131–147. doi:10.5465/amle.10.1.zqr131

MacIntosh, R., Mason, K., Beech, N., & Bartunek, J. (2021). *Delivering impact in management research*. Abingdon: Routledge.

Mike, B. (2014). Footprints in the sand: Edgar Schein. *Organizational Dynamics*, *43*, 321–328. doi:10.1016/j.orgdyn.2014.09.009

Mirvis, P. H., Mohrman, S. A., & Worley, C. (2021). *How to do relevant research*. Cheltenham & Northampton, MA: Edward Elgar.

Pasmore, W. A., Woodman, R. W., & Simmons, A. L. (2008). Toward a more rigorous, reflective and relevant science of collaborative management research. In A. B. (Rami) Shani, S. A. Mohrman, W. A. Pasmore, B. Stymne, & N. Adler (Eds.), *Handbook of collaborative management research* (pp. 567–582). Thousand Oaks, CA: SAGE. doi:10.4135/9781412976671.n27

Peirce, C. S. (1903). *Pragmatism as a principle and method of right thinking. The 1903 Harvard lectures on pragmatism* (P. A. Turrisi, Ed.). Albany, NY: State University of New York Press. (Original work published 1997)

Quick, J. C., & Gavin, J. H. (2000). The next frontier: Edgar Schein on organizational therapy. *Academy of Management Executive*, *14*(1), 31–48. www.jstor.org/stable/4165606

Reason, P., & Bradbury, H. (Eds.), (2008). *Handbook of action research* (2nd ed.). London: SAGE.

Sashkin, M. (1979). Interview with Edgar Schein. *Group & Organization Studies*, *4*(4), 400–417.

Schein, E. H. (1987). *The clinical perspective in fieldwork*. Thousand Oaks, CA: SAGE.

Schein, E. H. (1993). Legitimating clinical research in the study of organizational culture. *Journal of Counseling and Development*, *71*, 703–708. doi:10.1002/j.1556-6676.1993.tb02264.x

Schein, E. H. (1995). Process consultation, action research and clinical inquiry: Are they the same? *Journal of Managerial Psychology*, *10*(6), 14–19. doi:10.1108/02683949510093830

Schein, E. H. (1996b). *Strategic pragmatism*. Cambridge, MA: MIT Press.

Schein, E. H. (1997). Organizational learning: What is new? In M. A. Rahim, R. Golembiewski, & L. E. Pate (Eds.), *Advances in management* (Vol. 2, pp. 11–25). Greenwich, CT: JAI Press.

Schein, E. H. (2003). *DEC is dead, long live DEC*. San Diego, CA: Berrett-Kohler.

Schein, E. H. (2008). Clinical inquiry/research. In P. Reason & H. Bradbury (Eds.), *Handbook of action research* (2nd ed., pp. 266–279). London: SAGE.

Schein, E. H. (2010). Organization development: Science, technology or philosophy? In D. Coghlan & A. B.(Rami) Shani (Eds.), *Fundamentals of organization development* (Vol. 1, pp. 91–100). London: SAGE.

Schein, E. H. (2013). Notes toward a model of organizational therapy. In L. Vaninsa (Ed.), *Humaneness in organizations* (pp. 91–100). London: Karnac.

Schein, E. H. (2015). Organizational psychology: Then and now. *Annual Review of Organizational Psychology and Organizational Behavior*, *2*, 1–19. doi:10.1146/annurev-orgpsych-032414-111449

Toulmin, R. (1990). *Cosmopolis*. Chicago, IL: University of Chicago Press.

Part III

Core themes

Taylor & Francis
Taylor & Francis Group
http://taylorandfrancis.com

8 Coercive persuasion, social influence and education

> All managed learning situations involve coercion of some sort. The difference in outcome is a function of what we coerce.
>
> (Schein, 2014, p. 22)

Ed's earliest, and what he considered to be one of his most significant research, produced his notion of coercive persuasion. Coercive persuasion is a process of social influence whereby those seeking to influence others control the social environment and the interactions between the targets of influence. Coercive persuasion is a central construct that runs through much of Ed's work on helping, learning and change. This chapter introduces how Ed, as a clinical psychologist in the US Army, was sent to assess how American prisoners of war (POWS) had been indoctrinated in Korea, and how he brought his research to organisational socialisation and management development and education. We can catch how his first-person practice engaged with his second-person practice with the POWs and generated his third-person theory of coercive persuasion.

As we explained in Chapter 2, during the Korean War (1950–1953), stories of indoctrination and brainwashing of US American prisoners of war by the Chinese were circulating and rumours of soldiers collaborating with the enemy were disturbing. The US military authorities decided that, rather than flying repatriates back to the United States, they would transport them by ship and during the 16-day voyage would engage them in mental health assessments, counselling and therapy. Accordingly, teams of psychiatrists, psychologists and social workers were assigned to this task. As a member of the Medical Service Corps, Ed was sent to Korea to engage in this process.

On arrival in Korea, Ed learned his ship was delayed for three weeks and he had nothing to do. He reported:

> Suddenly, I had an opportunity to study a case of social influence. I could see that the repatriates being processed had very little to do except to wait for their ship, so I set up a little interview station, randomly pulling individual

DOI: 10.4324/9781003366355-11

This chapter has been made available under a (CC-BY-NC-ND) 4.0 license.

> repatriates out of the end of the processing line and asked them to tell me about their experiences.
>
> (Schein, 2016, p. 108)

From his learning from David Rioch's maxim, "If you want find out something, don't ask about it", Ed asked them to tell him the stories of their imprisonment in the mode of "tell me what happened the day of your capture". From these interviews and the subsequent engagement with the repatriates on the 16-day ship voyage back to the United States, Ed learned how very sophisticated techniques for manipulating the prisoners, controlling information and using cellmates, who unbeknownst had already confessed, as apparent friendly persuaders were employed (Schein, 1956). He described how the Chinese prison guards welcomed the prisoners with greetings of "Congratulations. You've been liberated". While physical conditions in the camps were harsh, what was notable was a systematic approach to creating attitude change, through the removal of supports, such as controlling communication from the outside world, undermining rank and friendships, splitting up groups that might form and having informers and spies. There were direct and indirect attacks on the prisoners' beliefs, values and attitudes through brainwashing (literally the washing of the brain as a critical process of liberation) by means of a constant presentation of propaganda in lectures and reading material and also through interrogations and written assignments where prisoners copied the content of the lectures which could be shown to other prisoners as evidence of changes of attitude. Under conditions of extreme fatigue, prisoners were forced to write "confessions" and read them to their comrades. Rewards and punishments accompanied these processes.

Framing a theory of coercive persuasion

Ed termed this Chinese approach "coercive persuasion" a term that expressed its socio-psychological dynamics. At the heart of the Chinese prison guards' approach was that by controlling the situation where the prisoners were physically constrained (they could not leave) and where those they thought to be companions but who had actually confessed the prisoners would eventually come to understand the view of their captors and would accept them as their own. This he points out is in contrast to the Russian approach which was based primarily on physical punishment in a Pavlovian reinforcement model and which challenges simplistic notions of brainwashing (Schein, 1956).

In 1961, Ed published a comprehensive account of his study of the Korean prisoners of war and his emergent theory (Schein, Schneier, & Barker, 1961). He and his co-authors constructed a theory of coercive persuasion, drawing on and elaborating on Lewin's (1947/1997) field theory which is an approach to understanding groups as a complex picture of dynamic forces that affect both the group and individual behaviour. For Lewin, a field exists in a state of quasi-stationary

equilibrium held together by forces that push for stability and ones that push for change. Ed and his co-authors elaborated and described how the underlying assumptions are that an individual's beliefs, attitudes, values and behavioural patterns tend to be organised and integrated around a person's self-concept or self-image. This self-concept is maintained and stabilised in the face of forces for change unless the forces of influence are seen as a change in the direction of greater integration. This integration is in dynamic equilibrium as forces for change from external and internal events push for or pull away from change. In everyday living, there are many forces for change that are too small or insignificant to affect the equilibrium and individuals adopt compensatory mechanisms to preserve their equilibrium. Ed's conclusions are that an individual cannot be influenced to change unless the balance of forces is sufficient to upset the equilibrium and that change occurs over time and comprises identifiable stages or steps: unfreezing, changing and refreezing.

Applying Lewin's change framework (which we will explore in Chapter 9), Ed and his co-authors showed how the situation as set up by and the methods of indoctrination used by the Chinese guards described above acted as a social influence to create change. The removal of supports and the attacks on the beliefs, values and attitudes of the prisoners acted as what Lewin called "unfreezing" forces. The stage of "moving", in Lewin's terms, focused on a redefinition of identity that occurred through confessing and the rewards of having confessed. Stabilisation or "refreezing" in Lewin's terms occurred through accepting the new identity with the support of cellmates and rewards within the prison camp system.

In summary, Ed's account of coercive persuasion is of a process of physical and psychological unfreezing, how the unfreezing forces changed some of prisoners' beliefs and attitudes towards themselves and the Communists and how some made a sincere confession in the manner desired of them by the Communists.

Management development and organisational socialisation as coercive persuasion

As recounted in Chapter 2, in 1956, Ed made a life-changing decision to accept a position at MIT. He was encouraged by McGregor to bring his insights on coercive persuasion to the field of organisations and management. Ed began to focus on the ways organisations exercised social influences in how they socialise and develop their employees. Drawing on examples from large companies which had strong cultures, such as IBM, and from the formation of religious sisters (he provides an extensive discussion of the process from Hume's (1956) *The Nun's Story*), he explores how these organisations controlled the learning environment so as to unfreeze current attitudes, changed and refreeze the new attitudes desired by the organisation (Schein, 1961, 1999).

In what I see as a radical and provocative article, titled "Management development as a process of influence", Ed brought his understanding of coercive

persuasion to the area of management development and organisational socialisation (1961). Organisational socialisation is the process whereby a new employee learns the value systems, norms and required behaviour patterns as what is important in the organisation. In posing the question as to how organisations can influence the beliefs, values and attitudes of employees in order to develop them in the organisation's best interests, Ed presented his model of influence and change developed from his research with the prisoners of war. This model is founded on the assumption that the individual must see the need for change in themselves, and thus he argues that the model must account for the creation of the motivation to change as well as the actual mechanisms used. While having a readiness for change in the areas of skill development may be easily acknowledged, creating a change in attitudes that imply a review of the individual's self-concept or established relationships may be resisted. Ed brought his elaboration of Lewin's change phases of unfreezing, changing and refreezing to bear. Individuals may unfreeze by increasing the pressure to change or by reducing the resistance. They change through identifying with an individual who exemplifies the new attitudes or by internalising through being placed in situations where they cannot but learn them. Change is refrozen through being integrated into the self-concept and continuing significant relationships. Ed excluded forcing change through reward–punishment approaches from his model as they promote compliance rather than internalised attitude change.

It is in the illustrations and applications of his model that I find Ed to be his most provocative in this article. He contrasted the process of becoming a nun with the Chinese practice of isolating prisoners, depriving them of their individual characteristics (names, rank, clothing and friends) and controlling the social environment. He drew parallels and contrasts with the socialisation processes of IBM and General Electric who took their new recruits to isolated retreat centres for intensive training into the values of the company. He discussed how less elaborate organisational methods for management development such as human relations training courses, job rotation and career development demonstrate how unfreezing, changing and refreezing mechanisms are enacted as coercive persuasion. In a later article, Ed reflected on socialisation processes in the MIT Sloan School of Management, both his own experience when he joined the faculty and the socialisation of students (1968). He caught, as we saw in Chapter 2, that, when he asked McGregor for advice on approaching his social psychology course and for Bavelas' notes, he was told to make up his own mind and design his own course. Ed reflected that he learned about the School's value system, as well as how to organise a subject and became so socialised by those early experiences that no one can now get him to coordinate anything with anyone.

Organisational learning as coercive persuasion

The notion of organisational learning had not emerged as a focus for research and application in the early 1960s. In 1999, Ed revisited his work on coercive

persuasion and explored it in the light of familiar concepts of organisational learning (1999). He took two perspectives – organisationally driven learning and individually driven learning. Regarding the former, he located organisational processes such as empowerment and adopting a new culture as forms of socialisation and indoctrination and as coercive persuasion if employees feel they cannot leave the learning situation due to career constraints. Regarding the latter, creativity, role innovation and generative or double-loop learning might be a challenge or threat to the organisation's mindset. After providing a summary of the main tenets of his coercive persuasion research on the prisoners of war, Ed posed the question as to whether individual-driven generative learning is fundamentally different from or contains subtle processes of coercive persuasion. In my view, Ed's exploration of his answer to this question provides a rich insight into his interiority as a scholar-practitioner.

At the heart of his answer to the question is whether individuals feel a sense of freedom and choice about what to learn and have the freedom to leave the situation if they choose to do so. Taking the example of empowerment, Ed has asked if the employee feels like being empowered or feels coerced into being empowered. Or in the case of an organisational redesign where a hierarchical structure is being dismantled in favour of a flat or team-based process-focused structure, managers who were successful in the former structure and whose self-concept was built in those terms of success may feel strong resistance to what they perceive to be coercion. If new ways of working are being presented as a culture change and necessary for the organisation's growth or survival, then the coercion to adapt new thinking and behaviour is akin to what occurs in a prison, although, of course, the coercion is not as strong. At times of downsizing and acquisitions change programmes are likely to be experienced as coercive. As generative or double-loop learning is considered to involve new ways of thinking, new attitudes and new behaviour, it requires cognitive redefinition. Ed has suggested that, if the organisation wants generative learning from its employees, then it needs to create a sense of psychological safety to support the disconfirmation that is being evoked so that the employees may unfreeze and engage in a cognitive redefinition and change. We will explore this topic further in Chapter 9.

Mirvis (2023) has recounted how Ed and he engaged on Mirvis' learning history work with Unilever's executives by bringing them to remote locations where they explored these environments and their meaning for Unilever's business and engaged in deep personal sharing and collective dialogue (Mirvis, Ayas, & Roth, 2003). Ed reflected:

> The story . . . should remind us that it is pointless to condemn "manipulation" or even "brainwashing" until we have understood just exactly what happened and for what purposes. By coercive persuasion, I mean simply that many efforts to educate or indoctrinate occur in a context in which it is physically, socially, or psychologically difficult to leave. In other words, the education or persuasion is directed at a basically captive audience. When we take

> groups into remote environments, we are de facto creating such a situation; all institutions engage in this form of education all the time. The learning that occurred in training groups in two- or three-week workshops at Bethel, Maine, fitted this concept, just as well as the formal indoctrination that takes place in a variety of company sponsored "training" programs . . . Hence we must always ask the tough questions: (1) coercive persuasion for what ends? And (2) coercive persuasion at what price?
>
> (Mirvis, 2023, p. 227)

Mirvis noted how at first he chafed at Ed's challenge that he was engaged in coercive persuasion and how he might be doing so in his consulting work and gave him pause for thought. He noted Ed's further comment, which I see as an invitation to interiority.

> I think readers should study carefully what is being done here and examine their own feelings about it before making any glib judgements as to whether this is admirable or appalling . . . the answer to this question is in the goals of the program and the details of how it worked.
>
> (Mirvis, 2023, p. 227)

Coercive persuasion in education and learning

Ed has offered a challenging perspective on education and learning.

> So it is time to reflect on just what is the process of education and learning all about. The *first* issue to consider is *whose agenda* is driving the process that creates the teaching/learning relationship. When, as professors and consultants, we went out to give talks to companies it was the client who usually specified both the *content* of what the talk was to be about and the *process* of delivery, the location, size of audience, and length of time. "Come and give a lecture on current models of leadership or communication or group dynamics". The client sort of knew what he or she wanted and we were to fit our content and process into an organizational model of what, from the client's perspective, people were supposed to learn. In the same vein, the client often suggested exercises, break-out meetings and other processes that were then jointly designed by the teacher and the client for the learner and were then imposed on the learner group.
>
> (Unpublished Memoirs)

Ed has brought a synthesis of his learning about influence and coercion to the context of teaching and adult learning (2014). Through an explicit use of interiority, he described his childhood educational experiences and how in learning to become an experimental social psychologist at Stanford he was exposed to the process of controlled experiments. At Harvard, he came to see how different

forms of coercion could be applied. He related how his exposure to T-groups transformed his thinking about learning. Here he caught how the low structure setting where the "teacher" did not teach and where attention to the here-and-now dynamics of the group produced meaningful learning for the participants.

> This suggests further that the teacher, in whatever guise, must be transparent in terms of what the learning process will involve, which is all well and good if the social and psychological dynamics can be adequately communicated to the potential student. What happened with the introduction of experiential education is that none of us really knew in the beginning what we were getting into. Reading the brochure about the Bethel Human Relations Workshop could not possibly have described what it first felt like in the initial silence of the first T-Group meeting. And when the staff member kept saying nothing, one wondered on what one had squandered one's money or, worse, did not know what to do with one's growing anxiety.
>
> (Unpublished Memoirs)

With respect to the topic of influence and coercion in educational and learning settings, Ed has pointed out that all managed learning situations involve some form of coercion or other. What makes the difference, in his view, is not so much how much coercion is used but what is coerced. In the traditional technical rational settings, the teacher controls both the environment and the content by presenting it to the student who attend lectures and passively receive the teacher's material (Schein, 1972). The teacher evaluates students' performance through testing and grading. In experiential learning settings, the teacher creates the conditions for personal and interpersonal learning for which the student takes responsibility through participation. The aim is to help students learn how to learn. Ed reflected:

> What are the implications of specifying or at least encouraging certain kinds of content and being coercive about the process? Is that de facto coercive persuasion as would be seen in military academies, religious orders or cults, or does this identify yet another model because the client can walk away while the prisoner cannot. How much do social commitments, financial and emotional investments, and the personal decisions to participate become as coercive as physical restraints? In these activities, have we slipped from education to training and indoctrination?
>
> (Unpublished Memoirs)

In his Memoirs, Ed reflected on a course he taught in MIT. Here he showed how some elements of the course were coerced, that is weekly attendance and assignments, while what the students pursued for their learning was their choice. While Ed seems to struggle with elements of his course that were coerced and others that were not, I think that he is missing an overarching framework that could

enable him to hold the tensions between coercion and noncoercion. Coghlan and McIlduff (1990) distinguished between scales of structuring and of directing. "Structuring" as an intervention refers to *what* teachers do with regard to structure (along a continuum from high to medium to low structure), while "directing" reflects *how* they use structure (along a continuum of imposing it in a directive manner to a nondirective manner in which participants adopt their own learning programme and process). As Coghlan and McIlduff argue, structuring–nonstructuring and directiveness–nondirectiveness may be plotted in relation to one another so that a particular behaviour may be located on a grid. A course may have a degree of structure (what is required of participating students) and how it is enacted may be through varying degrees of directiveness.

Humble education

While Ed did not develop his application of humble inquiry to the teaching setting, Otto Scharmer (2019) did. He reflected on his experience of being a participant in Ed's managing change course (described in Chapter 2) and later co-teaching it with Ed. Scharmer identified nine principles from his learning of how Ed created a learning environment for his students: (i) putting the learner in the driver's seat of change, (ii) turning the educator into a process consultant, (iii) using the power of dialogue by making the student see herself; (iv) always deal with reality, (v) always try to be helpful, (vi) access your ignorance, (vii) everything you do is an intervention, (viii) everything you experience is data and (ix) go with the flow. Scharmer formulated his synthesis of these elements in Ed's teaching into a methodology, which he expressed as follows:

- The *feet:* keeping us grounded by dealing with reality and always trying to be helpful
- The *head:* guiding us by accessing our ignorance
- The *hands*: interconnecting us by viewing everything we do as an intervention and everything we experience as data
- The *heart*: integrating the above by learning to go with the flow

For Scharmer, this is a living methodology for building learning relationships that we explored in Chapter 6 and provides an insider perspective on how Ed handled the challenge of coercive persuasion in his course.

Creating the theory of coercive persuasion

As Ed listened to the accounts of the prisoners' experience of imprisonment he received insights into the sophisticated manipulative techniques used by the guards which he framed as coercive persuasion. He developed his understanding in terms of Lewin's change model and extended it in socio-psychological terms to frame a model of learning and change. He confirmed his model in

organisational change, management development, organisational socialisation and learning, teaching and learning settings.

As we explored in Chapter 3, the act of theorising or model creation focuses on the act of theory generation itself. It places the issue firmly in the question, "How do we come to know?" As outlined in Chapter 4, each act of knowledge of reality comprises questioning experience, understanding, critically reflecting and coming to judgement, a process through interiority, that is where we are attentive to how we come to know. By attending to both the data of their consciousness (how they are experiencing, questioning, understanding and judging) as well as to the data of sense (what they see and hear in the external data), scholar-practitioners researchers can engage with the empirical data of their experiencing, the intellectual data of their understanding (by abductive reasoning in the context of discovery) and the rational data of their judgements (by inductive reasoning in the context of verification). Table 8.1 expresses the basic steps of Ed's development of his theory of coercive persuasion.

In constructing his theory, Ed (Schein, Schneier, & Barker, 1961) articulated three basic purposes.

1. It would provide a theoretical structure that would permit the organisation of the many and varied experiences through meaningful categories.
2. It would provide theoretical categories that would make it possible to understand the coercive persuasion process and its effects.
3. It would provide some basic categories for a more general theory of social influence.

Table 8.1 Structure of Schein's Cognitive Process of Creating the Model (Coghlan, 2021)

Operations of Human Knowing	*Questions*	*Schein*
Judgement	Is it so? How do I know it is so?	Persuasion model observed and affirmed in other settings, such as management development, organisational socialisation, adult teaching and learning
Understanding	How do I understand what is happening?	• Insight into sophisticated manipulation techniques • Application of Lewin's change model • Extension of Lewin's change model in terms of socio-psychological processes • Articulation of model of learning and change
Experience	What happened/is happening?	Prisoners' accounts of their imprisonment

Ed's model of the socio-psychological dynamics of coercive persuasion fulfils the purposes it was designed to do. Going beyond the specific context of the prison camps, it provides a structure for understanding how people respond to forces driving change and are enabled to unlearn and reduce restraining forces, change and achieve an appropriate level of sustainability. It provides theoretical categories for understanding the particular dynamics of learning and changing and a structure for Ed's theory of coercive persuasion. The topic of change will be discussed in more detail in the next chapter.

Conclusions

Ed's account of how he developed this understanding of coercive persuasion provides insight into how he developed it as a theory. His experience of the prisoners' accounts of their imprisonment gave him insight into sophisticated manipulation techniques that were operative in the prison camps. Through the process of abduction, a further insight was his application of Lewin's change model and how he extended it in terms of socio-psychological processes of influence. Ed's research into the experience of the prisoners of war and his construction of the theory of coercive persuasion is his earliest, and what he considers to be one of his most significant, research. Coercive persuasion is a central construct that runs through much of his subsequent on helping, changing, education and learning. He notes how this learning fed into his consulting work where in an early consulting experience he learned how his initial interventions were attempting to indoctrinate his clients into an imposed way of working and he switched to being more helpful to what the clients needed (recounted in Chapter 5).

Ed has been unequivocal about the process of social influence and has explored it in the contexts of the exercise of leadership, consulting, organisational learning, management development and education. He has marked out coercive persuasion as a particular form of exercising influence, which while evident in the coercive setting of the POW camp and in psychiatric prisons, naming it as a force in the classroom is provocative. Ed's solution, as we have seen in the previous chapter, is to move beyond Level – Minus One to creating Level Two relationships, as caught by Scharmer's experiences of Ed as a teacher (Scharmer, 2019). In the next chapter, I will expand on Ed's Lewinian work and explore his work on organisation development and change.

Questions for study and reflection

1. What insight into your work does Ed's notion of coercive persuasion evoke?
2. In your efforts to be helpful to clients in consulting how might you exercise social influence in a Level Two relationship manner?
3. If you engage in teaching at any level, how might you design and implement a learning environment that minimises coercive persuasive dynamics?

References

Coghlan, D. (2021). Edgar Schein on change: Insights into the creation of a model. *Journal of Applied Behavioral Science*, *57*(1), 11–19. doi:10.1177/0021886320924029

Coghlan, D., & McIlduff, E. (1990). Structuring and nondirectiveness in group facilitation. *Person-Centered Review*, *5*(1), 13–29.

Hume, K. (1956). *The nun's story*. New York: Pocket Books.

Lewin, K. (1947). Frontiers in group dynamics. *Human Relations*, *1*(1), 5–41 (Reprinted in Lewin, K. (1997). *Field theory in social science* (pp. 301–336). Washington, DC: American Psychological Association].

Mirvis, P. H. (2023). Career anchors, Edgar Schein and me. *Journal of Applied Behavioral Science*, *59*(2), 223–231. doi:10.1177/00218863231161360

Mirvis, P. H., Ayas, K., & Roth, G. (2003). *To the desert and back: The story of one of the most dramatic business transformations on record*. San Francisco, CA: Jossey-Bass.

Scharmer, C. O. (2019). The humble educator: Key principles. In G. Fazter, J. Van Maanen, D. C. Schmid, & W. G. Weber (Eds.), *Edgar H. Schein: The spirit of inquiry* (pp. 41–46). Innsbruck: Innsbruck University Press.

Schein, E. H. (1956). The Chinese indoctrination program for prisoners of war: A study of attempted "brainwashing". *Psychiatry*, *19*(2), 149–172. doi:10.1080/00332747.1956.11023044

Schein, E. H. (1961). Management development as a process of influence. *Industrial Management Review*, *9*, 1–15.

Schein, E. H. (1968). Organizational socialization and the profession of management. *Industrial Management Review*, *2*, 55–77.

Schein, E. H. (1972). *Professional education*. New York: Wiley.

Schein, E. H. (1999). Empowerment, coercive persuasion and organizational learning. Do they connect? *The Learning Organization*, *6*(4), 163–177. doi:10.1108/09696479910280622

Schein, E. H. (2014). The role of coercive persuasion in education and learning: Subjugation or animation? In A. B. (Rami) Shani & D. A. Noumair (Eds.), *Research in organizational change and development* (Vol. 22, pp. 1–24). Bingley: Emerald. doi:10.1108/S0897-301620140000022001

Schein, E. H. (2016). *Becoming American*. Bloomington, IN: iUniverse.

Schein, E. H., with Schneier, I., & Barker, C. H. (1961). *Coercive persuasion*. New York: W.W. Norton.

9 Organisation development, change and changing

> In answering the question . . . is OD a philosophy, a technology or a science . . . I hope I have been able to convince you is that it is primarily a philosophy, a perspective, a point of view toward human systems and human problems. However, in forcing our clients and the practitioners we work with to focus more on the process by which human affairs are handled, we are being eminently scientific. Not scientific in the now outmoded model of the old experimental physics but on the careful observation of the effects of one's own actions on the human systems we deal with.
>
> (Schein, 2010, p. 100)

In this chapter, I explore Ed's writings on organisation development (OD), change and changing as his first-, second- and third-person practice. His joint-editorship of the Addison-Wesley OD series and his own books in that series, his numerous reflections on the field of OD and his elaboration of Kurt Lewin's famous three-step change model are well-established and often cited. What is less known is his framing of organisational health in terms of an adaptive coping cycle which expresses a cycle of continuous coping and adapting as information is received into an organisation, processed and transformed into outputs. This chapter explores Ed's considerable contribution to our understanding of the process of organisational change as formulated in the theory and practice of OD.

Ed's writings on OD and the process of changing are replete with expressions of his interiority as not only has he presented the outcomes of his research and practice as a change consultant but also shared his thinking as he engaged with change. One particular paper (Schein, 2010) which I will discuss in this chapter challenged me to examine my thinking and to engage in interiority as to how I was learning from this paper (Coghlan, 2017). Accordingly, the invitation to readers in this chapter is to attend to your own assumptions about change and changing in engaging with Ed's work on this topic.

As an introduction to the subject of organisational change, I point to a foundational question. In a reflective article, Ed posed the question as to whether changing organisations is actually about changing people in organisations as

DOI: 10.4324/9781003366355-12

This chapter has been made available under a (CC-BY-NC-ND) 4.0 license.

organisations are the social constructs of those people who find, manage and work in them (Schein, 1973). Through a reflection on the evolution of social institutions and how they survive and develop through several generations of membership and how individuals and groups are socialised into organisational culture and subcultures, he argued that, by thinking of how people participate in formal and informal systems and engage in recurring patterns of relationships and behaviour, a workable theory of organisational change is achievable.

Organisation development and change

Golembiewski (1989) located Ed as being in the second generation of OD scholars, alongside Chris Argyris, Richard Beckhard, Warren Bennis and others who were the direct recruits of the founders such as McGregor, Benne and Ronald Lippitt who had worked with Lewin. In his *Organizational Psychology*, Ed linked the emergence of OD to the understanding of organisations as dynamic coping systems and to concepts of how such systems might be changed (1980).

In the mid-1960s, the publishers Addison-Wesley approached MIT professors, Ed, Warren Bennis and Richard Beckhard for a book on OD. The three of them had collaborated on editing a book of McGregor's papers (McGregor, 1966). Addison-Wesley sought to develop the theory and practice of what was an emerging field. Beckhard (1997) has reported how, in their response, Ed, Bennis and himself proposed a series of paperbacks, rather than a single textbook, in order to allow scholars and practitioners to speak for themselves in presenting their approaches. Under their editorship, six books to launch the series were issued in 1969, one of which was Ed's own *Process Consultation* (1969). He later added three revisions (1987, 1988, 1999a) and one on career dynamics (1978). We have explored the topic of process consultation in Chapter 5 and will discuss Ed's work on career dynamics in Chapter 10. Over the following 30 years, over 30 books by many of the leading OD scholars were published in the series with Ed and Beckhard as series editors.

In 1997, Ed provided this definition of OD:

> OD is a long range programme of planned change, designed to build organizational effectiveness and health by programmes which are coordinated from the top and involve the entire organizational unit and which involves behavioural science concepts and activities such as teambuilding, reduction of interpersonal conflict and intergroup conflict, improved information flow across the entire organization and across the organizational-environment boundary, improved use of human resources and the development of such resources for long range effectiveness, goal setting and decision making for maximum effectiveness of implementation and so on.
>
> (1997b, pp. 13–14)

This definition is similar to other definitions such as by Burke (1987, 1994) and Cummings and Worley (2008). Yet it never featured in Ed's subsequent writings and, as the next section explores, illustrates Ed's interest in engaging with OD's underlying assumptions. As Warner Burke remembers:

> When I delivered my manuscript of *Organization Development: A Normative View* (Burke, 1987) I received a quick response from Ed. He was upset. He did not think that OD should be defined and practiced normatively, that is, with a particular objective in mind. My argument was a "cultural" one. First, OD is about change. Second, the change should be focused on culture. Without change in some aspect(s) of an organization's culture, for example, norms, OD will not have occurred and therefore change would not have been realized. Ed's view maintained that OD was contingent and situational. We went back and forth and finally, Ed agreed that I could leave my view as normative but I needed to provide in the Preface that he and I did not agree, and that I could hold my view and in the end let the reader decide. With my second edition (Burke, 1994), I changed the subtitle to *A Process of Learning and Changing*. Ed liked this change.
>
> (Burke, 2023, p. 220)

OD as a science, a technology or a philosophy

In an address to the Organizational Development and Change division of the Academy of Management in 1989, Ed posed the question as to whether OD is a science, a technology or a philosophy (2010). He pointed to Lewin's work as the taproot of OD and he grounded Lewin's work as being rooted in the practical social science that Lewin practiced. He reflected that, for Lewin, it was not enough to try to explain things; one also had to try to change them. This insight, in Ed's view, led to the development of action research and the powerful notion that human systems could only be understood and changed if one involved the members of the system in the inquiry process itself. The tradition of involving the members of an organisation in the change process which is the hallmark of OD originated in a scientific premise that this is the way (a) to get better data and (b) to effect change. He reflected that what "created OD was a combination of a new inquiry approach based on a willingness to gather data in the field by non-traditional methods, with the vivid concerns of a set of practitioners who wanted to improve organizations" (2010, p. 93). Ed's conclusion in 1989 was that OD had been a quiet revolution but it had lost its ability to see itself as a philosophy, a paradigm for thinking about the complexities of change in human systems. In a more contemporary reflection, Schein and Schein (2018) have pointed to OD's role in the context of high-performing teams, artificial intelligence and the changing nature of work and the new leadership. They argue for a revival of valuing group dynamics to enable joint learning in complex multidisciplinary cross-cultural teams and groups.

In that 1989 address, Ed pointed to what he saw as four corrupting forces to this philosophy. The first was the creation of action research technologies or techniques such as experiential exercises and surveys that are widely used but with the underlying assumptions behind their use getting lost. The second corrupting force was the drive to create saleable products which spawned a generation of OD practitioners who used these packages such as team building, survey feedback and so on again without recognising the assumptions underlying them. In a later paper, Ed railed against a postal survey asking him to tick a questionnaire as to how often he used such techniques as team building, role mapping, the confrontation meeting and others and to rate their effectiveness (Schein, 1990). He reported how his irritation with this questionnaire was that it was reducing OD to a set of techniques and was corrupting the "grand vision of OD". The third corrupting force that he named was the drive to become more scientific in terms of the traditional psychological research model that seeks to reduce complex ideas to what can be measured. For Ed, the reduction to measurement lost the assumptions underlying OD. We explored his approach to research in Chapter 7. The fourth corruption was what he referred to as the tendency in the American culture to look for active solutions and so activity becomes equated with effectiveness.

In this address, Ed did not reflect on OD as a science, a technology and a philosophy as a detached observer or as the outcome of a traditional empirical research process, but rather through his interiority as an engaged OD scholar-practitioner. He was explicit that he was sharing his personal observations and intuitions and that these observations were a product of his biases. By showing his train of thought, that is how he came to judgement from his understanding which came from questioning his experience, he was demonstrating his interiority.

Dialogic organisation development and learning history

Two contemporary expressions of OD that have developed over the past 20 years have been dialogic OD and learning history. Ed engaged with both approaches.

Dialogic organisation development

In 2009, Gervase Bushe and Bob Marshak explored the emergence of new forms of OD in the postmodern world and framed classical OD as "diagnostic OD" where reality is an objective fact and diagnosis infers collecting and applying data and using objective problem-solving methods to achieve change to an articulated desired future (Bushe & Marshak, 2009). As an alternative, they proposed what they called "dialogic OD", where organisations are viewed as meaning-making systems, containing multiple realities, which are socially constructed and where OD is fundamentally about changing the conversation in organisations by surfacing, legitimating and learning from multiple perspectives

and generating new images and narratives on which people can act. In the Foreword to their *Dialogic Organization Development* volume, Ed reflected on the framing of dialogic OD and on its origins in his experience (2015). He pointed to the strands of both expressions in the development of OD, citing, for example Blake and Mouton's GRID OD as diagnostic OD and his own work on process consultation and dialogue as dialogic OD. He supported the dialogic orientation in the less predictable and more culturally interdependent world where problems can only be addressed adaptively

Learning history

Learning history is an innovative approach to presenting organisational change research that emerged at the turn of the century (Gearty, 2023). Its distinctive feature is that it is not presented in the conventional manner as framed by an author but rather as a "jointly told tale" whereby participants' voices (i.e. senior executive, employee and former manager) are juxtaposed with that of the researcher (learning historian). Readers of a learning history readers are invited to explore the story without an author's directing synthesis and to reflect on what they are reading. Ed commented on the process of the learning history itself and reflected on how the learning history is both research and intervention and how the presentation of the learning history can be viewed for reliability, validity and applicability (2000). He also considered the nature of transformational change and noted how multiple levels of change, such as organisational structure, business practice and organisation behaviour through psychological development and interpersonal relationships must take place concurrently.

Reflections: The Journal of the Society for Organizational Learning

The Society for Organizational Learning (SoL) was founded in 1997 with the aim of creating a forum for researchers, consultants and practitioners (reflective managers) to build bridges across each other's domains and create dialogue. A journal, *Reflections*, was created, with Ed, assisted by Karen Ayas, as editor of the first four volumes. It aimed to be a forum for nurturing conversations among these diverse communities of practice by drawing from each community and communicating meaningfully with each one. Each article was accompanied by a commentary from the perspective of the other communities and the journal's editorial board reflected the shared purpose. Ed wrote in the first editorial:

> We will create a journal that is somewhat different in that it will try to draw materials from each community and try to speak meaningfully to each community.
>
> (Schein, 1999b)

Ayas (2023) reflected on their collaboration:

> Part of the journey was embracing the freedom to innovate and finding ways to involve the readers – not unlike artists who engage their audience to participate . . . We experimented with stimulating dialog by bringing in a very diverse group of people, juxtaposing articles from different constituencies and facilitating commentaries from different groups letting readers discover that everyone can contribute. "Presenting learning concepts in accessible language is a rarity" commented one of our readers.
>
> (p. 2011)

Regrettably, Ed has not discussed his engagement with SoL and *Reflections* in his Memoirs or in interviews with him so we do not have expressions of his interiority on what Ayas reports as "what he considers to be one of the high spots of his career" (2023, p. 210). Nonetheless, in his engagement with *Reflections,* we see Ed's creativity in establishing this unique forum for diverse communities to participate.

Information technology

In the mid- and late-1980s, the MIT Sloan School of Management faculty engaged in a series of seminars on the subject of management in the 1990s from which several publications were issued, notably Scott-Morton (1991) and Allen and Scott-Morton (1994). Ed participated in these seminars and his output reflected his research and thinking about management, organisational culture and information technology (1990, 1992).

In a reflection on innovative cultures in organisations, Ed grounded his assumptions in socio-technical thinking and explored how cultural assumptions about IT, organisational processes and organisational structure enable or inhibit synergy between culture and IT (1990). Ed conducted research on the role of CEOs in the management of change, with particular application to information technology (1992). From the results, he created a taxonomy of generic CEO behaviour in terms of his change model (discussed in Chapter 9) where the CEOs act as disconfirmers, inducers of anxiety, creators of psychological safety in the unfreezing processes, role models and process consultants in changing processes and reinforcers in refreezing processes. In terms of information technology CEOs could have a vision to automate, to informate and to transform. In implementation, they could be delegating sceptics, hands-on adopters or positively focused. While the world of information technology in organisations has moved on since the late 1980s, the problems of the divide between techno-centric and people-centred approaches endure (McDonagh, 2022). Ed's research and reflection on the cultural assumptions with regard to IT and the role of the CEO in IT-driven change, while not often cited, continues to be relevant.

Developing a model of change

As we have explored in Chapters 2 and 8, Ed's conceptual foundations of his notion of coercive persuasion and social influence emerged through his work with the prisoners of war and were rooted in Kurt Lewin's social psychology. Ed reflected on the lessons he had learned from his work on coercive persuasion which he brought to the field of organisational change (Schein, 2005). Group and organisational forces are stronger than individual forces. Change needs to be distinguished from new learning in that it implies some unlearning which may be difficult and painful. Change begins with disconfirmation, that is some upsetting of the quasi-stationary equilibrium. Motivation to change does not arise until the change target feels secure enough to accept the disconfirmation and feels psychologically safe and can accept a new attitude or value without a loss of a sense of self. Once individuals feel psychologically safe, they can accept new information through identification with others or scanning the environment for new information. Change then occurs through cognitive redefinition. The more ambitious the situation, the more the individual will rely on the judgement of others. New concepts and attitudes will not survive unless they are socially and personally confirmed and reinforced.

I now backfill these lessons and frame them as the Lewin-Schein socio-psychological model of change, beginning with Lewin's change theory.

Lewin's change theory

In the main sources that introduced his change model, Lewin grounded it in his field theory and the dynamics of groups (1947/1997, 1948/1999). Field theory is an approach to understanding groups as a complex picture of dynamic forces that affect both the group and individual behaviour. A field therefore exists in a state of quasi-stationary equilibrium held together by forces that push for stability and ones that push for change. He wrote:

> [A] planned change consists in transplanting the force field corresponding to an equilibrium at the beginning level L1 by a force field having its equilibrium at a desired level L2. It should be emphasized that the total force field has to be changed at least in the area between L1 and L2.
>
> (Lewin, 1947/1997, p. 327)

Burnes (2004) explored Lewin's three-step model and showed how it is integrally linked to the other pillars of Lewin's work: field theory, group dynamics and action research. He opined that Lewin saw these as a unified whole with each element supporting and reinforcing the others and how all were necessary to understand and bring about change. In these terms, Burnes has argued that Lewin's three-step change model is grounded in a complex theory of competing

forces in a group and in a method of reconnaissance, planning and fact-finding about the results of the action. As Lewin expressed it:

> A change toward a higher level of group performance is frequently short lived; after a "shot in the arm" group life returns to the previous level. This indicates that it does not suffice to define the objective of a planned change in group performance as the reaching of a different level. Permanency of the new level or permanency for a desired period, should be included in the objective.
>
> (Lewin, 1947/1997, p. 330)

It is in these terms that Lewin developed his three-step change model:

> A successful change includes therefore three aspects: unfreezing (if necessary) of the present level L1, moving to a new level L2, and freezing group life on the new level. Since any level is determined by a force field, permanency implies that the new force field is made relatively secure against change.
>
> (Lewin, 1947/1997, p. 330)

An extraction from Lewin's comprehensive theory that evolved was that Lewin was presenting a three-step change model, which Cummings, Bridgman, and Brown (2016) referred to as CATS (change as three steps). In what is considered to be the first book on planned organisational change, Lippitt, Watson and Westley (1958) expanded Lewin's three phases and five sequential phases steps of a change process. Consequently, CATS became the standard planned change model in OD textbooks for the following 60 years. Burnes (2020) made the case that many of the misunderstandings and misinterpretations of CATS arose because Lewin died shortly before the publications in which he presented it appeared and that Lewin's untimely death led to a dissolving of the many collaborations in which he was involved, with each seeming to focus on a particular aspect of his work, but no one pursuing the whole.

In the contemporary global context of continuous and disruptive change, what is referred to as VUCA (**v**olatile, **u**npredictable, **c**omplex and **a**mbiguous), Lewin's CATS has come under severe criticism as being too linear and simplistic in today's world. Cummings, Bridgman and Brown (2016) argued that what Lewin wrote in his original *Human Relations* article (Lewin, 1947) was reconstructed later to become a foundation for OD and stages of change management. They cited Lippitt, Watson, Westley and Ed as prominent in extending Lewin's CATS into phases. Burnes (2020) provided a rejoinder and explored Lewin's three-step model. He showed how it is integrally linked to the other pillars of Lewin's work: field theory, group dynamics and action research, with each element supporting and reinforcing the others. In these terms, Burnes argued that Lewin's three-step change model is grounded in a complex theory of competing

forces in a group and in a method of cycles of reconnaissance, planning and fact-finding about the results of the action.

While Ed played a key role in the popularisation of Lewin's change model, he elaborated it in terms of his work on coercive persuasion to take account of the socio-psychological dynamics of learning and change and thereby provided quite a different focus to the oversimplified presentation of it as CATS that has featured in textbooks and which was criticised by Cummings, Bridgman and Brown. This is not often recognised in textbooks. An instance of this elaboration has been noted by Bartunek and Woodman (2015), who discussed how Ed added cognitive amendments to Lewin's model that includes conversation as an integral part. Ed reflected on how Lewin had influenced his work:

> The power of Lewin's theorizing lay, not in a propositional kind of theory but in his ability to build "models" of processes that draw attention to the right kinds of variables that needed to be conceptualized and observed. In my opinion, the most powerful of these was his model of the change process in human systems I found this model to be fundamentally necessary in trying to explain various phenomena I had observed, and I found that it lent itself very well to refinement and elaboration.
>
> (1966, p. 28)

The Lewin-Schein socio-psychological model of changing

Ed has presented his socio-psychological change model, extended from Lewin, in many of his publications, with the most elaboration in the *Interpersonal Dynamics* volume (Schein, 1979). Table 9.1 expresses Ed's formalised change framework. Ed described the process of what Lewin called *unfreezing*, showing how change begins with some sort of failure of confirmation or disconfirmation, that is what is expected is not confirmed. Disconfirmation can occur when the

Table 9.1 Lewin and Schein's Change Models

Lewin	*Schein*
Unfreezing	**Creating the motivation to change** • Disconfirmation (of the present situation, unlearning) • Anxiety (survival anxiety to be greater than learning anxiety) • Psychological safety (in moving to a new future)
Moving	**Changing** • Scanning (multiple sources) • Identification (single source)
Refreezing	**Internalising the change** • Integration into personality • Supported by significant relationships

definition of a situation proves to be inadequate or unsustainable through one's self-image being out of line with what others or the situation is demanding or the definition of the situation is found not to be sustainable. In short, disconfirmation takes place when an unlearning of one's self-image or of one's definition of the situation is occurring. However, disconfirmation of itself is not sufficient for change. The disconfirmation has to be accompanied by a concern about the disconfirmation, such as anxiety or guilt. Later, Ed described two types of anxiety, "learning" anxiety and "survival" anxiety (Coutu, 2002). Learning anxiety is a form of anxiety that promotes defensiveness, resistance and paralysis. A person may experience learning anxiety from the pain of unlearning, from feeling temporarily incompetent, a fear of losing one's identity or losing team membership or a fear of being punished. Increasing such learning anxiety has the effect of increasing paralysis and resistance. Survival anxiety is a form of anxiety that generates the insight that, if there is no response to the disconfirming information, then some important elements of the system will fail and therefore action must be taken. Ed has made the point that survival anxiety needs to be greater than learning anxiety for unfreezing to occur. The third element of unfreezing is the creation of psychological safety that needs to be felt in order to let go of the present and move to a different future so that with support and reassurance the change is understood to be achievable. In the context of organisational change, Ed noted that it is easy for managers to create disconfirmation; they have the strategic perspective and the hierarchical clout to assert that things are not going well or that change has to happen (Schein, 1992). They are also well-positioned to create anxiety. What they typically tend to be less skilled at is creating psychological safety and minimising defensiveness, resistance and learning anxiety. In summary, unfreezing involves becoming open to alternative or new possibilities.

Ed has presented the changing process in terms of *cognitive redefinition*, whereby the need and desire for change are followed up by a search for reliable and useful information so as to generate new attitudes, values and actions in response to the need for change. Changing involves the actual assimilation of new information resulting in an internalised cognitive redefinition for new behaviour and attitudes. Such information comes about through two mechanisms: scanning and identification. Scanning is the changing mechanism whereby the search for solutions is undertaken by searching multiple sources – researching, reading and talking to relevant people – and engaging in trial-and-error experimentation with an emphasis on content. Scanning may be time-consuming, and one may engage in a good deal of fruitless searching or travel down blind alleys and false starts to find appropriate answers, On the contrary, when relevant information is found, it tends to be recognised and an insight is received that releases a flow of energy. The second changing mechanism, identification, is where the changing is enabled through a relationship with a single source, such as who acts as a facilitator of our learning and change. Ed identified two identification processes: positive

and defensive identification. A positive identification, such as with a tutor, therapist, process consultant, friend or mentor, where is one freely and voluntarily engaged, holds the autonomy to change and experiences the psychological safety to pursue their questions, exemplified in his model of process consultation, humble inquiry and Level Two relationship. The resulting new behaviour is enlarging, differentiated and enabling of future growth and development. A defensive identification is where there is external control of the setting, coercion, sanctions and fear of threat and from which the individual cannot escape or make free choices, such as in psychiatric prisons and in the Chinese prison camps, as recounted in Chapter 8. The resulting new behaviour is ritualistic, narrow and restrictive. As unfreezing involves becoming open to alternative or new possibilities, changing involves the actual assimilation of new attitudes, values and behaviour.

Ed has argued that for *refreezing* to occur two mechanisms are necessary: the integration of the changed state into the personality and its integration into significant ongoing relationships. Without the latter, the change is unlikely to survive. For the individual, the changed state is now part of their identity and is supported by significant others – family, friends and colleagues. For organisations, the changed state is part of their organisational identity and supported by institutionalised mechanisms – structures, policies, behaviour and cultural assumptions. How change was introduced and taken through the system will have consequences for how the challenges and ease or difficulties of refreezing are met.

For Ed, the basic assumptions of the model were that the beliefs, attitudes, values and behaviours of individuals tend to be integrated with each other and tend to be original within the self-identity of the individual and that self-identity gives stability or continuity which is stronger than a force for its change unless the change is towards greater integration. The integration is not static but exists as a dynamic equilibrium where forces for stability are internalised and will not shift without the reduction of defences. I drew on Ed's model to understand the dynamics of an organisational large-group process that took place over several days (Coghlan, 1998). In this case, organisation members engaged in a large plenary of 105 members interspersed with small group discussions. These small groups acted as mechanisms for creating psychological safety as individuals engaged with the disconfirmation facing the organisation and the accompanying anxieties about the nature of membership and about the future. Through the interlevel dynamics of individual thinking, small group discussion and engagement in the large group plenary the organisation, in keeping with the theory and practice of large group interventions, reviewed its past, engaged in the present and articulated its vision of its future.

In a reflection on his change model in the context of the complexity of interpersonal change and influence, Ed has noted that the role of a change agent differs at the different stages of the change process, for example disconfirming at the unfreezing stage, acting as a role model at the changing stage and supporting at the refreezing stage. He stressed that, for a change in attitudes to

occur, all the factors need to be present, that is that change is not possible unless there is motivation to change. He reflected that different types of interpersonal change settings – planned, unplanned, institutionalised influence and emergent change – involve different goals, intended outcomes and different combinations of unfreezing, changing and refreezing. Throughout these processes, the influence of the Level Two relationship is paramount.

Later, Ed and his son Peter reframed the context of learning and change and dropped Lewin's refrigeration imagery of three steps: unfreezing, changing and refreezing (Schein & Schein, 2019). They stated that the dynamic context of today's VUCA world, largely "has made staged linear models of planned change obsolete and irrelevant" (p. 95), the point argued by the critics of the use of Lewin's change as three-steps (CATS). While remaining grounded in Lewin's work, Schein and Schein reframed the Lewin-Schein change model in terms other than the traditional CATS. They grounded the change model more explicitly in Lewin's field theory and in the change process as a force field of tensions between forces driving change and forces pushing for stability. An organisation in a quasi-stationary equilibrium state engages in continuous adaptive coping cycles of unlearning and changing. Disconfirmation captures the driving forces for the motivation for change which are counterbalanced by restraining forces that create learning and survival anxiety and an unwillingness to let go of an element of stability. In keeping with Lewin's insight that it is through a focus on reducing restraining forces that a change in a force field can be achieved, Schein and Schein demonstrate that the relationship between the change agents and change targets is central to reducing learning anxiety, creating psychological safety and providing options and supports for learning and change. The utilisation of scanning and identification mechanisms provides alternative methods for learning and changing and the learning and change need to be internalised in the self-concept and identity and in the significant ongoing relationships. In these terms, Ed has reframed his change model and has made explicit again his appreciation of Lewin's sophisticated theory of change first discussed in 1961.

Ed held a systems view of organisations and organisational health or effectiveness on which he built his understanding of OD. Organisations are open systems in constant interaction with their environment, which in the contemporary global VUCA context of continuous and disruptive change is transforming inputs into products or services. Different parts of an organisation may exist in different markets, technological, socio-economic and political environments. Organisations are recursive systems in that their internal systems, such as their artefacts, values and basic assumptions and the interaction between the individual team, interdepartmental group and organisational levels are congruent with each other (Coghlan, Rashford, & Neiva de Figueiredo, 2016; Schein & Schein, 2019). For Ed, organisational health or effectiveness meant the ability to learn to change in the VUCA world, what Pasmore (2015) has explored as discontinuous change.

The adaptive coping cycle of organisations

Underpinning all processes of learning and changing are activities of taking in information, processing it, making decisions and taking action, or as expressed experiencing, questioning, understanding, judging, deciding/choosing and taking action. How any system, as an individual or the organisation, does characterise its health (Schein, 1980, 1997a)? Developed from constructs in the field of mental health, the four elements of a healthy system are a sense of identity and purpose, the capacity to adapt to changing external and internal circumstances, the capacity to perceive and test reality and the internal integration of subsystems (Bennis, 1962; Schein, 1980, 2013). Consequently, Ed framed systemic organisational health as a cycle of continuous coping and adapting as information is received into an organisation, processed and transformed into outputs (1980, 1997a, 2013). The adaptive coping cycle has six steps beginning with a change in some aspects of the organisation's external or internal environment and ending with a more adaptive, renewed organisation (Figure 9.1). While these steps are separated conceptually, in practice, they overlap and occur concurrently as an organisation is in constant interaction with its environment.

1. Sensing a change in the internal or external environment
2. Getting the information to the right place where it can be processed and acted upon
3. Digesting the information and drawing the right conclusions
4. Making the necessary internal changes without undesirable side effects
5. Developing new actions
6. Obtaining feedback on the new action leading to new sensing

These six steps lay the foundations for considering organisational changing and learning and understanding how the socio-psychological dynamics of change are

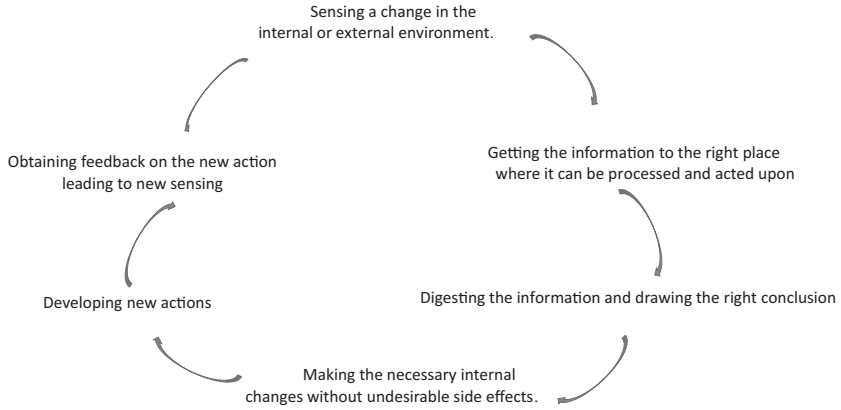

Figure 9.1 The Organisational Adaptive Coping Cycle

operative. The movement through the six steps involves sensitivity to process – how information is taken in, shared and heard, how decisions are made, how vision is articulated, how commitment is built, where interventions are judged to be necessary or desired and so on so that the changing is made effectively. It also involves interlevel dynamics as information is gathered and processed, decisions are made and their consequences are followed through by a complex interaction of individuals, individuals in teams and working groups and between teams.

Sensing a change in the internal or external environment

Ed described how the first step of the adaptive coping cycle occurs when disconfirming information is identified and changing is put on the agenda. The identification of the forces driving change is critical as, in the long run, whatever changes are made must provide an adequate response to these forces. The forces for changing may be coming from the external environment, such as globalisation, competitor strategy or changing customer needs. The forces for changing may also come from within the organisation, such as the need for restructuring or to develop new management skills, to take a few examples.

The process of taking in disconfirming information, assessing it and acting on it constitutes the evocation of the question "why change?" As we have seen earlier, Ed has argued that any disconfirmation must be accompanied by "survival anxiety" and a sense of psychological safety in order for changing to get going. As this first step of the adaptive coping cycle involves iterations of individuals and teams as the changing issue enters the organisation and gets a hold, individuals and teams may have to deal with issues of disconfirmation, anxiety and the creation of psychological safety as the members of the system who are exposed to the changing issues in its initial stages respond to the data.

This first step of the adaptive coping cycle may fail because of the absence of sensing structures, an overemphasis on either internal data only or external data only, perceptual defences that distort data and differing sensing structures where subsystems see and think different things. Critical interventions could focus on building formal sensing structures, exposing senior managers to the experiences and perceptions of organisational subcultures and uncovering defensive routines and distortions by addressing what has hitherto been undiscussable (Argyris, 2010).

Getting the information to the right place where it can be processed and acted upon

The second step of the adaptive coping cycle is that of taking the disconfirming information into the teams of the organisation where it can be processed. The critical question is, of course, where is the "right" place? What parts of the organisation need the information and can make sense of it?

This step may fail because relevant information remains in a particular subsystem and is not shared, because there is a lack of communication between those

who sense the change and those who make decisions, or because information is distorted or because information is used as a power tool rather than a problem-solving tool. Organisational defensive routines that seek to maintain face-saving or embarrassment-avoiding strategies may inhibit the exploration of the information as valid and generate learning anxiety.

Digesting the information and drawing the right conclusions

The ability of working groups and teams to make sense of the information is critical. Dysfunctions on this step can be short-term linear thinking rather than systems thinking and may be characterised by denial and other defensive routines, inter-functional conflict and cognitive biases and distortions.

Making the necessary internal changes without undesirable side effects

This step is what is generally perceived as being the actual changing process, though as we have seen, the previous steps are equally essential to the process. The critical tasks are to articulate a desired future, move from the present to the future and manage the intervening period of transition.

The key critical aspect of this stage of the adaptive coping cycle is the management of changing within the organisation. Here Ed drew on the work of his late friend and colleague, Dick Beckhard who framed a number of key activities that form a generic model of system change (Beckhard & Harris, 1987; Schein & Schein, 2019). These activities typically comprise: (i) determining the need for changing, (ii) designing the vision of the desired future state(s) beyond the change, (iii) assessing the present in terms of the future to determine the work to be done, (iv) managing the transition state through the implementation stage, and (v) reinforcing and sustaining the changing. These activities act as a framework for examining factors that threaten intervention success and which may generate reflection on creating more positive outcomes from changing endeavours (Pasmore, 2011).

Developing new actions

The changing process must impact the actual production or service activities of the organisation. The outcome of the changing process may be new products, management exercised in a new or different way and so on. The changing efforts must be directly related to (a) the actual mission of the organisation and (b) the forces pushing for changing. So, new or different processes that emerge from the changing process must relate to what the original disconfirmation of experience pointed to and be congruent with the mission of the organisation. New information systems may need to be implemented as a consequence of renewed relationships with suppliers and customers.

Such new action may make demands on individuals in what they do and how they do it, on teams in what they do and how they do it and on the balance of power, influence and resource allocation across the interdepartmental group, hence the need for mechanisms to manage learning anxiety and to create psychological safety so as to engage in the necessary cognitive redefinition and changes. The new situation needs to be consolidated in both formal and informal organisations.

Obtaining feedback on the new actions leading to a new sensing cycle

In the external forum, the market provides feedback on the success or failure of the new actions. Customers respond positively to the new or improved product or service. In the internal forum, once the change is in place it must be stabilised and maintained. There is an awkward balance or tension in institutionalising changing while maintaining openness to further changing. This step constitutes the sustaining stage, both systemic (as the changed state becomes normative within the organisation) and relational (as the change is reinforced by key stakeholders).

As Ed has pointed out, any organisation can have dysfunctions on any of these six steps (1980). It can fail to sense changes in the environment or it can misinterpret them. It can fail to transmit the relevant information to those parts of the system which can act upon it. The information may fail to have the impact of creating change. A change may not result in a renewed output or there may be inadequate feedback on the effect of the changed service on the customer or client, which enables the organisation to reassess its strategic role and function. It may do some of the steps well. Each step in the adaptive coping cycle contains the potential for pitfalls and problems. For the system to remain healthy and to cope and adapt productively with the demands of the discontinuous global economy, each step requires specific attention.

Ed's adaptive coping cycle marks the process by which all systems learn and change. The ability to sense disconfirming information, to import it and digest its implications and to make necessary changes while reducing or managing side effects and exporting new products or services that are in keeping with the original perceived change and obtaining feedback on the success of the changes through further sensing are core skills. Once managers have embarked on a change, they address the five activities of changing: determining the need for changing, designing the vision of the desired future state, assessing the present in terms of the future to determine the work to be done, managing the transition state through the implementation stage and reinforcing and sustaining the changing (Beckhard & Harris, 1987).

The adaptive coping cycle provides a construct for understanding continuous learning and change in the VUCA world. It provides a framework for understanding how a system can engage in what Senge (1990) has called generative

learning and Argyris and Schon (1996) called double-loop learning. This form of learning marks the capacity of an organisation to reinvent itself, re-examine and evolve its assumptions and cope with and adapt to new realities. In its enactment, attention to and management of the socio-psychological dynamics of the changing process in all or any of the steps of the adaptive coping cycle.

Apart from a summary outline by Beckhard (1969) and Ed's own discussions of it (e.g. 1965, 1970, 1980, 1997a, 1997b, 2013), the adaptive coping cycle has not received much attention in OD theory and practice (Coghlan, 1999; Coghlan et al., 2016), and is, in my view, a neglected contribution from Ed's work. Yet it provides a structure for addressing the key challenge of change and changing – responding to environmental challenges, making sense of what these challenges might mean and their implications and in doing so dealing with the effects of disconfirmation and anxiety and making the appropriate changes and making them work in cycles of continuous adaptation and coping.

Conclusions

This chapter has explored Ed's work on OD, change and changing. It has recounted how his third-person framing of the socio-psychological dynamics of change and changing elaborated Lewin's change theory by introducing the cognitional, affective and relational dynamics of change and changing, which he had observed in his first- and second-person reflection on his experiences with the prisoners of war and as a consultant. Ed's socio-psychological change model provides a foundation for the psychological and social activities that occur in the adaptive coping cycle and thereby, provides a comprehensive understanding of the process of change and changing in a complex system.

Questions for study and reflection

1. Can you identify the socio-psychological dynamics of change and changing in your experience as a scholar-practitioner? Can you identify the movements from disconfirmation, dealing with anxiety and the creation of psychological safety that enabled change to occur (or not)? What role did you play? How?
2. How might Ed's adaptive coping cycle and his socio-psychological change framework inform your thinking and actions for organisational change?
3. How does your second-person practice as a scholar-practitioner express your first-person values and assumptions about your role in an organisational change?

References

Allen, T. J., & Scott-Morton, M. (1994). *Information technology and the corporation of the 1990s*. New York: Oxford University Press.

Argyris, C. (2010). *Management traps*. New York: Oxford University Press.

Argyris, C., & Schon, D. (1996). *Organizational learning II*. Reading, MA: Addison-Wesley.

Ayas, K. (2023). Reflections on Ed Schein's teachings. *Journal of Applied Behavioral Science*, *59*(2), 208–213. doi:10.1177/00218863231162964

Bartunek, J. M., & Woodman, R. W. (2015). Beyond Lewin: Towards a temporal approximation of organization development and change. In F. P. Morgeson, H. Aquinas, &. J. Ashford (Eds.), *Annual review of organizational psychology and organizational behavior* (Vol. 2, pp. 157–182). Palo Alto, CA: Annual Reviews. doi:10.1146/annurev-orgpsych-032414-111353

Beckhard, R. (1969). *Organization development: Strategies and models*. Reading, MA: Addison-Wesley.

Beckhard, R. (1997). *Agent of change, my life, my work*. San Francisco, CA: Jossey-Bass.

Beckhard, R., & Harris, R. (1987). *Organizational transitions: Managing complex change* (2nd ed.). Reading, MA: Addison-Wesley.

Bennis, W. G. (1962). Toward a truly scientific management: The concept of organizational health. *General Systems Yearbook*, *7*, 269–282.

Burke, W. W. (1987). *Organization development: A normative view*. Reading, MA: Addison-Wesley.

Burke, W. W. (1994). *Organization development: A process of learning and changing* (2nd ed.). Reading, MA: Addison-Wesley.

Burke, W. W. (2023). Edgar H. Schein: Reflections on his life and career. *Journal of Applied Behavioral Science*, *59*(2), 214–222. doi:10.1177/00218863231163607

Burnes, B. (2004). Kurt Lewin and the planned approach to change: A re-appraisal. *Journal of Management Studies*, *41*(6), 977–1002. doi:10.1111/j.1467-6486.2004.00463.x

Burnes, B. (2020). The origins of Lewin's three step model of change. *Journal of Applied Behavioral Science*, *56*, 32–59. doi:10.1177/0021886319892685

Bushe, G., & Marshak, R. (2009). Revisioning organization development: Diagnostic and dialogic premises and patterns of practice. *Journal of Applied Behavioral Science*, *45*(3), 248–368. doi:10.1177/0021886309335070

Coghlan, D. (1998). The process of change through interlevel dynamics in a large-group intervention for a religious organization. *Journal of Applied Behavioral Science*, *34*(1), 105–119. doi:10.1177/0021886398341007

Coghlan, D. (1999). Schein's adaptive coping cycle as a core of the OD process. *Organization Development Journal*, *17*(1), 77–83.

Coghlan, D. (2017). How might we learn about the philosophy of ODC research from 24 volumes of ROCD? An invitation to interiority. In A. B. (Rami) Shani & D. A. Noumair (Eds.), *Research in organizational change and development* (Vol. 25, pp. 335–361). Bingley: Emerald. doi:10.1108/S0897-301620170000025010

Coghlan, D., Rashford, N. S., *&* Neiva de Figueiredo, J. (2016). *Organizational change and strategy: An interlevel dynamics approach* (2nd ed.). Abingdon: Routledge.

Coutu, D. L. (2002). The anxiety of learning: An interview with Edgar H. Schein. *Harvard Business Review*, 100–106.

Cummings, S., Bridgman, T., & Brown, K. G. (2016). Unfreezing change as three steps: Rethinking Kurt Lewin's legacy for change management. *Human Relations*, *69*(1), 33–60. doi:10.1177/0018726715577707

Cummings, T. G., & Worley, C. G. (2008). *Organization development and change*. Mason, OH: South-Western Cengage.

Gearty, M. (2023). Learning history: Engaging multiple perspectives for learning. In D. Szabla, D. Coghlan, W. Pasmore, & J. Kim (Eds.), *The handbook of research methods in organizational change* (pp. 194–220). Cheltenham: Edward Elgar.

Golembiewski, R. T. (1989). *Organization development: Ideas and issues*. New Brunswick, NJ: Transaction.

Lewin, K. (1947). Frontiers in group dynamics. *Human Relations*, *1*(1), 5–41 (Reprinted in Lewin, K. (1997). *Field theory in social science* (pp. 301–336). Washington, DC: American Psychological Association).

Lewin, K. (1948). Group decision and social change. In E. Maccoby, E. Newcomb, and E. Hartley, (Eds.) *Readings in social psychology*. Holt: New York. (Reprinted in Gold, M. (ed). (1999) *The complete social scientist: A Kurt Lewin reader*. Washington, DC: American Psychological Association, Gold, pp. 265–284.

Lippitt, R., Watson, J., & Westley, B. (1958). *The dynamics of planned change*. New York: Harcourt, Brace & World.

McDonagh, J. (2022). Aligning strategy and digital technology in government organizations: A call to action. In A. B (Rami) Shani & D. A. Noumair (Eds.), *Research in organizational change and development* (Vol. 29, pp. 235–260). Bingley: Emerald. doi:10.1108/S0897-301620210000029010

McGregor, D. M. (1966). *Leadership and motivation: Essays of Douglas McGregor* (W. Bennis & E. H. Schein with the collaboration of C. McGregor, Eds.). Cambridge, MA: MIT Press.

Pasmore, W. A. (2011). Tipping the balance: Overcoming persistent problems in organizational change. In A. B. (Rami) Shani, R. W. Woodman, &. W. A. Pasmore (Eds.), *Research in organizational change and development* (Vol. 19, pp. 259–292). Bingley: Emerald. doi:10.1108/S0897-3016(2011)0000019011

Pasmore, B. (2015). *Leading discontinuous change*. San Diego, CA: Berrett-Kohler.

Schein, E. H. (1965). *Organizational psychology* (1st ed.). Englewood Cliffs, NJ: Prentice-Hall.

Schein, E. H. (1969). *Process consultation: Its role in organization development*. Reading, MA: Addison-Wesley.

Schein, E. H. (1970). *Organizational psychology* (2nd ed.). Englewood Cliffs, NJ: Prentice-Hall.

Schein, E. H. (1973). Can one change organizations or only people in organizations? *Journal of Applied Behavioral Science*, *9*(6), 70–78. doi:10.1177/002188637300900614

Schein, E. H. (1978). *Career dynamics: Matching individual and organizational needs*. Reading, MA: Addison-Wesley.

Schein, E. H. (1979). Personal change through interpersonal relationships. In W. G. Bennis, J. Van Maanen, E. H. Schein, & F. I. Steele (Eds.), *Essays in interpersonal dynamics* (pp. 129–162). Homewood, IL: Dorsey Press.

Schein, E. H. (1980). *Organizational psychology* (3rd ed.). Englewood Cliffs, NJ: Prentice-Hall.

Schein, E. H. (1987). *Process consultation: Vol I. Its role in organization development*. Reading, MA: Addison-Wesley.

Schein, E. H. (1988). *Process consultation: Vol II. Lessons for managers and consultants*. Reading, MA: Addison-Wesley.

Schein, E. H. (1990). Back to the future: Rediscovering the OD vision. In F. Massarik (Ed.), *Advances in organization development* (Vol. 1, pp. 13–26). Norwood, NJ: Ablex.

Schein, E. H. (1992).The role of the CEO in the management of change: The case of information technology. In T. A. Kochan & M. Unseem (Eds.), *Transforming organizations* (pp. 81–95). New York: Oxford University Press.

Schein, E. H. (1996). Kurt Lewin's change theory in the field and in the classroom: Notes toward a model of managed learning. *Systems Practice*, *9*(1), 27–47. doi:10.1007/BF02173417

Schein, E. H. (1997a). Organizational learning: What is new? In M. A. Rahim, R. T. Golembiewski, & L. E. Pate (Eds.), *Current topics in management* (Vol. 2, pp. 11–25). Greenwich, CT: JAI Press.

Schein, E. H. (1997b). Organization development and the organization of the future. *Organization Development Journal*, *15*(2), 11–19.

Schein, E. H. (1999a). *Process consultation revisited: Building the helping relationship*. Reading, MA: Addison-Wesley.

Schein, E. H. (1999b). Editorial: From the founding editor. *Reflections*, *1*(1).

Schein, E. H. (2000). When will we learn? In A. Kleiner & G. Roth (Eds.), *Oil change: Perspectives on corporate transformation* (pp. 189–198). New York: Oxford University Press.

Schein, E. H. (2005). Organization development: A wedding of anthropology and organizational therapy. In D. L. Bradford & W. W. Burke (Eds.), *Reinventing organization development: New approaches to change in organizations* (pp. 131–144). San Francisco, CA: Pfeiffer.

Schein, E. H. (2010). Organization development: Science, technology or philosophy? In D. Coghlan & A. B.(Rami) Shani (Eds.), *Fundamentals of organization development* (Vol. 1, pp. 91–100). London: SAGE.

Schein, E. H. (2013). Notes toward a model of organizational therapy. In L. Vaninsa (Ed.), *Humaneness in organizations* (pp. 91–100). London: Karnac.

Schein, E. H. (2015). Dialogic organization development: Past, present and future. In G. R. Bushe & R. J. Marshak (Eds.), *Dialogic organization development: The theory and practice of transformational change* (pp. vii–xiv). Oakland, CA: Berrett-Kohler.

Schein, E. H., & Schein, P. A. (2018). What is new in OD? Nothing, yet everything. *OD Practitioner*, *50*(4), 6–8.

Schein, E. H., & Schein, P. A. (2019). *The corporate culture survival guide* (3rd ed.). Hoboken, NJ: Wiley.

Scott-Morton, M. (1991). *The corporation of the 1990s: Information technology and organizational transformation*. New York: Oxford University Press.

Senge, P. (1990). *The fifth discipline*. New York: Doubleday.

10 The individual and the organisation

> I think I've always been obsessed with the relationship between the individual and the system, the individual and the organization.
>
> (Schein in Lambrechts, Bouwen, Grieten, Huybrechts, & Schein, 2011, p. 141)

When asked in 2011 what he considered to be the most important of his contributions, Ed replied that he did not think he had a single thing that he considered to be the most important and then told a story about a spontaneous conversation on career anchors with doctors that had an impact on them because it was a revelation to them. He concluded with the above statement.

Ed has written extensively on the relationship between the individual and the organisation, particularly the organisational dynamics of careers and role planning (1978). This chapter describes his early work on this topic in the 1960s, his 1971 article in the *Journal of Applied Behavioral Science* as one of the first to define the field and the development of his construct of the career anchor. It also discusses the dynamics of role planning. What has been exciting for me in the writing of this chapter has been the publication of *Career Anchors Reimagined*, co-authored by Ed, John Van Maanen and Peter Schein which went into press several months before Ed's passing (Schein, Van Maanen, & Schein, 2023). In this book, Ed and his co-authors revisited Ed's work on careers and career anchors and reframed them in light of the massive changes in work and organisations in this post-pandemic time.

As Ed and his co-authors have described, there have been radical changes in the nature of work and organising in this 21st century (Schein et al., 2023). The experiences of the shutdowns and working from home during the COVID pandemic have accelerated digital working across borders, a change in the nature of the office as a physical space where employees gather daily, a rebalancing of work and family and the growing complexity of digital technology which is eliminating traditional production skills, to cite some examples. These factors are changing how people view their work and careers, how organisations structure employment

DOI: 10.4324/9781003366355-13

This chapter has been made available under a (CC-BY-NC-ND) 4.0 license.

and the nature of relationships between the individuals and their organisations and among individuals as teams. On a global scale, the eco-social challenges of global warming, the growing transplacement of populations due to famine and war and the threats to world health are provoking such anxiety, that Ed and his co-authors have added an additional A (Anxiety) to the VUCA acronym.

Ed's reflections on his research on careers provide access to his interiority on this topic.

> My own evolution in studying the individual-organization relationship is instructive. When I came out of the army into my first job at MIT I was very ready to study how organizations coerce and indoctrinate their employees because I had become an expert on Chinese indoctrination of US POWS in the Korean conflict. In the late 1950s organizations such as AT&T, GE and IBM bragged about their socialization processes so I had as ready-made research area.
>
> (2015, p. 12)

The individual, the organisation and the career: a conceptual scheme (1971)

In 1971, in an article titled 'The individual, the organisation and the career: A conceptual scheme', published in *The Journal of Applied Behavioral Science*, Ed produced the first conceptual scheme on the career (1971). The external career is defined by the organisation as to its expectations for the individuals, as to what roles to assign them, what decisions to make about moving them, when and at what speed. Ed made a distinction between the "external" and "internal career". The "external" career is essentially what individuals put on their CV. This document typically presents their occupational history – what jobs they did and what roles they held in what organisations over their career history. The "internal" career emerges from how experiences are understood as individuals learn what they are good at, what motivates them, what their values are, what jobs they like and so on. These typically shape how individuals understand themselves in their careers and assess present and future job and role opportunities. The "internal" career is an emergent self-concept based on actual work experience and dependent on self-insight and feedback.

In this conceptual scheme, Ed explored the external and internal career in terms of two processes as a series of movements across three boundaries: vertical where an individual may move (i) up in the hierarchy, (ii) functional across departmental or functional boundaries and (iii) inclusion where the individual may hold a more central position. Given the changes in work and organising practices, this scheme is no longer used, though I suspect it continues to be relevant in stable organisations and occupations and in which members tend to remain over the duration of a career, such as the military, government organisations and academia.

Organisational socialisation (1979)

In 1979, John Van Maanen and Ed published a portrait of how organisations socialise employees, especially new ones. They defined organisational socialisation as "the process by which people 'learn the ropes' of a particular organizational role. It can range from a quick trial and error method to a long process of education and apprenticeship" (p. 211). Socialisation as "learning the ropes" extends beyond job and role training and refers to learning what "behaviors and perspectives are customary and desirable within the work setting as well as what ones are not" (pp. 211–212). Van Maanen and Ed described six dimensions across which socialisation strategies are enacted: collective or individual, formal or informal, sequential or random, fixed or variable, serial or disjunctive and investiture or divestiture. On one hand, these dimensions are evidenced in examples of those organisations that would have an annual recruitment date on which a group of new entrants would join and then follow a formalised sequence of programmed developments and on the other hand those that recruited on an individual basis and conducted a more individually tailored programme of formation.

This work on socialisation captured how organisations may induct employees into their value system but as we will explore in the next chapter how that teaching process works in imbibing cultural assumptions is less clear.

Career dynamics (1978)

In the preface to his *Career Dynamics* book in the Addison-Wesley OD series, Ed traced four strands of his 15 years' work on careers that shaped the book (1978). The first strand was his interest in how organisations bring in and train new members. From his extensive studies on how individuals reported how their values changed due to their organisational experiences, he realised that the early-career and training perspective was too narrow in studying careers and that the organisational perspective was necessary. The second strand was, therefore, his interest in the concept of the total career. Here he noted the importance of his background as a psychologist and sociologist/anthropologist for the study of careers. The third strand often was a strong argument for organisations to be concerned with the total problem of human resource development for their survival, reflecting that as an OD consultant, he often found an insufficient sensitivity on the part of senior managers on the relationship between human resources and organisational performance and survival. The fourth strand he identified derived from reflection on his own life and recognising the interaction of family, work and personal development concerns in his own life.

Foundational to exploring Ed's work on careers is to base it in his reflection on the nature of organisations and the role people play in them. In the first two editions of his *Organizational Psychology*, Ed grounded his understanding of organisations in terms of the coordination of efforts to achieve common goals

through the division of labour and functions and their integration (1965, 1970). The processes regarding people as human resources are recruitment, selection, training socialisation and the allocation of people to jobs and roles through both formal employment contracting and a psychological contract that implies expectations on the part of the individual and the organisation. The psychological contract changes over time as organisations' and individuals' needs change.

From the organisation's side, Ed explored the history of how organisations view employees under three sets of managerial assumptions. Rational-economic assumptions assume that people are motivated primarily by economic incentives, and therefore, organisations hold control of the economic means. Ed drew on McGregor's Theory X as an illustration of these assumptions (McGregor, 1960). Social assumptions emphasise the importance of social belonging and how employees form social groupings to deal with organisational restrictions. Ed referred to the Hawthorne studies and the emergence of socio-technical systems as illustrative of these assumptions. Self-actualisation is the third set of assumptions which argues that employees are largely alienated in the workplace because organisations do not afford them the opportunities to draw on capacities they may use in settings outside of the workplace. Ed drew on Argyris' (1964) work and McGregor's Theory Y (McGregor, 1960) in this regard.

By the third edition of *Organizational Psychology*, Ed had come to see that what was missing from these three sets of assumptions was the notion of human development, that how over a lifespan individuals adapt and cope with changing life circumstances and develop new integrations of the self. He concluded that "the ultimate motivator for human adults, therefore, can be thought of as the need to maintain and develop one's self-concept and one's self-esteem" (1980, p. 77). It is the developmental nature of the human adult that formed the foundation of his notion of the total career.

The total career

Ed has viewed the career process in terms of a 'matching' of individual and organisational needs (1978). Individuals make career choices and over their working life, cope with and adapt to early-career, mid-career and late-career issues. From the organisational perspective, planning for the recruitment staffing, growth and development of employees and levelling off, disengagement, replacement and restaffing are structured through policies, performance appraisal, promotions, further training, job rotation, continuing education and so on. Ed's approach to understanding the individual's career is to see it systemically, that is in the total life space of the individual's values, motives and talents interacting with the opportunities and structures of society and organisations (Bailyn & Schein, 1976).

A significant contribution that the *Career Dynamics* book made was to articulate how the bio-social life cycle, the career cycle and the family cycle coexist in

the life of an individual. Ed drew on the adult development research by Erikson (1950), Levinson (1979) and others who have traced the stages of development through which the adult passes by virtue of age and their social implications. In broad terms, the bio-social cycle captures adults' stages of development from a young adult to mid-life to late adulthood. Each stage has its own challenges, and individuals have tasks to face in meeting these challenges. For example, the tasks facing young adults in their twenties are to enter the adult world, make provisional commitments and develop a sense of themselves. In the 30s, they become more realistic in making choices. In the 40s, there is the reassessment of mid-life and the settling into who they have become. The 50s are characterised by stability and the 60s onward with retirement and coping with declining energies and health and with preparation for death.

The career-work cycle marks the stages through which the adult passes by virtue of organisational membership, whether through a long-term relationship, a short-term contract or part-time or temporary. It describes the challenges facing young adults as they enter the world of work and seek to find their place there, through learning to apply the relevant knowledge to do the job and learning to work with others, particularly bosses. As they progress through their work cycle they may find themselves dealing with being a short-term contract, making decisions about changing organisations and assessing whether to remain in a specialisation or to move into management. In mid-career, they are faced with assessing their ambitions with what is realistic and the role of work in their lives and with remaining relevant to the organisation in the face of competition from younger and more technologically competent colleagues. In the 60s onward, there is occupational retirement and the task of adjusting to a new lifestyle.

The family cycle marks the stages through which the adult passes regarding relationships outside of the organisation, such as family and significant relationships. The family cycle describes the challenges facing young adults as they move from their family of upbringing and negotiate a life for themselves, probably with a partner, becoming a parent and so on. As they move through middle adulthood, they develop a new relationship with their ageing parents and in old age become grandparents themselves.

Ed has presented these broad themes in the context of the total career. Individuals pass through these stages in their own way and in the concrete circumstances of their own lives. Any stage may be disrupted by illness, the breakup of a relationship, death or the loss of a job. How those cycles are balanced and how that balance changes are challenges to the individuals themselves and to organisations. The life-cycle perspective emphasises that, in some respects, each person is unique, and in others, they fit patterns of common experience with other people.

At the same time and in parallel, each organisation has its needs and it wants its individual employees to perform their work and contribute to the success of

the organisation. The organisation's needs change and it needs its employees to work differently, so it may require some employees to do different work and perhaps get training for that work. It may downsize and let people go. These affect the individual's relationship with the organisation.

Ed's conclusion was that the interaction between the individual and the organisation is complex and interactive and it changes over time. Accordingly, he encouraged: analysis of the total person, analysis of different careers and occupations within organisations and how they interact. In this way, the concept of organisation development is enlarged to understand how organisational and individual effectiveness may be developed over time and to facilitate analysis of organisational climate and culture and to provide perspectives on social changes.

Career anchors

Ed has explored how individuals join an organisation with a speciality based on their education or trainings, but they do not know how that will work out until they are actually working or whether they will fit in the organisation in terms of their feeling valued and liking the work. The early career is a period of mutual discovery between the individual and the organisation. As the employees develop their self-concept, an occupational self-concept emerges. This occupational self-concept has three components: self-perceived motives and talents, needs and attitudes and values. Together they make up what Ed called a person's "career anchor" (1978, 1985, 1990, 2006b; Schein & Van Maanen, 2013; Schein et al., 2023).

The development of the framework of the career anchor evolved out of research Ed conducted in the early 1960s. He conducted a longitudinal study of 44 alumni of MIT's Sloan's School of Management master's programme. He reports how he conducted interviews and surveys while they were students in the programme, interviewed them for 6 months and then 10–12 years after graduation (Schein, 1978, 1987). In these latter interviews, he elicited details of chronological career histories, inquiring, not only not the interviewees' career choices and significant events but also into their thinking about these events and changes that had occurred. From these interviews and subsequent career history interviews with several hundred people across a wide range organisations and sectors, he came to understand how, despite the wide variation of personal histories he heard, he discerned a pattern in their growing sense of their self-concept. He came to call this self-concept the career anchor.

A career anchor is a subjective career image or self-concept that individuals develop from reflecting on their experience of their career and answering the following questions.

1. What are my talents, skills and area of competence? What are my strengths and my weaknesses?

2. What are my main motivations, drives and goals in life? What am I after?
3. What are my values, the main criteria by which I judge what I am doing? Am I in the right kind of organization or job? How do l I feel about what I am doing?

The definition of a career anchor is "that element in our self-concept that we will not give up even if forced to make a difficult choice" (Schein, 1987, p. 158). In the recent book, Ed was less insistent that people have a single, stable centre and that patterns of preferences of leanings in job decisions are a better focus as there is more volatility, uncertainty, complexity, ambiguity and anxiety (VUCAA) in today's careers' context (Schein et al., 2023). At the same time, he offers the image of a sea anchor or drogue that provides stability but does not prevent exploration or experimentation.

Eight career anchors

In the original study, Ed identified five career anchors: technical/functional, general managerial, entrepreneurial/creative, stability/security and autonomy (Schein, 1978).

Technical/functional

This anchor is grounded in the sense of identity through expertise or specialisation in the exercise of a particular work, such as in a profession or craft. The self-identity for this anchor is grounded in the sense of competence in the content of the field individuals are in, such as engineering, finance, marketing and so on. People with this anchor are not interested in being general managers though they may take on managerial responsibility within their functional area of competence. They value their competence in their area of specialisation, and success is determined by the feedback they receive on their expertise. This technical/functional anchor was the most frequent one in the study.

General managerial competence

This anchor is grounded in the desire to be a manager and to enjoy the cut and thrust of being responsible for policy decisions and for managing people. The self-identity of those with this anchor focused on the combination of three general areas: analytical competence, that is the ability to identify, analyse and solve problems under conditions of incomplete information and uncertainty; interpersonal competence in the ability to lead, supervise and influence people and emotional competence as the capacity to hold high responsibility and deal with crises without being emotionally paralysed. The general managerial career anchor was the second most frequent anchor in the study.

Security/stability

While everyone needs to feel safe and secure, especially in the early stages of their career, this anchor expresses an overriding concern for security and safety through being secure through tenure, remaining located in a geographical area, or with a predictable promotion path. People with this anchor tend to accept the organisational definition of their career and do what the organisation requires of them. A small number of people with this anchor were found in the study.

Entrepreneurial/creativity

Starting new businesses, building a new organisation or reshaping an existing one or developing a new product is the characteristic of those with this anchor. When their new enterprise settles, they frequently become bored and seek to start up a new one. The focus of the study was entrepreneurial creativity, rather than the creativity of an artist.

Autonomy/independence

As the term suggests, not being bound by other's rules and norms explains this anchor and it is what would not be given up if forced to choose. It may not be easy to differentiate those with this anchor from those with the entrepreneurial anchor as both enjoy autonomy. The difference is that entrepreneurs are more interested in creating something, while those with the autonomy anchor want to work on their own and set their own pace.

In later studies, three further anchors emerged: service or dedication to a cause, pure challenge and lifestyle (Schein, 1987).

Sense of service/dedication to a cause

People with this anchor choose careers and make career decisions on the basis of working towards some important values, perhaps in the helping professions.

Pure challenge

The anchor is about facing challenges and winning.

Lifestyle

The focus is on integrating individual and family needs with career.

Danziger, Rachman-Moore and Valency (2008) proposed entrepreneurship and creativity be distinguished and split and argued for a ninth anchor but that was not taken up.

Ed made the point that career anchors occur in the internal career and are grounded in individuals' self-knowledge and their self-image as they move through their careers. From the organisational side, he proposed that organisations

1. Need to create more flexible career paths
2. Stimulate more self-insight and self-management
3. Be clearer about what they need from the individual

In the career anchors books (Schein, 1985, 1990, 2006b; Schein & Van Maanen, 2013), Ed provided practical tools for uncovering a career anchor. In the recent book, he and his co-authors provide questions for a career interview and a website that readers can access (through a PIN number provided in the book) for readers to do their own Career Anchor Assessment (Schein et al., 2023). In the Career Interview format, ideally undertaken with another person, patterns of job experiences, choices and reflections emerge. In the self-assessment exercises, individuals are invited to locate themselves on Likert scales as to how strongly they agree with the statements in the assessment. These exercises are essentially uncovering individuals' judgement as to whether the description of the particular anchor is "totally me", "sort of like me", "not so much like me" or "definitely not me". Answers are plotted on a spiderweb chart. Following and based on these assessment exercises, readers are invited to consider their future career profile and how they would like their career to develop. Several detailed case examples are provided.

The career anchor expresses a self-identified pattern and provides insight, and hopefully clarity into an individual's internal career. In the contemporary context, the changes in the occupational world as described earlier have evolved the notion of career. As Ed has pointed out, a career anchor may be expressed in hobbies or pastimes and impacts, not only on work but also on family and other social relationships.

Ed's career anchor research constitutes what might be considered to be traditional research. His 1987 chapter provides details of the groups he studied and the frequency of each career anchor within each grouping (1987). Ed reflected on his career anchor research:

> It is ironic that with all my efforts to study organizations, some of my best research showed the power of individual differences in how careers and lives develop. I learned an important lesson about research and application. The career anchors categories have held up well and are a useful tool in adult career development counseling. I believe that the reason for this is that the categories came directly out of empirical research, rather than a priori theorizing. I did not force them into a theory or a two-by-two table, leaving some of my colleagues frustrated. My rule of thumb continues to be that of you find at least two cases that do not readily fit into the eight categories, then publish a paper about a new anchor, but only if you have really found two new cases that don't fit.
>
> (2015, p. 12)

Strategic job/role and relationship analysis

Ed reflected that, in organisational change situations, the role of the traditional job description often becomes less defined, but that what becomes critical is how jobs and roles relate to each other (1978, 1995). He has pointed to the forces such as constant restructuring and downsizing, less hierarchy, new technology loosening the boundaries between subunits and between roles and jobs and more collaboration through projects, flatter structures, the increasing role of service departments and the constant anxiety that accompanies these changes as requiring a more systemic approach to jobs and roles. He concluded that, as traditional job descriptions are designed to create and maintain stability and as they often do not put enough emphasis on how jobs and roles relate to each other, there is a need to enable job holders to define and redefine their roles as the networks around them change to adapt to the changing environment. This allows managers to keep track of how organisational roles are changing.

Accordingly, he advocated strategic job and role analysis as a new technique designed to overcome the limitations of the traditional methods of human resource planning and job design (1995). Bringing the open systems planning method to bear, Ed proposed six steps:

1. Identify the current network and the major stakeholders surrounding a given job and roles
2. Identify current expectations, demands and constraints of each stakeholder.
3. Project changes in the near future.
4. Analyse the impact of these changes on each of the stakeholders' expectations, demands and constraints and how the network might change.
5. Analyse how these changes will affect stakeholder's expectations, demands and constraints.
6. Determine the implications for job and role incumbents to determine qualifications and experience to fulfil the jobs and roles.

In the recent book, Ed moved away from focusing on roles to focusing on relationships. In the post-pandemic world, many people have changed their thinking about the place of work in their lives through learning to work from home, adjusting their work–family balance life or changing jobs after having lost their pre-pandemic jobs. Ed and his co-authors suggest that many will be asking these kinds of questions. What kind of work will I do? Where will I work? How much will I work? With whom? What kind of relationships will I have?

In keeping with his reframing of the central theme of his work as relationships, which we saw in Chapter 6, Ed moved off the focus on roles to an emphasis on relationships and relationship mapping. He offered a series of exercises for readers to draw maps of the various people with whom they have a relationship (Schein et al., 2023). Grounding the exercise in his definition of a relationship as a mutual expectation of how each will respond in an interaction. Ed emphasised

that the intention is to move beyond the notion of role relations to thinking about whole personal relationships. Accordingly, he suggested that the mapping of role relationships include the four levels of relationships described in Chapter 6.

I think that there are several key insights underpinning this approach. The first is to understand jobs and roles systemically, that is how organisations function as dynamic systems and that jobs and roles operate in relation to each other. Therefore, mapping the network of roles in terms of expectations, demands and constraints provides a picture of the dynamism of a system and where interventions might be made. The second insight is that Ed's focus on relationships is providing a challenge to consider what people want from their work, such as the "personized" Level Two relationships or the Level One transactional professional distanced relationships of the traditional organisation. The third insight is that Ed's approach is an instance of his clinical approach (see Chapter 7) where his method of strategic role analysis is to bring the stakeholders of a role together and to engage their insider knowledge and expertise in exploring the present and future expectations, demands and constraints within a network of roles and to explore the mutuality of relationships.

Conclusions

In this chapter, I have explored Ed's work on the theme of the individual and the organisation, a complex relationship as both parties change over time and in response to the VUCAA challenges of the contemporary world of work and working. That his research over several decades continues to have relevance in this turbulent post-pandemic world is both a testimony of Ed's scholarship and of his interiority. His work on careers demonstrates his engagement in the social science of meaning that we explored in Chapter 3. The internal career is a meaning that is central to the personal and professional lives of most people in the Western world and Ed's work in uncovering how competencies, motives and values shape reflection on experience and career choices is significant. His interiority is found in his continued questioning, right up to his passing, of how the dramatic changes in the world of work and of working may be affecting the inner career understanding and choices of the contemporary and future workforce.

Questions for study and reflection

1. How does the construct of the total career inform your experience of engaging with others on issues of the workplace?
2. How might you use role and relationship analysis as an organisational intervention?
3. How does Ed's work on career anchors stimulate your reflection on work and working relationships? What is happening in your work setting now? What choices face you for the future?

References

Argyris, C. (1964). *Integrating the individual and the organization*. New York: Wiley.

Bailyn, L., & Schein, E. H. (1976). Life/career considerations as indicators of quality of employment. In A. D. Biderman & T. F. Drury (Eds.), *Measuring work quality for social reporting*. Beverly Hills, CA: SAGE.

Danziger, N., Rachman-Moore, D., & Valency, R. (2008). The construct validity of Schein's career anchors orientation inventory. *Career Development International*, *13*(1), 7–19. doi:10.1108/13620430810849506

Erikson, E. H. (1950). *Childhood and society*. New York: W. W. Norton.

Lambrechts, F., Bouwen, R., Grieten, S., Huybrechts, J., & Schein, E. H. (2011). Learning to help through humble inquiry and implications for management research, practice, and education: An interview with Edgar H. Schein. *Academy of Management Learning & Education*, *10*(1), 131–147. https://doi.org/10.5465/amle.10.1.zqr131

Levinson, D. (1979). *The seasons of a man's life*. New York: Ballantine.

McGregor, D. (1960). *The human side of enterprise*. New York: McGraw-Hill.

Schein, E. H. (1965). *Organizational psychology*. Englewood Cliffs, NJ: Prentice-Hall.

Schein, E. H. (1970). *Organizational psychology* (2nd ed.). Englewood Cliffs, NJ: Prentice-Hall.

Schein, E. H. (1971). The individual, the organization and the career: A conceptual scheme. *Journal of Applied Behavioral Science*, *7*, 401–416. doi:10.1177/002188637100700401

Schein, E. H. (1978). *Career dynamics: Matching individual and organizational needs*. Reading, MA: Addison-Wesley.

Schein, E. H. (1980). *Organizational psychology* (3rd ed.). Englewood Cliffs, NJ: Prentice-Hall.

Schein, E. H. (1985). *Career anchors: Discovering your real values*. San Diego, CA: Pfeiffer.

Schein, E. H. (1987). Individuals and careers. In J. W. Lorsch (Ed.), *Handbook of organizational behavior* (pp. 155–171). Englewood Cliffs, NJ: Prentice-Hall.

Schein, E. H. (1990). *Career anchors: Discovering your real values* (Rev. ed.). San Diego, CA: Pfeiffer.

Schein, E. H. (1995). *Career survival*. San Diego, CA: Pfeiffer.

Schein, E. H. (2006a). From brainwashing to organizational therapy: A conceptual and empirical journey in search of 'systemic' health and a general model of change dynamics. A drama in five acts. *Organization Studies*, *27*(2), 287–301. doi:10.1177/0170840606061831

Schein, E. H. (2006b). *Career anchors: Discovering your real values* (3rd ed.). San Diego, CA: Pfeiffer.

Schein, E. H. (2015). Organizational psychology: Then and now. *Annual Review of Organizational Psychology and Organizational Behavior*, *2*, 1–19. doi:10.1146/annurev-orgpsych-032414-111449

Schein, E. H., & Van Maanen, J. (2013). *Career anchors: The changing nature of careers self assessment*. San Francisco, CA: Jossey-Bass.

Schein, E. H., Van Maanen, J., & Schein, P. A. (2023). *Career anchors reimagined: Finding direction and opportunity in the changing world of work*. New York: Wiley.

Van Maanen, J., & Schein, E. H. (1979). Towards a theory of organizational socialization. In B. M. Staw (Ed.), *Research in organizational behavior* (Vol. 1, pp. 209–264). Greenwich, CT: JAI Press.

11 Organisational culture

> When I decided to write about organizational culture I found that my research data were primarily the observations I had made during my actual consulting visits. I found once again that the most relevant data come not from surveys or experiments but from direct observation and direct personal experience.
>
> (Schein, 2006, p. 296)

Of the multiple fields to which Ed has contributed significantly that of organisational culture is prominent. His books, *Organizational Culture and Leadership* (five editions) and *The Corporate Culture Survival Guide* (three editions), and numerous articles, book chapters and interviews have shaped much of the understanding of the notion of organisational culture. In these writings, he has challenged simplistic notions of culture that are portrayed in the popular literature. His insight that culture shapes organisations much like personality does the individual, and therefore it needs to be taken seriously as it shapes how an organisation survives and thrives is a powerful one. He has provided a method for researchers to decipher an organisation's culture, a method that takes explicit account of the different schools of research from which researchers operate. He has provided detailed studies of the culture of two organisations: The Singapore Economic Development Board (Schein, 1996a) and Digital Equipment Corporation (DEC) (Schein, 2003).

In this chapter while I provide a basic introduction to Ed's framework of organisational culture, rather summarily as it is covered comprehensively in his books, my primary focus is on Ed's interiority. Here I explore how, as a scholar-practitioner, he has developed a social science of organisational culture based on his second-person experiences as a consultant and his interventions in organisations and his first-person learning leading to the third-person framing of an analytic and useful framework used by scholars and practitioners alike.

DOI: 10.4324/9781003366355-14

This chapter has been made available under a (CC-BY-NC-ND) 4.0 license.

Ed's own reflections and interviews with him have provided the opportunity to access his interiority on culture through his attention to his first- and second-person practices.

> I was sensitive to culture in the grander sense because of my own childhood in Switzerland, the Soviet Union and Czechoslovakia and at age 10, coming to the United States and learning a new culture in Chicago public schools. What eventually got me started on studying and writing about organizational and occupational cultures was my consulting experiences with dramatically different kinds of organizations that performed equally well or poorly.
>
> (Schein, 2015, p. 9)

For instance, in his book, *DEC is Dead, Long live DEC* (Schein, 2003), as he told the story of the inter-connectedness of technology, organisation and culture, Ed regularly shared his own puzzles as he tried to make sense of what was happening at various times. He was part of the story for over 25 years and his interiority provides points for reflection, both through his data of sense as to what was happening in DEC and his data of consciousness as to how he was thinking and trying to make sense of it.

In 1984, Ed gave me the manuscript copy of the first edition of *Organizational Culture and Leadership* (Schein, 1985). It was my first introduction to the subject. In my journal notes from that time, I noted how felt overawed by the scholarship and range of the book as it brought together group dynamics, strategic thinking, double-loop learning, change and leadership. I reflected that this book seemed to be an integration of the core themes of Ed's experience and scholarship. I noted how some assumptions I held were being challenged, notably that organisational values are at the deepest layer and I was opened up to the notion of nonconscious shared assumptions.

Organizational Culture and Leadership as authored by Ed has been through three further editions (Schein, 1993a, 2005, 2010). The fifth edition was co-authored with his son, Peter (Schein & Schein, 2017). In 1999, Ed produced *The Corporate Culture Survival Guide*, a practical book directed towards a management readership in that it did not contain the elaborate theoretical foundations and materials of the other books (Schein, 1999). A second edition followed in 2009 (Schein, 2009), with a third edition co-authored with his son, Peter (Schein & Schein, 2019). In between the publication of these books, there have been numerous articles by Ed and interviews with him that are available on YouTube. His framework features in most textbooks.

In one interview, Ed reviewed his work on culture and shared how his thinking has developed (Mike, 2014). For instance, he related how he had abandoned the long-standing image of the iceberg, where culture is represented by what is hidden out of sight below the waterline. He argued that what is out of sight is not a

frozen immovable mass as the iceberg image suggests and that he had moved to the image of a lily pond, where what is below the calm surface is a vibrant ecosystem of nutrients and underwater life that creates the flowers on the surface. In the third edition of *The Corporate Culture Survival Guide*, Ed and Peter have adopted the beach as a metaphor for culture change where headwinds blowing in from the ocean express forces for change, while the tailwinds blowing out from the shore may represent resisting forces.

Culture

While culture emerged as a topic in organisation studies in the 1970s and 1980s, it has long been a central theme in anthropology. There have been many and diverse definitions over the decades. These definitions typically identify culture as shared patterns of thinking, feeling, valuing and behaving in social groups (such as nations, regions, professions, families and religions), transmitted from one generation to another through symbols. Ed's work on culture is decidedly anthropological.

Definition of organisational culture

Schein and Schein (2019) have provided a definition of organizational culture.

> The culture of a group can be defined as the accumulated shared learning of that group as it solves its problems of external adaptation and internal integration; which has worked well enough to be considered valid, and, therefore, to be taught to new members as the correct way to perceive, think and feel in relation to these problems. This accumulated learning is a pattern or system of beliefs, values and behavioural norms that come to be taken for granted as basic assumptions and eventually drop out of awareness.
>
> (p. 6)

Three levels of culture

Ed described three levels of culture which go from the visible to the invisible or tacit. The first level is the artefact level. These are the visible things – what we see, hear and feel as we hang around an organisation – the visible layout of the office, whether people work with their door open or closed, how people are dressed, how people address and treat one another, how meetings are conducted, how disagreements or conflicts are handled and so on. As Ed has pointed out, the difficulty of these visible artefacts is that they are hard to decipher. We do not know why people behave this way or why things are this way. When we ask these questions, we get the official answers, the espoused theory answers that present the values that the organisation wants to pertain. This is the second level

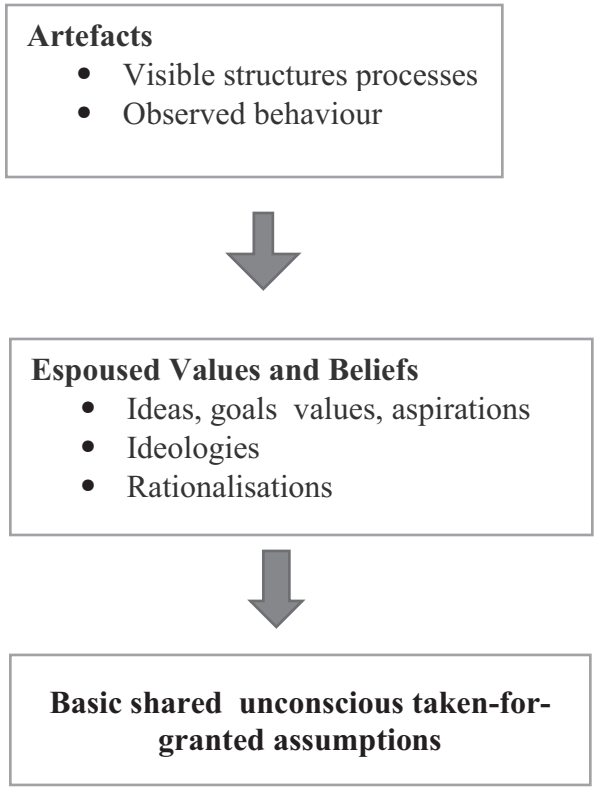

Figure 11.1 Schein's Model of Organisational Culture

of culture – organisational values. Open doors are espoused as a sign of open communication and teamwork, first name greetings are a sign of collegiality – sort of thing. Yet we know that this is not always true, that organisations, not unlike individuals, do not always live up to what they espouse, not necessarily due to any deliberate, nefarious or conspiratorial reason to deceive but for complex unknown hidden reasons, what Argyris (2010) refers to as theory-in-use. A more common answer to our question is more likely to be "I don't know; they did things this way long before I joined and I got the message early on that this is how we do things here". So, we come to the third level of culture, that of shared tacit assumptions. These are the assumptions which have grown up in the organisation and which have made it successful.

- *Learned by a group as it solved its problems of external adaptation and internal integration*. Culture is embedded in the experience of a given group. A group needs to have been together for long enough to have shared significant

problems and had the opportunity to work at solving them and see the effects. External adaptation problems have to do with survival and internal integration problems have to do with the ability to function as a group.

- *That worked well enough to be considered valid and to be taught to new members as the correct way to perceive, think and feel in relation to these problems*. These ways of solving problems become taken for granted and are passed on to new members. As ways of thinking and feeling, they are deeper than manifest behaviours; they are shared assumptions. They are typically tacit or hidden because they have been passed from generation to generation within an organisation and organisation members do not see them anymore because they are taken for granted.

Therefore, in Ed's framework, culture is much deeper than open office doors, plants and bright colours and mission statements and strategic plans. When we look at initiatives and why they haven't worked or achieved their intended outcomes, the answer is likely to be that the initiatives violate some taken-for-granted assumptions that are embedded in the organisational psyche because they were successful in the past. That is the key. Because something is successful at some point in time, it gets passed on as "the way we do things around here". Ed has presented culture as the sum total of all the taken-for-granted assumptions that a group has learned through its history. Therefore, an organisation's culture is deep. It controls organisations more than organisations control it. It is broad and it is stable as it sets predictability and normality, and hence changing it evokes anxiety and resistance.

What are the important elements of forming culture in a new organisation? Ed declared that the primary mechanisms that embed culture in a new organisation are found in the behaviour of the founder and leaders. What do they pay attention to, measure and control regularly? How do they react to critical incidents and organisational crises? What criteria do they use to allocate scarce resources? What behaviours do they role model? If organisational leaders are the primary sources of culture, then efforts to develop leadership skills are an essential strategy in culture change. However, leadership behaviour is not enough by itself; it needs to be supported by other organisational mechanisms.

Some secondary mechanisms which embed culture are the structure of the organisation, the systems and procedures, the rituals, the design of psychical space, the stories and legends which are told about people and events and, probably least, the statements of organisational philosophy and mission. Take teamwork for example. An organisation may espouse teamwork, that is it says it wants people to work together, share information and be co-responsible and co-accountable. At the same time, performance is measured individually and ultimately promotion is based on individual work and perhaps on individual work that is achieved at the expense of others. Hence, the message goes around, "what really matters here is individual work", and so the espoused focus on teamwork

is actually negated by existing, more powerful structures. To take another example, the organisational values espouse clarity, but the tacit shared assumptions may be that seeking clarity gets you into trouble and that keeping things close to your chest or deliberately vague is what is rewarded. Consequently, efforts to develop clarity get nowhere. In short, we do not examine culture in the abstract. We try to see what shared tacit assumptions are operative in a concrete issue.

Subcultures within organisations

As shared assumptions grow up within groups they also form within organisations. Shared assumptions develop within hierarchical levels. There may be front-line supervisory, middle-management and senior management cultures which create communication problems when resource allocation or budgetary is being discussed. In organisations, such as hospitality and retail, which utilise part-time (often student) workers, the shared assumptions of these workers and those of the full-time (often older) workers are markedly different.

There are subcultures within functional units. These are typically based on members' common educational backgrounds and professional training as well as common organisational experiences. The outcome can be that there is a collective mindset within professional groups that brings a particular way of understanding issues and uses language with specific meanings. One such example is how different professionals understand and use the term "data". Accordingly, cross-functional project teams may have difficulty communicating, reaching a consensus as to what the key issues are and designing and implementing solutions.

In his recent writings, Ed has explored culture in organisations as socio-technical systems (Schein & Schein, 2017, 2019). The notion of organisations as socio-technical systems understands how organisation are a combination of a technology system (task, technology, work design and so on) and a social system of the people who work together to perform the technical tasks (Trist & Murray, 1993). Ed has identified cultural practices in the technical system relating to mission goals, measurement and correcting and in the social system relating to group identities, boundaries, trust and openness, authority, rewards and punishments. He has identified a macro-system that encompasses beliefs about the historical, global environmental context and about reality, truth, spirituality, human relationships, time and space and attitudes towards the unknowable and risk. The three practices he has judged are a richer way of categorising what he had earlier called "external adaptation issues" and "internal integration issues as they provide a more nuanced view of the complexities of organisational life".

Occupational cultures

Ed has pointed to cultures that exist outside of organisations which impact within organisations. Across the world, professionals such as accountants, engineers,

scientists, university academics, doctors, nurses, finance experts, salespeople, frontline workers and trade union members share tacit assumptions about the nature of their work regardless of their current employment. In what I judge to be a provocative article, Ed explored what he saw as three cultures within management: the operator culture, the engineering culture and the executive culture (1996b). He described the assumptions of the operator culture as being people-focused as it depends on people's knowledge and skills in operating the core technology and performing the basic actions of the organisation. They must be able to deal with operational crises and to work collaboratively as teams. For the engineering culture, the ideal world is one of machines and processes working in perfect precision and harmony preferring people-free solutions. They prefer linear, simple cause-and-effect and reason based on quantitative data. The executive culture is one which is focused on the financial stability and health of the organisation to ensure return to shareholders and society. Their time horizon is on quarterly figures. As they become removed from day-to-day operations, they become less people-focused and more hierarchically and control-focused. Accordingly, their mindset is that of the lone hero who is responsible and accountable and whose professional peer group is other CEOs. Each culture is valid from its own perspective as it marks what each one is supposed to do. Creating alignment, in Ed's view, is about developing mutual understanding, in order to address issues rather than an imposition, through coercive persuasion, of one perspective over the others, hence is later emphasis on Level Two leadership (Schein & Schein, 2023).

What becomes critical for organisations is how these three cultures interact. Ed brought that application to the arena of information technology (IT) where the basic assumptions of IT specialists are not understood or discussed with the senior managers who pay for and implement the IT systems or the operators who are the ultimate users (Schein & Schein, 2017). In what McDonagh (2022) has identified as the bothersome challenge of aligning strategy and digital technology, failed change initiatives are characterised by an inability to coordinate the wisdom, knowledge, expertise and skills that are dispersed across occupational communities. In his view, the dominance of technical thinking and the marginalisation of people and organisational aspects of strategy and change have resulted in change initiatives that are partial and fragmented from the outset. Ed's solution has been to define the problem as inter-cultural and to design a process that enables cultural assumptions to be articulated and discussed, incorporating the management, IT specialists and user stakeholders. Ed has identified three traps (Schein & Schein, 2019). The first is that because on the surface they are speaking a common language they think that they understand one another. As commented earlier, there may be a significant difference in how terms like information or data are understood, which if unnoticed and not surfaced may create confusion. Ed provided an example of the Columbian air disaster in 1990, when the co-pilot radioed that he was running out of fuel. He did not know that

the traffic controllers did not translate this into "emergency" and that it was an explicit use of the term "emergency" that would have triggered a different response (Schein & Schein, 2017). The second trap is that participants stick to their learned way of thinking and get trapped into a debating and persuading mode of interacting rather than of dialogue and humble inquiry. The third trap is that the intercultural differences and stereotyping may become undiscussable and a defensive routine, where in Argyris' (2010) words, the undiscussable becomes undiscussable and the undiscussability of the undiscussable itself becomes undiscussable. Involving HR and OD process consultants as facilitators of the conversations helps to create psychological safety for intercultural listening and explore what is covert and undiscussable.

Industry cultures are afforded much attention. In Mike (2014), Ed discussed how the occupational cultures of those who run industries create cultures. He reflected on how the engineering cultures of a chemical company and an engineering company are miles apart because electrical engineers can experiment in a way that chemical engineers cannot.

National and global cultures

In considering the macro role national and global cultures play in organisational subsidies, Ed notes that, in this age of globalisation, national cultures are having a greater impact than organisational culture.

> The word is a different place. It's no longer solely about organizational cultures. It's now about occupational, organizational and even national cultures.
>
> (in Mike, 2014, p. 328)

In this, he is referring to how global teams are made up of members of national cultures and their individual assumptions about authority and relating from their national culture may inhibit their functioning as a team. As Ed has put it,

> Multicultural teams will have to learn how to work together by actually learning together to create a new cultural blend that will enable them to collaborative effectively.
>
> (in Mike, 2014, p. 316)

Uncovering organisational culture: the role of typologies and instruments

Many writers on organisational culture have framed typologies of organisational culture, for instance Harrison's (1979) power, role and task cultures, Whittington, Regner, Angwin, Johnson, and Scholes's (2022) cultural web and Cameron's (2011) competing values framework. Ed's view of culture typologies has been that while they simplify thinking and provide useful sorting categories they

may oversimplify complexities, limit perspectives by focusing on a few dimension, focus on incorrect categories and may not reveal what a group feels more intensely about. They may force an integration on what may be a diversified culture.

Ed has critiqued the use of instrumentation as a method for uncovering organisational culture. As we discussed in Chapter 7, he continuously questioned contemporary organisation studies' preoccupation with measurement and surveys. With regard to designing a culture survey, he posed the following questions in the mode of humble inquiry (Schein & Schein, 2017, 2019). How do we know what questions to ask? How do we know if employees are motivated to answer honestly? How do we know if employees have interpreted the questions correctly? Even if what is measured is accurate, it is also superficial. Is the sample of employees surveyed representative of culture carriers? Could unknown consequences of the survey be undesirable or destructive? Of course, these questions are not limited to a culture survey and could be applied to any survey. Nevertheless, Ed has acknowledged the usefulness of a survey as an initial measurement of a particular organisational culture, especially when a survey is intended to be an intervention in a change process or to stimulate a deeper analysis. In such a case, Canterino, Shani, Coghlan and Brunelli (2016) described how, through a collaborative research approach, the competing values framework formed the basis for reflective conversations between two merging organisations so as to create common ground in the development of the new organisation.

In Chapter 7, we explored Ed's notion of clinical inquiry/research as being grounded in an invitation from an organisation for help to address an issue. In the context of Ed's aforementioned critique of instrumentation and surveys for uncovering cultural assumptions, he has advocated and demonstrated the clinical approach as appropriate and effective in working with organisations to decipher their culture.

Ed has provided a method and examples of how he works to help an organisation identify important cultural assumptions and to evaluate the degree to which these assumptions enable or hinder changes that the organisation is seeking to make (1993b). Having been invited to an organisation to help and obtained leadership commitment, a group that wants to address the issue is assembled. He illustrated how he facilitates to group to identify artefacts first and second espoused values. Then he works to enable the group to gain insight into what shared tacit assumptions are operative in the group or in sub-cultures within the group. The subsequent steps are to judge what assumptions act as constraints and then to consider how they might be overcome. In this process, the experiences of organisational members are identified and grouped under headings of artefacts and espoused values and then subjected to questioning so as to generate insights so that judgements may be made which subsequently lead to action. In these cases, the outcome is the practical knowing of the organisational members of their cultural assumptions that are particular to their own organisational setting.

That practical knowing leads to actionable knowledge as they address the issues for change that they have perceived and understood. He has also noted that, when he worked in a culture with which he was not familiar, he would have an insider from that culture working with him so that whatever intervention he was considering could be assessed by the insider.

Ed has provided detailed studies of the culture of several organisations from his direct experience. Two of these, the Singapore Economic Development Board and Digital Equipment Corporation (DEC), are the subject of books (Schein, 1996a, 2003). In the fifth edition of *Organizational Culture and Leadership,* he devoted a chapter to these two organisations, in addition to a discussion of his work with Ciba Geigy (Schein & Schein, 2017). In the context of this present volume, what is noteworthy is, how in that book chapter, Ed demonstrates his use of the general empirical method. He relates his experiences with the organisations, shares his questions, offers his understanding and shows how he has come to judgement, not only about the culture of these three organisations but also how he has come to judgement about providing detailed case studies. He presents four reasons: how the devil is in the detail, how the history of how these organisations evolved is central, how things work within organisations and how the study of interventions requires a knowledge of how cultural elements interact.

Culture change

As noted earlier, Ed and his son Peter adopted the beach as a metaphor for culture change where headwinds blowing in from the ocean express forces for change, while the tailwinds blowing out from the shore may represent resisting forces (Schein & Schein, 2019). This image is grounded firmly in Lewinian field theory where, as we explored in Chapters 2 and 9, forces for change are countered by forces for stability and a shifting of the field requires a reduction in the restraining forces. Ed has brought the processes of recognising the need for change through disconfirmation, the experience of anxiety and creating psychological, changing through redefinition and making the change work and survive to cultural change (Schein & Schein, 2017, 2019).

> If I have learned anything from this field it is that cultures as a whole don't change; they evolve slowly as bits and pieces are changed by systematic change interventions . . . these intervention work only when cultural changes are clearly tied to the fixing of some organizational problems linked to performance.
>
> (Schein, 2015, p. 9)

Cultural change is a challenge in the context of mergers and acquisitions. In Schein and Schein (2017, 2019), Ed has put forward a dialogical approach whereby organisational members in the merged and from the acquiring/acquired

organisations form task forces to explore their cultural differences so as to build common ground on key issues.

The challenging question about organisational culture is that given the frequency in which organisations are bought and sold, acquired and merged and in effect torn apart and rebuilt, does Ed's framework apply only to longitudinal and sustained leadership settings?

Conclusions

From this exploration of Ed's work on organisational culture, what might we be learning about the topic? Ed has reflected:

> In summary culture appears to be a popular concept because it does capture the whole of a system but it will be some time before we have a common set of definitions and insights into what it means to describe and work with such a holistic concept.
>
> (2015, p. 10)

Ed's words at the opening of this chapter provide into his interiority as a scholar-practitioner. His third-person understanding of culture in organisations emerged through his second-person work as a consultant with a foundation in his first-person learning as a child. Consistent with the general empirical method of Ed of attending to his experiences with organisations, catching and sharing his questions, offering his understanding and showing how he has come to judgement, he has invited us to look beneath the artefacts and stated values to see how shared assumptions develop and may be changed, how culture may be studied and why it is important.

Questions for study and reflection

1. What is your understanding of culture in an organisation and how might you access it?
2. From your experience of an organisation, can you map the levels of artefacts, values and basic assumptions and the connectedness between them?
3. How have you worked with your experiences of what you have seen and heard to uncover more hidden shared assumptions?
4. How have you worked with teams comprised of diverse occupational and/or ethnic cultural backgrounds? What did you learn from such experiences?

References

Argyris, C. (2010). *Management traps*. New York: Oxford University Press.

Cameron, K. (2011). *Diagnosing and changing organizational culture based on the competing values framework* (3rd ed.). San Francisco, CA: Jossey-Bass.

Canterino, F., Shani, A. B. (Rami), Coghlan, D., & Brunelli, M. (2016). Collaborative management research as a modality of action research: Learning from a merger-based study. *Journal of Applied Behavioral Science*, *52*(2), 157–186. doi:10.1177/0021886316641509

Harrison, R. (1979). Understanding your organization's character. *Harvard Business Review 57*(5), 119–128.

McDonagh, J. (2022). Aligning strategy and digital technology in government organizations: A call to action. In A. B. (Rami) Shani & D. A. Noumair (Eds.), *Research in organizational; change and development* (Vol. 29, pp. 25–260). Bingley: Emerald. doi:10.1108/S0897-301620210000029010

Mike, B. (2014). Footprints in the sand: Edgar Schein. *Organizational Dynamics*, *43*, 321–328. doi:10.1016/j.orgdyn.2014.09.009

Schein, E. H. (1985). *Organizational culture and leadership*. San Francisco, CA: Jossey-Bass.

Schein, E. H. (1993a). *Organizational culture and leadership* (2nd ed.). San Francisco, CA: Jossey-Bass.

Schein, E. H. (1993b). Legitimizing clinical research in the study of organizational culture. *Journal of Counselling and Development*, *71*, 703–708. doi:10.1002/j.1556-6676.1993.tb02264.x

Schein, E. H. (1996a). *Strategic pragmatism: The culture of Singapore's Economic Development Board*. Cambridge, MA: MIT Press.

Schein, E. H. (1996b). Three cultures of management: The key to organizational learning. *Sloan Management Review*, *38*(1), 9–20.

Schein, E. H. (1999). *The corporate culture survival guide*. Hoboken, NJ: Wiley.

Schein, E. H. (2003). *DEC is dead. Long live DEC*. San Francisco, CA: Berrett-Kohler.

Schein, E. H. (2005). *Organizational culture and leadership* (3rd ed.). San Francisco, CA: Jossey-Bass.

Schein, E. H. (2006). From brainwashing to organizational therapy: A conceptual and empirical journey in search of 'systemic' health and a general model of change dynamics. A drama in five acts. *Organization Studies*, *27*(2), 287–301. doi:10.1177/0170840606061831

Schein, E. H. (2009). *The corporate culture survival guide* (2nd ed.). Hoboken, NJ: Wiley.

Schein, E. H. (2010). *Organizational culture and leadership* (4th ed.). San Francisco, CA: Jossey-Bass.

Schein, E. H. (2015). Organizational psychology: Then and now. *Annual Review of Organizational Psychology and Organizational Behavior*, *2*, 1–19. doi:10.1146/annurev-orgpsych-032414-111449

Schein, E. H., & Schein, P. A. (2017). *Organizational culture and leadership* (5th ed.). San Francisco, CA: Jossey-Bass.

Schein, E. H., & Schein, P. A. (2019). *The corporate culture survival guide* (3rd ed.). Hoboken, NJ: Wiley.

Schein, E. H. & Schein, P. A. (2023). *Humble leadership: The power of relationships, openness and trust*. 2nd ed, remimagined and refined. San Diego: Berrett-Kohler.

Trist, E., & Murray, H. (1993). *The social engagement of social science: A Tavistock anthology, vol. II the socio-technical perspective*. Philadelphia, PA: University of Pennsylvania Press.

Whittington, R., Regner, P., Angwin, D., Johnson, G., & Scholes, K. (2022). *Exploring strategy*, (12th ed.). London: Pearson.

Taylor & Francis
Taylor & Francis Group
http://taylorandfrancis.com

Part IV

The legacy

Taylor & Francis
Taylor & Francis Group
http://taylorandfrancis.com

12 Appropriating Ed's legacy

In Chapter 1, noting that there is no established Schein school of thought or unifying theoretical position tied to his name, I cited Van Maanen's (2019, p. 17) question. "How is it that a coherent research narrative – such as those produced by Ed over the years – can be fashioned and put in a persuasive way?" When I informed Ed that I was undertaking a book on his work, his reply was:

> I realize more and more that I am a very divergent thinker and keep finding new ways of looking at things and see connections where I saw none before. That being the case, I am not sure how well I will be able to agree with an analytical approach that is more structured and analytical, so I am really curious and of course feel very flattered and honoured that you are even willing to delve into this (Personal correspondence).

Regretfully, we were unable to follow up on Ed's uncertainty.

In rising to this challenge, I have adopted the focus on Ed's interiority, which I describe as a quality of attentiveness to his cognitive processes (data of consciousness) while attending to data of sense (what he was seeing and hearing) in his experiences, understanding, judgement decision and action. As the chapters of this book have demonstrated, Ed's extensive output has emerged from his divergence and creative opportunism. As he expressed it,

> I think that it has always been my strength: to turn whatever is around me and what is going on around me into something analytically and practically useful.
>
> (in Hansen & Madsen, 2019, p. 45)

In a reflective note written before his death, Ed wrote:

> In a summary way I can say that I have learned that the essence of understanding and working with human systems is to focus on relationships rather than individuals and on the process of how we relate rather than the structure.

DOI: 10.4324/9781003366355-16

This chapter has been made available under a (CC-BY-NC-ND) 4.0 license.

The key to Ed's divergence found in his interiority on his image of artistry.

> I see "artistry" in my work at several levels. My insight onto phenomena came unexpectedly and often at times when I was not thinking about that phenomena at all. It was therefore always wise to for me juggle several intellectual domains at the same time instead of working on one thing until I was finished. I see in my writings the same kinds of "problems" of how to render something that artists talk about. I have creative bursts when everything seems to click and a paper or part of a chapter just flows in an uninterrupted way.
>
> (1993, pp. 50–52)

What Ed is talking about here is the artistry of the mind which is relevant for those involved in scientific inquiry and research as it is for novelists in searching for a storyline with its characters and twists and turns.

It is the focus on his interiority rather than the content of his output that I put forward because it is what and how I have learned from him myself (Coghlan, 2018, 2023). I have, of course, learned very valuable subject material, notably process consultation, humble inquiry, the socio-psychological dynamics of change and changing and clinical inquiry and have taught them as subjects and topics. I am coming to reflect further on and appreciate his more recent emphasis on relationship. However, it is how Ed came to these subjects in his experience, posed questions, sought understanding, sought to consolidate his understanding and presented them to the world through his publications where, I think, there is rich learning for the scholarship of practice. In Chapter 1, I cited Van Maanen's categorisation of Ed's work as phenomenon-based, problem-focused, pragmatic, improvisational and procedural, coming as his experience generated questions and through abductive reasoning he worked to find explanations (Van Maanen, 2019). Ed's continuous reflection on what he was doing and his intention that his clients *perceive, understand and act* provide a solid foundation for readers to engage in perceiving Ed's work, understanding it and bringing that understanding into their practice.

Through Figure 4.1, I have captured the elements of Ed's work as an organisational scholar-practitioner. Ed consistently demonstrated his first-person reflexivity as he showed how his life experience has taught him his perspective on his life and work and how his second-person experiences as a process consultant provided challenges to his thinking. Consistently through the reflections reproduced in these chapters, he shows his attention to both his data of consciousness and his data of sense and treats them both equally. For instance, process consultation, humble inquiry, his frameworks of organisational culture and his socio-psychological process of social influence, change and changing emerged through his second-person work as a consultant and scholar. His presentation of his first- and second-person work is actualised through his extensive publications as third-person practice.

At the heart of Ed's practice as a scholar-practitioner are the three elements that I have learned from him: his explicit practice of his interiority, attending in the present tense and generating practical knowledge (Coghlan, 2018, 2023). Ed combined what he was seeing and hearing with what he was thinking. He showed how he was reflecting on his thinking as he listened to clients and figured out how to respond, sometimes identifying errors in how he had misread situations and had intervened inappropriately. When I asked him about this, his response was that it was his experiences in T-groups and association with the NTL colleagues that generated his learning to attend to "here and now" processes. As we have seen in Chapters 5–7, his focus always was to be helpful and generate knowledge that was practical and useful. Ed provides an overview that is cited at the opening of Chapter 1:

> Looking back I can see that I have been as much a practitioner as a scholar or rather, I found the most productive research to be the active practice of trying to help organizations. In reflecting on practice, I realize how much of it is artistry.
>
> (2006, p. 299)

Ed explored three experiences that might possibly explain the themes of his work from his early life: a refugee mentality, being a creative opportunist and holding the tension between autonomy and dependence (1993). He brought these together in reflecting on how, from the stressful challenges of adapting to new cultures as a child, he developed a tolerance for ambiguity and a desire to clarify and explain. Making things clear became a hallmark of his writing and teaching style. In being inserted into new cultures, Ed developed creative ways of adapting by sharpening his listening and observational skills as he learned the local language and worked out what was going on. This learning later fed into his approach to understanding and working with organisational careers and organisational culture. The tension between autonomy and dependence, Ed reflected, was rooted in making the transitions to new cultures and sowed the seed of his interest in social influence.

Interiority as merging scholarship and practice

As explored in Chapter 4, scholar-practitioners operate at the boundary of two worlds and at the interconnection of scholarship and practice and are committed to generating knowledge to share with scholarly and practitioner audiences. Propositional or scientific knowing is developed systematically where terms are defined, assumptions are articulated, hypotheses are formulated and verified and conclusions are drawn. Practical knowing emerges through an open-ended accumulation of insights through engagement on practical issues with degrees of curiosity and spontaneity, following hunches and catching on through trial and

error. I have explored how to understand Ed Schein's interiority through which he brought together systemic or propositional knowing and practical knowing through his artistry.

> I think I see a growing gap between the practitioners and the researchers and I have less and less faith that researchers are really going to solve the problems we face. I think we are going to need more applied knowledge and practical knowledge.
>
> (in Mike, 2014, p. 327)

What about us?

An underlying thread throughout this book has been that Ed's explicit practice of his interiority as he worked to enable his clients to *perceive, understand and act* on process events in their organisational systems provides an invitation for us to attend to our own interiority and thereby develop our knowledge and skills of being scholar-practitioners. The questions for study and reflection at the end of each chapter have sought to evoke first-person questioning and learning in this regard.

Interiority is founded on cognitional theory and the basis for cognitional theory is performing cognitional operations (experience, understanding and judgement) and so working out what is going on. To see all we need to do is to open and close our eyes. We are always hearing. We are always touching something. Knowing is a different matter. We have to be attentive to our experience, be intelligent in framing answers to our questions and be reasonable in making judgements. It is a matter of catching on. This catching on involves personal reflexivity (first-person inquiry/practice), engagement with others on issues of concern to them (second-person inquiry/practice) and producing useful actionable knowledge for other scholars and practitioners (third-person inquiry/practice).

Throughout this volume, I have explored interiority as a philosophical notion for reflexivity to ground the explanation of both what Ed did and what scholar-practitioners do as they engage at the boundary of scholarship and practice. Interiority is the mechanism by which scholar-practitioners may engage in dual challenges of engaging in the scholarship of practice. I offer two reflective points as an orientation and as a competence.

First, I suggest that, as scholar-practitioners, we practice attending to how we come to know what we know as it occurs (that is in the present tense). We do this by catching how we question experience, receive insights, test or verify them and come to reasonable judgements (or in Ed's terms, *perceive*, *understand* and act). In other words, practice internalising the operations of our knowing so that knowing how we know becomes a learned skill and a skill for the scholarship of our practice.

Second, I suggest that we draw on our interiority explicitly to guide our action and research. Drawing on how we know in different settings can enable us as

scholar-practitioners to develop the perspective and skills to engage with the different modes of knowing congruent with the needs of the change and changing situation so as to produce useful knowledge.

Conclusions

Meynell (1999) has argued that interiority forms the "new enlightenment", a synthesis of modern thesis and postmodern antithesis. He has characterised the new enlightenment as (a) being attentive one's mental acts and feelings as well as to the data of sense which is the hallmark of empiricism, (b) using one's intelligence to conceive or hypothesise answers to "What?" and "Why" questions, (c) being reasonable in affirming in what best fits the evidence and (d) being responsible in acting according with such reasonable judgements. If we understand Ed's contribution to applied behavioural science as expressing the new enlightenment, then we can assure the future of his legacy.

To give the final words to Ed, first about the field of organisational psychology and secondly about himself. Notice his use of excitement and fun.

> What is ultimately exciting about the field of organisational psychology/sociology is that it does provide a context for discovery, that one can get students and clients to share in that excitement because the phenomena are complex and multifaceted but not entirely out of reach. If we can improve our observational skills and learn to render what we see and hear in intelligible terms we will not only helps ourselves but others as well. That seems to make it all worthwhile.
>
> (1993, p. 60)

> I find that the most stimulating way to proceed is to stay open and humble, get in touch with my own biases and filters so that I can see and hear what is really out there. Deep down I think that organization studies is still in a pre-Darwinian state of development. We do not yet know what the key categories of variables are around which to build our field, but the search for them is great fun.
>
> (2006, p. 299)

References

Coghlan, D. (2018). Edgar Schein at 90: A celebratory and exploratory metalogue. *Journal of Applied Behavioral Science*, *54*(4), 2018, 385–398. doi:10.1177/0021886318801279

Coghlan, D. (2023). Interiority in the work of Edgar H. Schein: A personal reflection. *Journal of Applied Behavioral Science*, *59*(2), 191–196. https://doi.org/10.1177/00218863231161624

Hansen, A. V., & Madsen, S. (2019). *Theorizing in organization studies: Lessons from key thinkers*. Cheltenham: Edward Elgar.

Meynell, H. (1999). *Postmodernism and the new enlightenment*. Washington, DC: Catholic University Press.

Mike, B. (2014). Footprints in the sand: Edgar Schein. *Organizational Dynamics*, *43*, 321–328. doi:10.1016/j.orgdyn.2014.09.009

Schein, E. H. (1993). The academic as artist: Personal and professional roots. In A. Bedeian (Ed.), *Management laureates*: *A collection of autobiographical essays* (Vol. 3, pp. 31–62). Greenwich, CT: JAI Press.

Schein, E. H. (2006). From brainwashing to organizational therapy: A conceptual and empirical journey in search of 'systemic' health and a general model of change dynamics. A drama in five acts. *Organization Studies*, *27*(2), 287–301. doi:10.1177/0170840606061831

Van Maanen, J. (2019). On foxes and hedgehogs: Learning from Ed Schein. In G. Fatzer, J. Van Maanen, D. C. Schmid, & W. G. Weber (Eds.), *Edgar H. Schein: The spirit of inquiry* (pp. 13–27). Innsbruck: Innsbruck University Press.

Appendix

Edgar H. Schein's publications

Bailyn, L., & Schein, E. H. (1972). Where are they now, and how are they doing? *Technology Review*, *74*, 3–11.

Bailyn, L., & Schein, E. H. (1976). Life/career considerations as indicators of quality of employment. In A. D. Biderman & T. F. Drury (Eds.), *Measuring work quality for social reporting*. Beverly Hills, CA: SAGE.

Bauer, R. A., & Schein, E. H. (1957). Brainwashing. *Journal of Social Issues*, *13*(3).

Bennis, W. G., Schein, E. H., Berlew, D. F., & Steele, F. I. (1964). *Interpersonal dynamics: Essays and readings on human interaction*. Homewood, IL: Dorsey.

Bennis, W. G., Schein, E. H., Berlew, D. F., & Steele, F. I. (1968). *Interpersonal dynamics: Essays and readings on human interaction* (2nd ed.). Homewood,. IL: Dorsey.

Bennis, W. G., Van Maanen, J., Schein, E. H., & Steele, F. I. (1979). *Essays in interpersonal dynamics*. Homewood, IL: Dorsey.

Cohen, M., Erikson, K. T., Hill, F. W., Murray, E. J., & Schein, E. H. (1959). The effect of sleep deprivation on social behavior. *Journal of Social Psychology*, *40*, 229–236.

Gerstein, M., & Schein, E. H. (2011). Dark secrets: Face-work, organizational culture and disaster prevention. In C. de Franco & C. O. Meyer (Eds.), *Forecasting, warning and responding to transnational risks* (pp. 148–165). London: Palgrave Macmillan.

Plovnick, M. S., Steele, F. I., & Schein, E. H. (1973). Expanding professional design education in workshops in the applied behavioral sciences. *Journal of Higher Education*, *44*, 380387.

Schein, E. H. (1954a). Critical review of "the making of a scientist" by Anne Roe. *Bulletin of Atomic Scientists*, *10*, 297–298.

Schein, E. H. (1954b). The effect of reward on adult imitative behavior. *Journal of Abnormal and Social Psychology*, *49*, 389–395.

Schein, E. H. (1956a). The Chinese indoctrination program for prisoners of war: A study of attempted "brainwashing". *Psychiatry*, *19*(2), 149–172.

Schein, E. H. (1956b). Some observations on Chinese methods of handling prisoners of war. *Public Opinion Quarterly*, *20*, 321–327.

Schein, E. H. (1957a). Social disorganization, belief change, and collaboration with the enemy. Paper read at meetings of the *American Association of Public Opinion Research*, Washington, DC.

Schein, E. H. (1957b). The effect of sleep deprivation on the sending and receiving of complex instructions. *Journal of Applied Psychology*, *41*, 247–252.

Schein, E. H. (1959a). Brainwashing and totalitarianization in modern society. *World Politics*, *11*, 430–441.
Schein, E. H. (1959b). Brainwashing. *Encyclopedia Britannica*. Cambridge: Center for International Studies.
Schein, E. H. (1960). Interpersonal communication, group solidarity, and social influence. *Sociometry*, *23*, 148–161.
Schein, E. H. (1961a). Brainwashing. In *The yearbook of world affairs*. London: Stevens & Sons.
Schein, E. H. (1961b). Management development as process of influence. *Industrial Management Review*, *2*, 59–77.
Schein, E. H. (1962a). Statement: To set straight the Korean POW episode. *Harvard Business Review*, *40*, 94–95.
Schein, E. H. (1962b). Man against man: Brainwashing. *Corrective Psychiatry*, *8*, 90–97.
Schein, E. H. (1962c). Statement: To set straight the Korean POW episode. *Harvard Business Review*, *40*, 94–95.
Schein, E. H. (1963). Forces which undermine management development. *California Management Review*, *5*(4), 23–34.
Schein, E. H. (1964a). How to break in the college graduate. *Harvard Business Review*, *42*, 68–76.
Schein, E. H. (1964b). Training in industry: Education or indoctrination. *Industrial Medicine & Surgery*, *33*.
Schein, E. H. (1965). *Organizational psychology*. Englewood Cliffs, NJ: Prentice-Hall.
Schein, E. H. (1966). The problem of moral education for the business manager. *Industrial Management Review*, *8*, 3–14.
Schein, E. H. (1967a). Attitude change during management education: A study of organizational influences on student attitudes. *Administrative Science Quarterly*, *11*, 601–628.
Schein, E. H. (1967b). The wall of misunderstanding on the first job. *Journal of Applied Behavioral Science*, *27*, 48–56.
Schein, E. H. (1968a). Organizational socialization and the profession of management. *Industrial Management Review*, *9*, 1–15.
Schein, E. H. (1968b). Personal change through interpersonal relationships. In W. G. Bennis, E. H. Schein, F. I. Steele, & D. E. Berlew (Eds.), *Interpersonal dynamics: Essays and readings on human interaction* (2nd ed.). Homewood, IL: Dorsey.
Schein, E. H. (1968c, March). The first job dilemma. *Psychology Today*, 22–37.
Schein, E. H. (1969a). *Process consultation: Its role in organization development*. Reading, MA: Addison-Wesley.
Schein, E. H. (1969b). The problem of moral education for the business manager. In C. Faust & J. Feingold (Eds.), *Approaches to education for character: Strategies for change in higher education*. New York: Columbia University.
Schein, E. H. (1970a). *Organizational psychology* (2nd ed.). Englewood Cliffs, NJ: Prentice-Hall.
Schein, E. H. (1970b). The reluctant professor: Implications for university management. *Industrial Management Review*, *12*, 35–49.
Schein, E. H. (1971a). Occupational socialization in the professions: The case of role innovation. *Journal of Psychiatric Research*, *8*, 521–530.
Schein, E. H. (1971b). The individual, the organization, and the career: A conceptual scheme. *Journal of Applied Behavioral Science*, *7*, 401–426.

Schein, E. H. (1972a). *Professional education: Some new directions*. New York: McGraw Hill.

Schein, E. H. (1972b). The general manager: A profile. *Proceedings of the Eastern Academy of Management.*

Schein, E. H. (1973). Organizational psychology: Problems and prospects for the future. *Training and Development Journal*, *27*, 43–49.

Schein, E. H. (1974). Behavioral sciences for management. In J. W. McGuire (Ed.), *Contemporary management: Issues and viewpoints*. Englewood Cliffs, NJ: Prentice-Hall.

Schein, E. H. (1975a). Career development: Theoretical and practical issues for organizations. In *Career planning and development* (Management Development Series 12). Geneva: International Labour Office.

Schein, E. H. (1975b). Changing role of the personnel manager. *Journal of the College and University Personnel Association*, *26*, 14–19.

Schein, E. H. (1975c). How career anchors hold executives to their career paths. *Personnel*, *52*, 11–14.

Schein, E. H. (1975d). In defense of theory Y. *Organizational Dynamics*, 17–30.

Schein, E. H. (1975e). The Hawthorne Group studies revisited: A defense of theory Y. In E. L. Cass & F. G. Zimmer (Eds.), *Man and work in society*. New York: Van Nostrand.

Schein, E. H. (1977a). Career anchors and career paths: A panel study of management school graduates. In J. Van Maanen (Ed.), *Organizational careers: Some new perspectives* (pp. 49–64). New York: John Wiley & Sons.

Schein, E. H. (1977b). Increasing organizational effectiveness through better human resources planning and development. *Sloan Management Review*, *19*, 1–20.

Schein, E. H. (1978a). *Career dynamics: Matching individual and organizational needs*. Reading, MA: Addison-Wesley.

Schein, E. H. (1978b). The role of the consultant: Content expert or process facilitator? *Personnel and Guidance Journal*, 339–343.

Schein, E. H. (1979). Personal change through interpersonal relationships. In W. G. Bennis, J. Van Maanen, E. H. Schein, & F. I. Steele (Eds.), *Essays in interpersonal dynamics* (pp. 129–162). Homewood, IL: Dorsey Press.

Schein, E. H. (1980a). Career theory and research: Some issues for the future. In C. B. Derr (Ed.), *Work, family and the career*. New York: Praeger.

Schein, E. H. (1980b). *Organizational psychology* (3rd ed.). Englewood Cliffs, NJ: Prentice-Hall.

Schein, E. H. (1981a). Does Japanese management style have a message for American managers? *Sloan Management Review*, *23*, 55–68.

Schein, E. H. (1981b). Improving face-to-face relationships. *Sloan Management Review*, *22*, 43–52.

Schein, E. H. (1983a). Career development: Key issues for organizations. In B. Taylor & G. Lippitt (Eds.), *Management development and training handbook* (2nd ed.). London: McGraw-Hill.

Schein, E. H. (1983b). The role of the founder in creating organizational culture. *Organization Dynamics*, 13–28.

Schein, E. H. (1984a). Coming to a new awareness of organizational culture. *Sloan Management Review*, *25*, 3–16.

Schein, E. H. (1984b). Culture as an environmental context for careers. *Journal of Occupational Behavior*, *5*, 71–81.

Schein, E. H. (1985a). *Career anchors: Discovering your real values*. San Diego, CA: University Associates.
Schein, E. H. (1985b). Deep culture. In J. C. Glidewell (Ed.), *Corporate cultures*. Alexandria, VA: American Society for Training Directors.
Schein, E. H. (1985c). How culture forms, develops, and changes. In R. H. Kilmann et al. (Eds.), *Gaining control of the corporate culture*. San Francisco, CA: Jossey-Bass.
Schein, E. H. (1985d). *Organizational culture and leadership: A dynamic view*. San Francisco, CA: Jossey-Bass.
Schein, E. H. (1985e). Organizational culture: Skill, defense mechanism or addiction? In P. R. Brush & J. B. Overmier (Eds.), *Affect, conditioning, and cognition: Essays on the determination of behavior*. Hillsdale, NJ: Lawrence Erlbaum.
Schein, E. H. (1986a). A critical look at current career development theory and research. In D. T. Hall et al. (Eds.), *Career development in organizations*. San Francisco: Jossey-Bass.
Schein, E. H. (1986b). Are you corporate cultured? *Personnel Journal*, *65*, 82–96.
Schein, E. H. (1986c). How leaders embed and transmit culture. *Armed Forces Comptroller*, *31*, 6–12.
Schein, E. H. (1986d). International human resource management: New directions, perpetual issues, and missing themes. *Human Resource Management*, *25*, 169–176.
Schein, E. H. (1986e). What you need to know about organizational culture. *Training and Development Journal*, 30–33.
Schein, E. H. (1987a). Individuals and careers. In J. W. Lorsch (Ed.), *Handbook of organizational behavior*. Englewood Cliffs, NJ: Prentice-Hall.
Schein, E. H. (1987b, February). Leadership as managed culture change. *Executive Excellence*, 2–4.
Schein, E. H. (1987c). *Process consultation: Lessons for managers and consultants* (Vol. 2). Reading, MA: Addison-Wesley.
Schein, E. H. (1987d). *The art of managing human resources*. New York: Oxford University Press.
Schein, E. H. (1987e). *The clinical perspective in field work*. Newbury Park, CA: SAGE.
Schein, E. H. (1988a). Management education: Some troublesome realities and possible remedies. *Journal of Management Development*, *7*(2), 5–15.
Schein, E. H. (1988b). *Process consultation: Its role in organization development* (Vol. 1, Rev. ed.). Reading, MA: Addison-Wesley.
Schein, E. H. (1988c). Speaking of careers: The future of career development. *The Career Forum*, Spring, 2–3.
Schein, E. H. (1989a). A social psychologist discovers Chicago sociology. *Academy of Management Review*, *14*, 103–104.
Schein, E. H. (1989b). Organizational culture: What it is and how to change it. In P. Evans, Y. Doz, & A. Laurent (Eds.), *Human resource management in international firms*. London: Macmillan.
Schein, E. H. (1989c). Process consultation as a general philosophy of helping. *Consulting Psychology Bulletin*, 3–15.
Schein, E. H. (1989d). Reassessing the "divine rights" of managers. *Sloan Management Review*, *30*(2), 63–68.
Schein, E. H. (1990). Innovative cultures and adaptive organizations. *Sri Lanka Journal of Development Administration*, *7*, 9–13.

Schein, E. H. (1990a). A general philosophy of helping: Process consultation. *Sloan Management Review*, *31*(3), 57–64.
Schein, E. H. (1990b). Back to the future: Recapturing the OD vision. In F. Massarik (Ed.), *Advances in organization development* (Vol. 1). Norwood, NJ: Ablex.
Schein, E. H. (1990c). *Career anchors* (Rev. ed.). San Diego, CA: Pfeiffer.
Schein, E. H. (1990d). *Career anchors*. *Trainer's manual* (Rev. ed.). San Diego, CA: Pfeiffer.
Schein, E. H. (1990e). Models of consultation: What do organizations of the 1990s need? *Consultation*, *9*(4), 261–275.
Schein, E. H. (1990f). Organizational culture. *American Psychologist*, *45*, 109–119.
Schein, E. H. (1991a). The role of process consultation in the creation and implementation of strategy. *Consulting Psychology Bulletin*, *43*(1), 16–18.
Schein, E. H. (1991b). The role of the founder in the creation of organizational culture. In P. J. Frost, L. F. Moore, M. R. Louis, C. C. Lundberg, & J. Martin (Eds.), *Reframing organizational culture* (pp. 14–25). Newbury Park, CA: SAGE.
Schein, E. H. (1991c). What is culture? In P. J. Frost, L. F. Moore, M. R. Louis, C. C. Lundberg, & J. Martin (Eds.), *Reframing organizational culture* (pp. 243–253). Newbury Park, CA: SAGE.
Schein, E. H. (1992a). Career anchors and job/role planning: The links between career planning and career development. In D. H. Montross & C. K. Shinkman (Eds.), *Career development*. Springfield. IL: Charles C. Thomas.
Schein, E. H. (1992b). *Organizational culture and leadership* (2nd ed.). San Francisco, CA: Jossey Bass.
Schein, E. H. (1992c). The role of the CEO in the management of change: The case of information technology. In T. A. Kochan & M. Useem (Eds.), *Transforming organizations*. New York: Oxford University Press.
Schein, E. H. (1993a). *Career survival: Strategic job/role planning*. San Diego, CA: Pfeiffer.
Schein, E. H. (1993b). How can organizations learn faster? The challenge of entering the green room. *Sloan Management Review*, *34*, 85–92.
Schein, E. H. (1993c). Legitimating clinical research in the study of organizational culture. *Journal of Counseling and Development*, *71*, 703–708.
Schein, E. H. (1993d). On dialogue, culture, and organizational learning. *Organizational Dynamics*, *22*, 40–51.
Schein, E. H. (1993e). The academic as artist: Personal and professional roots. In A. Bedeian (Ed.), *Management laureates* (Vol. 3). Greenwich, CT: JAI Press.
Schein, E. H. (1994). Commentary: What is an entrepreneur? *Entrepreneurship: Theory and Practice*, *19*(2), 87–88.
Schein, E. H. (1995a). Process consultation, action research and clinical inquiry: Are they the same? *Journal of Managerial Psychology*, *10*(6), 14–19.
Schein, E. H. (1995b). Dialogue and learning. *Executive Excellence*, *12*(4), 3–4.
Schein, E. H. (1995c). The role of leadership in the management of organizational transformation and learning. *The OD Practitioner*, *27*(1), 17–24.
Schein, E. H. (1996a). Career anchors revisited: Implications for career development in the 21st century. *Academy of Management Executive*, *10*(4), 80–88.
Schein, E. H. (1996b). Culture: The missing concept in organization studies. *Administrative Science Quarterly*, *41*, 229–240.

Schein, E. H. (1996c). Kurt Lewin's change theory in the field and in the classroom: Notes toward a model of managed learning. *Systems Practice*, *9*(1), 27–47.
Schein, E. H. (1996d). Leadership and organizational culture. In F. Hesselbein, M. Goldsmith, & R. Beckhard (Eds.), *The leader of the future*. San Francisco, CA: Jossey-Bass.
Schein, E. H. (1996e). *Strategic pragmatism: The culture of Singapore's economic development board*. Cambridge, MA: MIT Press.
Schein, E. H. (1996f). Three cultures of management: The key to organizational learning. *Sloan Management Review*, *38*(1), 9–20.
Schein, E. H. (1997a). Organization development and the organization of the future. *Organization Development Journal*, *15*(2), 11–19.
Schein, E. H. (1997b). Organizational learning: What is new? In M. F. Rahim, R. T. Golembiewski, & L. E. Pate (Eds.), *Current topics in management* (Vol. 2). Greenwich, CT: JAI Press.
Schein, E. H. (1997c). The concept of "client" from a process consultation perspective: A guide for change agents. *Journal of Organizational Change Management*, *10*(3), 202–216.
Schein, E. H. (1998). "Career anchors" and "career stages". In C. L. Cooper & C. Argyris (Eds.), *Encyclopedia of management* (pp. 69–72). Oxford: Blackwell.
Schein, E. H. (1999a). Culture change. In D. G. Langdon, K. S. Whiteside, & M. M. McKenna (Eds.), *Intervention resource guide* (pp. 125–130). San Francisco, CA: Jossey Bass.
Schein, E. H. (1999b). Dialogue: How to reflect in groups. In A. Chen & J. Van Maanen (Eds.), *The reflective spin: Case studies of teachers in higher education transforming learning*. River Edge, NJ: World Scientific.
Schein, E. H. (1999c). Empowerment, coercive persuasion and organizational learning: Do they connect? *The Learning Organization*, *6*(4), 163–172.
Schein, E. H. (1999d). *Process consultation revisited: Building the helping relationship*. Reading, MA: Addison-Wesley-Longman.
Schein, E. H. (1999e). *The corporate culture survival guide*. San Francisco, CA: Jossey-Bass.
Schein, E. H. (1999f). Three cultures of management. In S. A. Rosell (Ed.), *Renewing governance* (pp. 292–301). New York: Oxford University Press.
Schein, E. H. (2000a). Coaching and consultation: Are they the same? In M. Goldsmith, L. Lyons, & A. Freas (Eds.), *Coaching for leadership* (pp. 65–73). San Francisco, CA: Jossey Bass.
Schein, E. H. (2000b). Models of consultation: What do organizations of the 21st century need? In R. T. Golembiewski (Ed.), *Handbook of organizational consultation* (2nd ed., pp. 893–902). New York: Marcel Dekker.
Schein, E. H. (2000c). Sense and nonsense about culture and climate. In N. M. Ashkanasy, C. P. M. Wilderon, & M. F. Peterson (Eds.), *Handbook of organizational culture and climate* (pp. xxiii–xxx). Thousand Oaks, CA: SAGE.
Schein, E. H. (2000d). When will we learn? In A. Kleiner & G. Roth (Eds.), *Oil change: Perspectives on corporate transformation* (pp. 189–198). Oxford: Oxford University Press.
Schein, E. H. (2001a). Clinical inquiry/research. In P. Reason & H. Bradbury (Eds.), *Handbook of Action Research* (pp. 228–237). London: SAGE.

Schein, E. H. (2001b). The anchors that dictate our careers. In J. Pickford (Ed.), *Financial times: Mastering management 2.0*. London: Prentice Hall.
Schein, E. H. (2001c). The impact of transnational institutions on cultural values and vice versa. *Reflections*, *3*, 41–47.
Schein, E. H. (2001d). The role of art and the artist. *Reflections*, *2*, 81–83.
Schein, E. H. (2001e). What smart trainers should know about organizational culture. In L. L. Ukens (Ed.), *What smart trainers know* (pp. 54–60). San Francisco, CA: Jossey Bass.
Schein, E. H. (2002a). Consulting: What should it mean? In T. Clark & R. Fincham (Eds.), *Critical consulting: New perspectives on the management advice industry*. Malden, MA: Blackwell.
Schein, E. H. (2002b). Models and tools/or stability and change in human systems. *Reflections*, *4*(2), 34–45.
Schein, E. H. (2003a). *DEC is dead. Long live DEC: The lasting legacy of Digital Equipment Corporation*. San Francisco, CA: Berrett-Koehler.
Schein, E. H. (2003b). Five traps for consulting psychologists. *Consulting Psychology Journal*, 75–83.
Schein, E. H. (2003c). The culture of media as viewed from an organizational culture perspective. *The International Journal on Media Management*, *5*(3), 171–172.
Schein, E. H. (2004a). Learning when and how to lie: A neglected aspect of organizational and occupational socialization. *Human Relations*, *57*(3), 260–273.
Schein, E. H. (2004b). O*rganizational culture and leadership* (3rd ed.). San Francisco, CA: Jossey-Bass.
Schein, E. H. (2005a). Career anchors for leaders. *Encyclopedia of executive governance*. Paris: ESCP-EAP.
Schein, E. H. (2005b). Career anchors. *The Blackwell Encyclopedia of Management*, *5*, 37–39.
Schein, E. H. (2005c). Career stages. *The Blackwell Encyclopedia of Management*, *5*, 43–44.
Schein, E. H. (2005d). Organization development: A wedding of anthropology and organizational therapy. In D. L. Bradford & W. W. Burke (Eds.), *Reinventing organization development* (pp. 131–143). San Francisco, CA: Pfeiffer.
Schein, E. H. (2005e). Taking organization culture seriously. In W. J. Rothwell & R. Sullivan (Eds.), *Practicing organization development* (pp. 365–375). San Francisco, CA: Pfeiffer.
Schein, E. H. (2006a). *Career anchors* (3rd ed.). San Francisco, CA: Pfeiffer.
Schein, E. H. (2006b). Facilitative process interventions: Task process in groups. In J. V. Gallos (Ed.), *Organization development: A Jossey-Bass reader*. San Francisco, CA: Jossey-Bass.
Schein, E. H. (2006c). From brainwashing to organizational therapy: A conceptual and empirical journey in search of 'systemic' health and a general model of change dynamics. A drama in five acts. *Organization Studies*, *27*(2), 287–301.
Schein, E. H. (2007). Foreword: Career research – some personal perspectives; Afterword: Career research – some issues and dilemmas. In H. Gunz & M. Peiperl (Eds.), *Handbook of career studies*. Los Angeles, CA: SAGE.

Schein, E. H. (2008a). Clinical inquiry/research, revised. In P. Reason & H. Bradbury (Eds.), *The SAGE handbook of action research* (2nd ed.). London: SAGE.

Schein, E. H. (2008b). Creating and managing a learning culture: The essence of leadership. In J. V. Gallos (Ed.), *Business leadership: A Jossey-Bass reader* (2nd ed.). San Francisco, CA: Jossey-Bass.

Schein, E. H. (2008c). Empathy walk: Unfreezing cultural and occupational stereotypes. In E. Biech (Ed.), *The 2008 Pfeiffer annual: Consulting*. San Francisco, CA: Pfeiffer.

Schein, E. H. (2009a). *Helping: How to offer, give and receive help*. San Francisco, CA: Berrett-Koehler.

Schein, E. H. (2009b). Reactions, reflections, rejoinders, and a challenge. *Journal of Applied Behavioral Science*, *45*(1), 141–158.

Schein, E. H. (2009c). *The corporate culture survival guide* (2nd ed.). San Francisco, CA: Jossey-Bass.

Schein, E. H. (2010). *Organizational culture and leadership* (4th ed.). San Francisco, CA: Jossey-Bass.

Schein, E. H. (2012). *Oral history interview conducted by Phillip Scarpino*. Tobias Leadership Center, Indiana University. Retrieved from https://tobiascenter.iu.edu/research/oral-history/audio-transcripts/schein-edgar.html

Schein, E. H. (2013a). *Humble inquiry: The gentle art of asking instead of telling*. San Francisco, CA: Berrett-Koehler.

Schein, E. H. (2013b). Notes towards a model of organizational therapy. In L. Vansina (Ed.), *Humanness in organizations* (pp. 91–100). London: Karnak.

Schein, E. H. (2013c). The culture factor in safety culture in safety management in context. In *White book. ETII, Zurich & MIT*. Cambridge, MA: Swiss Re Centre for Global Dialogue.

Schein, E. H. (2015a). Corporate culture. In J. D. Wright (Ed.), *International Encyclopedia of the Social & Behavioral Sciences* (2nd ed., Vol. 4, pp. 923–926). Oxford: Elsevier.

Schein, E. H. (2015b). Some thoughts about the uses and misuses of the concept of culture. *Journal of Business Anthropology*, *4*(1).

Schein, E. H. (2015c). Whistle blowing: A message to leaders and managers comment on "cultures of silence and cultures of voice: The role of whistleblowing in healthcare organizations". *International Journal of Health Policy and Management*, *5*(4), 265–266.

Schein, E. H. (2016a). *Becoming American. My first learning journey*. New York: iUniverse.

Schein, E. H. (2016b). *Humble consulting*. Oakland, CA: Berrett -Koehler.

Schein, E. H. (2019). *The corporate culture survival guide* (3rd ed.). San Francisco, CA: Jossey-Bass.

Schein, E. H., Beckhard, R., & Driscoll, J. W. (1981). Teaching organizational psychology to middle managers: A process approach. *Organizational Behavior Teaching Review*, *5*(5), 19–26.

Schein, E. H., & Bennis, W. G. (1965). *Personal and organizational change through group methods: The laboratory approach*. New York: Wiley.

Schein, E. H., & Donaghy, J. E. (1957). Spontaneous organization of communication in four-man problem solving groups. *American Psychologist*, *12*, 371.

Schein, E. H., & Hall, D. T. (1967). The student image of the teacher. *Journal of Applied Behavioral Science*, *3*, 305–337.

Schein, E. H., Hill, W. F., Williams, H. L., & Lubin, A. (1957). Distinguishing characteristics of collaborators and resisters among American prisoners of war. *Journal of Abnormal and Social Psychology*, *55*, 197–201.

Schein, E. H., Kahane, A., & Scharmer, C. O. (2001). Humility and ignorance: What it takes to be an effective process consultant. *Reflections*, *3*, 8–19.

Schein, E. H., & Lippitt, G. L. (1966). Supervisory attitudes toward the legitimacy of influencing subordinates. *Journal of Applied Behavioral Science*, *2*, 199–209.

Schein, E. H., McKelvey, W. W., Peters, D. R., & Thomas, J. M. (1965). Career orientations and perceptions of rewarded activity in a research organization. *Administrative Science Quarterly*, *2*, 333–349.

Schein, E. H., Ogawa, J., & Bond, D. S. (2009). *Organizational therapy: Multiple perspectives*. North Andover, MA: Alternative Perspectives.

Schein, E. H., & Ott, J. S. (1962). The legitimacy of organizational influence. *American Journal of Sociology*, *67*, 682–689.

Schein, E. H., & Schein, P. A. (2017). *Organizational culture and leadership* (5th ed.). New York: Wiley.

Schein, E. H., & Schein, P. A. (2018a). *Humble leadership: The power of relationships, openness, and trust*. Oakland, CA: Berrett-Koehler.

Schein, E. H., & Schein, P. A. (2018b). Views from the field: Humble leadership. *Journal of Character & Leadership Development*, *5*(1), 12–19.

Schein, E. H., & Schein, P. A. (2018c). What's new in OD? Nothing, yet everything. *OD Practitioner*, *50*(4), 6–8.

Schein, E. H., & Schein, P. A. (2018d). Why humble leadership will win. *Talent Quarterly-The Team Issue*, *18*, 10–12.

Schein, E. H., & Schein, P. A. (2019). A new era for culture, change, and leadership: A conversation between Edgar H. Schein and Peter A. Schein. *MIT Sloan Management Review*, Summer, 52–58.

Schein, E. H., & Schein, P. A. (2021). *Humble inquiry: The gentle art of asking instead of telling* (2nd ed.). San Diego, CA: Berrett-Kohler.

Schein, E. H., & Schein, P. A. (2022). Global warming: The threat and the hope. In J. M. Bartunek (Ed.), *Social scientists confronting global crises* (pp. 84–94). Abingdon: Routledge.

Schein, E. H., & Schein, P. A. (2023). *Humble leadership: The power of relationships, openness and trust* (2nd ed.). San Diego, CA: Berrett-Kohler.

Schein, E. H., Schneier, I., & Barker, C. H. (1961). *Coercive persuasion*. New York: W. W. Norton.

Schein, E. H., & Singer, M. T. (1958). Projective test responses of prisoners of war following repatriation. *Psychiatry*, *21*, 375–385.

Schein, E. H., & Singer, M. T. (1962). Follow-up intelligence test data on prisoners repatriated from North Korea. *Psychological Reports*, *11*, 193–194.

Schein, E. H., Singer, M. T., & Cooley, W. E. (1962). *A psychological follow-up of former prisoners of war of the Chinese communists*. Cambridge, MA: MIT Press.

Schein, E. H., Strassman, H., & Thaler, M. (1956). A prisoner of war syndrome: Apathy as a reaction to severe stress. *American Journal of Psychiatry*, *112*, 998–1003.

Schein, E. H., & Van Maanen, J. (2013). *Career anchors* (4th ed.). San Francisco, CA: Wiley.

Schein, E. H., Van Maanen, J., & Schein, P. A. (2023). *Career anchors reimagined: Finding direction and opportunity in the changing world of work*. New York: Wiley.

Schein, E. H., White, H., & Hill, W. F. (1955). The organization of communication in small problem-solving groups. *American Psychologist*, *10*, 357–365.

Van Maanen, J., & Schein, E. H. (1977). Career development. In J. R. Hackman & J. L. Shuttle (Eds.), *Improving life at work*. Santa Monica, CA: Goodyear.

Van Maanen, J., & Schein, E. H. (1979). Towards a theory of organizational socialization. In B. M. Staw (Ed.), *Research in organizational behavior* (Vol. 1). Greenwich, CT: JAI Press.

Van Maanen, J., Schein, E. H., & Bailyn, L. (1977). The shape of things to come: A new look at organizational careers. In J. R. Hackman, E. E. Lawler, & L. W. Porter (Eds.), *Perspectives on behavior in organizations*. New York: McGraw-Hill.

Weschler, I. R., & Schein, E. H. (1962). *Issues in training*. Washington, DC: NTL Selected Readings # 5. National Education Association.

Index

abductive reasoning 4, 91–92
academic as artist 54–55
action research 24, 87, 95, 116, 117
adaptive coping cycle 126–130
Addison-Wesley OD series 115–116
Allport, G. 12
anxiety 123–125, 135
Argyris, C. 37–38, 44, 49, 51, 58, 94, 98
Ayas, K. 113, 118, 119, 131

Bailyn, L. 24–25, 145
Bargal, D. 37, 44
Barley, S. 25, 26, 28
Bavelas, A. 14, 16
Beckhard, R. 18, 22, 30, 115, 128, 131
Bennis, W. 20, 24
Bouwen. R. 7, 9, 10, 28, 69, 73, 83, 97, 99, 134, 145
Buono, A. 79, 85
Burke, W.W. 20, 28, 116, 131
Burnes, B. 20–22, 21, 131

Cain, D. 70, 73
career anchors 139–142
career dynamics 136–137
careers 134–145
change 120–125
Chicago (University of) 12
clinical inquiry/research 86–98; activities 88–89; assumptions 88; definition 87; positioning regarding other research approaches 94–97; process 89–92; quality 92–93
coercive persuasion 102–110; in education and learning 108–110; as management development 105–106; as organisational learning 106–108; theory 104–105
Collins, S. 4, 8
Corthouts, F. 69. 73
Coutu, D.L. 123, 131
Cronin, B. 6, 8, 52, 58
culture *see* organisational culture

Delanty, G. 34, 38, 45, 47–48, 58
dialogic OD 117–118
dialogue 82–83
differentiation of consciousness 35
Digital Electronic Equipment (DEC) 64–65, 74
Dilthy, W. 34
Dougherty, D. 25, 28

Eidle, W. 36, 45, 52, 58
extended epistemology 35–36

Garden, A-M. 25, 28
Gavin, J.H. 10, 28, 59, 87, 91, 99
general empirical method 51–52, 78
Goffman, E. 13–14, 77, 85
Golembiewski, R.T. 115, 132
Grieten, S. 7, 9, 10, 28, 69, 73, 83, 97, 99, 134, 145

Hansen, A.V. 11, 43–44, 45, 55, 67, 87–88, 161, 165
Harvard University 12–13
Hay, G. 33, 36, 45, 46, 58, 67, 74, 94, 99
helping 76
Heron, J. 36, 45
Hibbert, P. 49, 59
Hoffman, A. 38, 45, 86, 99
Hollis, M. 34, 45
humble consulting 78–79
humble education 110
humble inquiry 76–78

humble leadership 79–80
Hume, K. 20, 28, 105, 113
Huybrechts, J.P. 7, 9, 10, 28, 83, 97, 99, 134, 145

impact 96
information technology 119
inquiring in the present tense 53–54, 90–91
interiority 7, 52–53
interpersonal dynamics 26
intervention typology 67–68

Johari Window 77, 85

Kahneman, D. 51, 59
knowing: experiential 35; operations of 50–51; practical 35, 36, 54, 57, 89–90; presentational 35; propositional 35, 36
Kram, K. 32, 33, 46
Kunda, G. 25, 28

Lambrechts, F. 7, 9, 10, 28, 69, 73, 83, 97, 99, 134, 145
Langer, E. 51, 59
learning history 118
Leopold, A. 15, 29
Lewin, K. 36–38, 45, 105, 120–122, 132
Lonergan, B.J. 5–6, 9, 35, 45, 50–51, 59
Luft, J. 77, 85
Luthans, F. 10, 14, 28

Madsen, S. 11, 43–44, 45, 55, 87–88, 161, 165
management development 14, 21, 105–106
Marshall, J. 49, 59
Massachusetts Institute of Technology (MIT) 14–27
McDonagh, J. 119, 132
McGregor, D. 14, 16, 18, 19, 26–27, 29, 42, 137
meaning 34–36
Meynell, H. 165, 166
Mike, B. 87, 153, 157, 164, 166
Mirvis, P.H. 96, 107–108, 113
Mode 2 knowledge production 96

NTL 19–21, 64

organisational change 115–118
organisational culture 146–156; cultural change 155–156; definition 148; levels. 148–149; national and global cultures 247; occupational cultures 153; sub-cultures 151; use of typologies and instruments 153–154
organisational learning 106–108
organisational psychology 39–43
organisational socialisation 105–106, 136
organisation development 115–118; definition 115; philosophy 116–117
ORJI 18, 78

Peirce, C. 4, 91–92, 99
personization 82
process consultation 64–72; definition 66; foundations 65–66

Quick, J.C. 10, 28, 50, 59, 87, 91, 99

Reason, P. 35, 45, 59, 99
Reflections, Journal of The Society of Organisational Learning 118–119
reflexive 4
relationships: levels 81–82
Researcher education 97
Rioch, D. 46, 174
Riordan, P. 48, 59
Rogers, C.R. 6, 12, 70–71, 73
role and relationship analysis 143–144

Sashkin, M. 18, 29, 64, 73
Scarpino, P. 10, 29
Scharmer, O. 110, 113
Schein, E.H.: as an artist 54–55. 162; as a scholar-practitioner 32–33, 38–39, 49–50, 162–165; as a social scientist 38–39, 47–49; early life 11; interiority 7, 27–28, 33, 55–57, 117, 161–164; learning be as teacher 16–20; learning to be a consultant 21–22; learning to be a professor 15–16; learning to be a researcher 20–21
Schein, P.A. 8, 9, 27, 30, 50, 76, 77, 78, 85, 116, 125, 133, 134, 139, 143, 145
scholar-practitioner 32–33; definition 34; practices 49–50
Shani, A.B (Rami). 7, 24, 46, 47, 49, 52, 58, 90, 91
Sloan Fellows program. 17–18
social science: philosophies of 34–35
Society for Organisational Learning (SoL) 118
Stanford University 12
Strydom, P. 34, 38, 45, 47–48, 58

Swedberg, R. 43, 46
sweet spot research 96

Tenkasi, R. 33, 46, 67, 74
T groups 19–20
theorising 43–44
Torbert, W.R. 49, 59
Toulmin, S. 90, 100

Van de Ven, A. 38, 45
Van Maanen, J. 4, 5, 9, 24, 25, 27, 33, 43, 46, 56, 134, 136, 139, 142, 143, 145, 161, 162, 166

Walter Reed Institute 3–4
Wasserman, I.C. 32, 33, 46, 54, 60
Weick, K. 43, 46