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SD & NLP: PRESUPPOSITIONS

INTRODUCTION TO THE SPIRAL DYNAMICS® RELATIONSHIP TO NEURO LINGUISTIC PROGRAMMING

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SD & NLP: PRESUPPOSITIONS

THE RELATIONSHIP OF SPIRAL DYNAMICS® TO NEURO LINGUISTIC PROGRAMMING

INTRODUCTION

WHAT IS SPIRAL DYNAMICS® AND WHERE DOES IT COME FROM?

Spiral Dynamics is the popularized name for a revolutionary emergent systems view of human nature and how ‘who we are’ changes. The authors of the foundational 1996 publication, *Spiral Dynamics: Mastering Values, Leadership and Change*¹, originally coined the term for that book.

The underlying theory is based in the original work of Dr. Clare W. Graves, Professor Emeritus Psychology, Union College, Schenectady, New York². (Many documents tracking the development of the theory, including papers, tapes, and books can also be accessed online at www.clarewgraves.com.)

In the years following World War II, Dr. Graves, who had been exempt from military service due to flat feet, began to teach different psychological models. Because of the wartime university experience, his own teachers had rotated frequently, thus providing him a grounding in many theories rather than indoctrination in any single “school” of thought about psychology. When he began teaching in the early 1950s, at the end of each semester’s exploration of theories of personality and human development, Dr. Graves found himself confronted with a recurring question from his students which he could not answer:

“Okay, Professor, now that we know Freud, Jung, Maslow, Rogers, Skinner and the others, which theory is right? Which one accurately depicts the development of human nature?”

Graves found he couldn’t answer this. He saw strengths, weaknesses and constructive applications in all of them. Rather than walk away from the problem and continue to rehash psychological orthodoxy or participate in debates between the conflicting approaches of the day, he decided to begin a search for the reasons behind the shifting views of human nature³.

This search took him over 30 years. During that time he conducted elegant studies relying on batteries of psychological tests, interviews, and clinical observations⁴. His reviews of psychological models and theories about human development ranged among cognitive psychology, General Systems Theory, genetics, sociology, neurophysiology, anthropology, biology, philosophy, and many other fields. The data he began to gather altered the way he saw human nature. He found that many disciplines needed revisiting in light of his findings, not the least of them psychology, and he began to see new connections.

Graves cross-compared his research data with those of many other theoreticians⁵. From the mountain of information (which Dr. Graves often referred to in his deep, stentorian voice as “my data”), he built a fresh theory that moved far beyond his starting point in trying to rationalize the work of Abraham Maslow. He found remarkable patterns, and was among the first⁶ to approach psychological development from what he termed a biopsychosocial systems perspective. That view incorporated many then compartmentalized and competing disciplines within an integrative systems frame. Thus, Graves grew his theory out of these interlinked data. The model eventually revealed itself as an emergent, interactive process of biopsychosocial systems development, one within which most other developmental models, ethical and moral reasoning approaches, and even worldviews and value systems, can be organized and better understood.

Graves sorted these biopsychosocial systems into distinct 'levels of psychological existence.' Each level of existence emerges⁷ as a result of the interaction within the human being of perceptions of the prevailing 'problems of existence' in the external world and its 'life conditions' with the internal neurology and 'neurobiological equipment' in the mind/brain to produce the coping systems levels being described.

Since each Level of Existence is essentially a hidden, complex combination of nature with nurture, the old either-or debate was essentially moot – it became a both-and proposition. However, Graves did come to conclude that, in general, nurture (i.e., the input from the external world) appears to precede the nature (genetic potentials) by serving to activate predispositions, even though the two continuously impact each other. Thus, he found that external Life Conditions trigger psychosocially congruent internal Mind Capacities to create a Level of Existence - a Value System, Coping System, or worldview. These deeper-than-'subconscious' Levels of Existence express themselves through observable behavioural, rational and linguistic means.

Understanding these dynamics allowed Clare W. Graves to explain a tremendous amount regarding human development, evolution, social processes, learning, motivation and values. Veils of confusion began falling away the more he delved into the data he had gathered across the years. He still did not believe he had "the" answer, but he had many more answers and from them he created the 'The Emergent, Cyclical Double-Helix Model of Adult Biopsychosocial Systems Development'⁸.

Christopher Cowan, co-author of *Spiral Dynamics: Mastering Values, Leadership and Change*, worked with Graves over a 10 year period in the late 70's and early 80's learning, applying and developing the theory first as Value Systems theory, then The Graves Technology, as Coping Systems, and finally into the Spiral Dynamics®⁹ model that is in use today. For the most part, Spiral Dynamics expresses the Gravesian perspective.

The Gravesian Point of View and Spiral Dynamics offer incredible flexibility, utility and power for understanding the complex patterns inherent in rapidly changing human mindscapes. The theory provides a framework for organizing and applying other psychological theories, models, maps for change and then maps one's understanding of human existence as a systemic process. Spiral Dynamics (SD) cohesively lays out how we deal with the problems of living, loving, socializing and working. As such, SD presents excellent instructions on how, when and where to deploy NLP¹⁰ tools and techniques with increased precision.

Some see Spiral Dynamics as a tool facilitating the liberation of the human spirit and empowering individuals. For others, SD is a spiritual movement and a path to enlightenment and elevated consciousness. Some take it as a way to understand and address geopolitical trends and currents. For coaches and therapists, it helps the plethora of psychological interventions and approaches make sense. For others, it is a way to frame strategy and mesh people who think differently into more seam-free organizations. Like NLP, SD is a versatile tool.

In any case, the highest positive intention of Spiral Dynamics (SD) is to provide a framework to understand human nature in fair, balanced and helpful ways. We believe that Dr. Graves work still provides the most comprehensive theory and model¹¹ available for tracking the overall process of emergent human thinking, values and change, despite many useful complements added to the body of knowledge in the last two decades.

Both NLP¹² and SD are significant and underestimated bodies of knowledge within the field of psychology. *Psychology Today*¹³ once wrote: "NLP cannot be dismissed as just another hustle. Its theoretical underpinnings represent an ambitious attempt to codify and synthesize the insights of linguistics, body language, and the study of communication systems." Clare W. Graves framed his theory presciently when he commented: "This theory is a systems conception of personality which may be able to integrate everything that has

been put down in the literature about human behaviour.”¹⁴

Keep in mind that NLP emerged from observation of naturally occurring communication and behavioural patterns, an attitude of curiosity and an eye/feel/ear for the complex.¹⁵ Graves’s theory also emerged from an observation of naturally occurring patterns in human thinking and behaviour, an attitude of curiosity and an eye/feel/ear for the complexities of human nature.¹⁶ Although Bandler¹⁷ & Grinder¹⁸ and Graves approached their explorations differently, and used different methodologies, their subject was similar – why do human beings do what they do!

1. Respect for the other person’s model of the world!
2. The meaning of communication is the response you get.
3. The mind and the body affect each other.
4. The words we use are NOT the event or the item they represent. The MAP is not the TERRITORY.
5. The most important information about a person is that person’s behaviour.
6. Behaviour is geared for adaptation, and present behaviour is the best choice available. People always do the best they can with the resources they have available at the time.
7. A person’s behaviour is not who they are. Accept the person; change the behavior.
8. People have all the ability they need to succeed. There are no unresourceful people, only unresourceful states.
9. I am in charge of my mind, and therefore my results.
10. The system (person) with the most flexibility of behaviour will control the system.
11. There is no failure, only feedback. Everything that happens is only feedback. And I am a learning machine.
12. Resistance in a client is a sign of a lack of rapport. There are no resistant clients, only inflexible communicators.
13. All procedures should increase choice. Don’t change behaviour – increase choice.
14. Behaviour and change is to be evaluated in terms of context and ecology.
15. All procedures should increase wholeness.

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WHAT IS THE INTENTION OF THIS PAPER?

The intention of “SD & NLP: Presuppositions” is to compare basic tenets underlying the epistemology of NLP with the epistemology of Spiral Dynamics. We would like to point out how these two models facilitate interventions, client work and significant transformation. This paper is merely the first step in comparing the two fields. It establishes a foundation for examining complementarities, discussing application and stimulating ideas for further development. There is much more to be done to pull these bodies of knowledge together in way that honors both.

NLP and SD are both extensive, and an adequate coverage of either would take books, not just the few pages that we have here. In this paper we will examine a select group of fundamental principles upon which NLP and SD have been built¹⁹ by looking at SD through the prism of NLP Presuppositions. Although this is a small, often overlooked, area of NLP, it presents a ground where similarities and differences can be established.

[For your convenience, Rob Geurtsen to whom we owe a great debt of gratitude has compiled an extensive set of endnotes. These allow you to examine other material in greater depth and suggest further study.]

THOUGHTS ON NLP PRESUPPOSITIONS

Mention the word ‘Presupposition’ in NLP circles and, even if you’ve not had training in sensory acuity, you’ll see numerous verbal and non-verbal cues, ranging from recognition to a lengthy search for a long forgotten practitioner training in the far recesses of memory. Some consider Presuppositions to be widespread, understood and shared principles in the NLP community. Yet, should you submit the topic on an Internet NLP discussion list, you’d probably have a weeklong debate with various perspectives.

Alas, there are differences in meaning and phraseology of the Presuppositions, themselves, from Trainer to Trainer. Since this

suggests less shared understanding than one might first expect, we will refer to Robert Dilts's Encyclopedia of NLP and base our discussion on his definitions. He defines Epistemological Presuppositions as, "deep, and often unstated, beliefs that form the foundation of a particular system of knowledge. As the foundation of an epistemology, they must be 'presupposed' and cannot be proven. In fact, they are the fundamental assumption upon which all of the other concepts and ideas within the epistemology are 'proven' ... the fundamental presuppositions of NLP form the basic epistemology upon which the methodology and technology of NLP is built."²⁰

Most Presuppositions seem to have arisen from an *a priori* philosophical point of view. Their utility seems easily summarized into four key conclusions. Presuppositions are:

1. Supportive positive affirmations. It's helpful to think this way since Presuppositions can help a Practitioner to create interventions, view clients appropriately, and frame outcomes.
2. Resources to help look at issues from different perspectives.
3. The foundational constructs on which models and applications in NLP are constructed; we know how we 'know' what we think we 'know.'
4. Ineffective.

John Grinder, in a critique on the use of NLP Presuppositions, states: "there are no 'proper' presuppositions/beliefs - in the sense that all of them have the consequence of reducing experience."²¹ Some would argue the opposite position, that Presuppositions help new practitioners to broaden their experience. Austria's Wolfgang Karber, like Grinder, takes the position that NLP-modelling assumes NLP-presuppositions are superfluous. He quotes Grinder:

"A client/agent of change pair who congruently follows the sequence in a pattern will achieve the positive results the pattern is designed to provoke, independent of their personal beliefs."²²

John Grinder²³ offers a perspective that NLP-presuppositions actually create a problem essential to the client-practitioner relation:

"Beliefs are one certain way of reducing experience through feed-forward." That is, holding a belief or Presupposition is equivalent to saying that one's sensory acuity and ability to process information during the process of transformation has been shaped. The alteration results in favouring supporting evidence and including those beliefs/presuppositions while filtering out information and excluding evidence against the beliefs/Presuppositions.

As Grinder²⁴ puts it, the risk inherent in this way of accepting Presuppositions - absolutely, literally and to extremes - becomes a series of: "self-fulfilling prophecies and all the other nonsense [note, non-sense] that accompanies the mental maps of a true believer."²⁵ Rather than guidelines, we are warned, Presuppositions can become de facto 'truths.'

While these perspectives may or may not be so, the dominant position regarding NLP Presuppositions seems to centre on their utility in positively affirming and guiding practitioner choice, understanding, interpretation and intervention. There seems to be some agreement that NLP Presuppositions are 'a pedagogical device'²⁶ used in NLP trainings.

Historically, trainers use Presuppositions to facilitate transitions in students' mental maps - out with the old and in with more useful ways of thinking and approaching client issues. (See the perspective in *Whispering in the Wind*.²⁷) Taking these guidelines and worldviews to heart helps Practitioners to achieve their outcomes more easily

This paper assumes that NLP Presuppositions are a device for inquiry and useful guidelines whereby we are able to discuss foundational elements of NLP and Spiral Dynamics. Through the Presuppositions we can perform an informed comparison of commonalities and differences between them. It is somewhat akin to a first date with two multilingual people attempting to establish a common language for interaction. With the overwhelming depth and breadth that both fields offer, this is simply a convenient point to meet. Let us begin.

THE MAP (OR MODEL) IS NOT THE TERRITORY

Simply, this Korzybskian phrase turned NLP Presupposition means²⁸: Human beings can never know all reality. Because we experience and respond to the world around us, primarily through our five key sensory systems, we cannot absorb and process every bit of information in our physical and nonphysical, internal and external worlds. Therefore, we each continually reduce our experience of reality into manageable bite-sized chunks.

Our attempts to reconstruct and represent reality are merely reflections of our perceived reality determined by our “unique physical and genetic architecture, and [our] unique personal history.”²⁹ Therefore, humans must create maps then refer to them for information, agreement and disagreement. When this Presupposition is taken literally, it is our map of reality that limits us; by changing the map, we can change reality. We can become our own cartographers.³⁰

The cartographer knows that no single map is best in all cases. Flexible and open navigators welcome a variety of maps providing different indicators and information about a territory. A nautical might be useful on the water, but everyone knows it will not help a covered wagon traveling over the Rocky Mountains. An airways map might help a pilot find Chicago, but is useless when navigating that city to find a hotel. The Practitioner becomes a map elicitor and facilitator.

The expert practitioner of human, cultural, organizational and societal change requires an in-depth understanding of how, when and where each map is useful and what unique requirements it fills while meeting well-formedness conditions³¹ and ecology issues. SD is a unique framework providing process outlines to behaviour, psychology and structures underlying human behavior and mapmaking.

Graves said that his theory is a systems conception of personality which may be able to integrate everything that has been put down in the literature about human behaviour. This extends to how we conceptualize our worlds and make maps of them. If humans are

perpetual mapmakers how can a fundamental understanding of our nature and our world improve how we make and use our maps?

Spiral Dynamics and Graves show us how, why and what kind of maps human beings will tend to create. SD addresses the human ability to create new perceptions of reality – maps or models of the world - and how responses to that world within both the actual and perceived realities makes sense to the individual within a particular context.

NLP practitioners often refer to NLP as an attitude and a methodology which leaves behind a trail of techniques. The attitude in the wake of ‘The map is not the territory’ encourages Practitioners to explore clients’ mental models, thus discovering that each human creates unique maps with common themes. NLP provides practitioners with a methodology and techniques to ‘get at’ these unconscious maps.

Although it is a developmental, evolutionary framework, a simplistic use of Spiral Dynamics, as Chris Cowan often refers to it, is as a ‘scaffolding’ upon which multiple perceptual positions, interventions and models of the world can be examined before they are used. Another simple use is as an effective map holder and organizer. SD simplifies the map sorting process and organizes models of the world into approaches of ‘best fit’ to a client’s dominant Levels of Existence – understanding then matching the right map to the territory at hand. Dilts calls this ‘Code Congruency,’ which he also discusses as the concept of ‘best fit.’ He says, “The more the relationships between the elements of the map match the relationships between the elements of what is being mapped, the more effective and ecological that map will be.”³²

A more powerful use than Code Congruency or ‘Map of Best Fit’ is to help Practitioners describe in great detail how these maps of reality not only ‘color’ our perceptual filters, but how we live as a result of these ‘mapped realities.’ Maps define differences in the cartographers’ mapped realities and perceptions of the territory. Similarly, Dr. Graves explains how his theory maps human existence into different conceptual systems (maps) and how these maps create the blueprints to enable practitioners to respond to “different needs, different attitudes, different

ways of perceiving the world, different ways of reacting open to him, different ways of transacting with the world open to him (and) different ethical systems...”³³ An NLP Practitioner trained in Spiral Dynamics can explain why people are aware of dissimilar realities or unaware of their own realities and intervene for ‘best fit.’

SD is not just a map. It is a theory of how maps come to be. To reduce Spiral Dynamics into a series of map organizers – a set of types or templates for people – is to dramatically narrow the breadth of its applicability. In this sense, Grinder is correct about Presuppositions reducing experience. Cowan refers to SD as a description of the forces producing map makers, map organizers, map readers, map holders, the need for particular maps and much more.

Still, as stated earlier, each Level of Existence taken at its most basic form represents a creative source for a multitude of maps. Each charts a different conceptualization of reality and different psychological and social structures. Graves identified roughly 19 different map-creating systems with more forming as human nature evolves. Understanding these maps facilitates understanding of change, movement from a present state – ‘change from’ – toward a next state, sometimes termed ‘desired state’ in NLP – ‘change to’.³⁴

The simplest use of Spiral Dynamics for most is as a typology, which still offers more maps, choices and worldviews to the collection of possible tools at our disposal. Some NLP practitioners and trainers, with a bare bones understanding of SD, can help clients understand their cartographic biases and achieve well-being as a result. As Dilts writes, “It is not the ‘territory’ or ‘reality’ which limits people, but rather the choices that they perceive available to them through their maps.”³⁵ When pacing and leading or working with strange, different, and unfamiliar models of the world, understanding these varied maps through the Spiral Dynamics lens opens doors exponentially to critical information, thereby broadening the territory for Practitioner and client alike.

OUTCOME ORIENTATION WITH RESPECT FOR OTHERS' MODELS OF THE WORLD AND THE ECOLOGY OF THE SYSTEM

Outcome orientation assumes a Practitioner will help a client get from point A – the present state – to point B – the desired state – while respecting the overall context and world the individual lives in. There are four criteria to meet in this Presupposition: a) eliciting the Present State; b) deriving the Desired State; c) understanding the Model of the World (MOW) the client holds; and d) ascertaining congruency between the Desired State, MOW and Ecology of the individual as a human emergent system and the context they need to operate within. It's a tall order, and SD is important in meeting these criteria. SD helps answer the question: “How do you know you've met all four criteria in this Presupposition?”

With regard to the criteria in this Presupposition, Spiral Dynamics is definitive in its outcome orientation. The change design question assists us by asking: “Change from what [Present State], to what [Desired State]?” The Present State and the Desired State are clearly defined through the Levels of Existence (that can be moved toward or away from) as determined by the Life Conditions (LC's) and appropriateness to the milieu or the ecology of the system. Consider the outcome orientation with respect for others' models of the world and the ecology of the system in the following Gravesian Design Formula as covered in *Spiral Dynamics: Mastering Values Leadership and Change* (p. 145):

HOW should WHO help/manage/lead/teach/facilitate WHOM to do WHAT? WHEN?

The Practitioner, an expert at coaching executives, sees a social activist complaining of low energy and depression. With her usual Present State assessment she also assesses the client's Level of Existence seeking ‘best fit’ between herself, her client, the possible intervention and the ‘style’ in which she must approach her client according to the Design Formula. She quickly realizes that her usual presentation of herself as the ‘reputable

expert' will not work for this client. The style she must adopt to ecologically handle the issue is that of an 'interested and informed peer,' - thus solving the 'how,' 'who' and 'whom' questions. Had she not been able to adjust her style, the client wouldn't have returned and wouldn't have accepted the intervention.

The Design Formula is an effective guide to help create, design, maintain or encourage outcome orientation with respect for others' models of the world and the ecology of the system. It adds a new dimension to this NLP Presupposition by considering the nature of the Practitioner, the Client, the action, the delivery and form of the activity, and the environment within which all will be involved in a particular time space context. MOW and ecology - the present and future context - are ideally defined through the Levels of Existence.

SD defines emergent human systems (Levels of Existence) better than any other framework, encourages respect for all models of the world, and demands an expanded ecology check. NLP Practitioners can benefit by enhanced identification of the worlds people live in, how they need to be treated given those worlds, and clearer identification of present state and desired states.

Spiral Dynamics lacks the input derived from calibrating "sensory evidence necessary to accurately determine progress toward the goal,"³⁶ as Dilts would put it. This is SD's greatest weakness and NLP's great strength, which is why they pack a powerful punch when used together.

Each person creates his or her own model of the world from sensory experience filtered through the three universal processes of deletion, distortion and generalization³⁷. SD adds the interaction between Life Conditions and Mind Capacities - dynamics which must be acknowledged and respected when looking at MOW's. Although easily agreed to in NLP circles, it is not always easily achieved. We all view the world in different ways because of our dominant Levels of Existence. These differences are what add richness and diversity to our communities, cultures and personalities. How do SD and NLP compare on this front?

Spiral Dynamics proposes that all systems are legitimate. All have their own strengths

and weaknesses, although different ones are appropriate in different situations or circumstances. At our best, we allow SD to help us understand, embrace and awaken to alternative worldviews. Excellent practitioners use it to promote respect and openness towards different Levels of Existence and their expression. Clare Graves often said:

*"Damn it all, a person has a right to be. A person has a right to be what he is. He shouldn't have to change to get YOUR work done. Be flexible enough to manage him in the way HE needs to be managed, for him to perform the work, not you."*³⁸

The fundamental tenet in the methodology under this Presupposition demands outcome orientation. It requires thoughtful consideration of the Present State and Desired State, and the ecology of the system. It requests respect for other models of the world. It necessitates adherence to well-formedness conditions. Thus, SD and NLP are compatible and naturally share this presupposition while contributing important elements to one another.

**BEHAVIOUR AND CHANGE ARE TO BE
EVALUATED IN TERMS OF CONTEXT
AND ECOLOGY**

&

**THE ADAPTIVE INTENT OF ALL
BEHAVIOUR**

&

**BEHAVIOUR IS GEARED FOR
ADAPTATION AND PRESENT
BEHAVIOUR IS THE BEST CHOICE
AVAILABLE**

Keep in mind that NLP emerged from observation of naturally occurring patterns, an attitude of curiosity and an eye/feel/ear for the complex. Graves's theory emerged from an observation of naturally occurring patterns in human behaviour, an attitude of curiosity and an eye/feel/ear for the complexities of human nature. Although Bandler and Grinder and Graves approached their explorations differently, relied on different sources, examined different psychologists and fields of

study, and used different methodologies, their subject was similar – human behavior.

These NLP Presuppositions are very similar and all have to do with behaviour. They imply that the positive worth of an individual is held constant while the value or appropriateness of their behaviour may be questioned. Similarly, a positive intention behind all behaviour is also assumed because behaviour is adaptive to a specific context. To adapt to a situation, an individual's behaviour is the best possible choice given that time, place and the individual's resources, capabilities and available tools.

Some NLP and SD Practitioners assume the attitude of being the 'change agent' and 'creating change in another person'. At its roots, however, SD takes a more holistic approach and encourages examining life conditions, thinking systems, value systems, Levels of Existence, culture, learning systems, motivation systems, neurology, biology, sociology and psychology to appreciate the model of the world the individual, group or society holds as a 'reality' – the context of their behaviour. Before generating interventions to 'create change' SD experts would first advocate understanding behaviour in the context of the Life Conditions, appropriateness to that world and the overall ecology of the system.

Robert Dilts echoes this theme when he writes, "At some level all behavior is (or at one time was) 'positively intended.' It is or was perceived as appropriate given the context in which it was established, from the point of view of the person whose behavior it is. It is easier and more productive to respond to the intention rather than the expression of a problematic behavior."³⁹

For Graves, behaviour said something about the context within which the individual operated. The context and the behaviour are inseparable. The SD framework provides a structure for designing change and integrating NLP tools and techniques in a cohesive package that is congruent with an individual's, group's, organization's or society's Levels of Existence. This fundamental is embodied strongly in SD through the systemic approach to the individual, their behaviour, the context of behaviour and change as adaptive due to Levels of Existence, and environment.

In its purest, most noble form, this outlook validates all people. It broadens thinking to encourage greater openness towards different thinking, different values, behaviours, motivation and mindsets. Divergent worldviews become both acceptable and relevant for different people at different times, and the adaptive intent of all behaviour is acknowledged because the source and context for that behaviour is understood.

SD fits NLP like a glove with respect to behavior. To judge whether or not the behaviour is useful one must look at its positive intentions and what it is attempting to achieve. In SD terms, this means looking at whether the group or individual are meeting Life Conditions – LC's. Hence, people might change their behaviour if they shift from one Level of Existence to another based on the situation, context and ecological outcomes they are dealing with.

For example, most people will say that it is not right to steal. Given first world citizens' experience of abundance, if they are asked their likelihood of stealing food right then and there, based on a full stomach, most say it will not and could not happen. However, if they are faced with a scenario of altered LC's – economic collapse, their children and/or spouse are starving to death, lack of a social safety net, etc. – then asked if it would be moral and proper to steal, most will say that it would be if it meant survival. The importance of preserving the lives of one's children is more useful and appropriate than obeying rules against theft. It would be more congruent with the existential realities at hand.

SD clearly states that behaviour for a healthy individual involves responding in the protocol of the system - meeting the prevailing Life Conditions. It clearly stipulates that 'healthy' behaviour should be evaluated in terms of its ability to adapt to the context and the ecology, or, in Gravesian terms - Conditions of Existence. Thus, effective lasting change must incorporate attention to *both* the LC's and the internal biological and psychological make-up of the human being. In this point of view, it is the interaction between the external, ecological structures and the internal mind/brain systems that produces Levels of Psychological Existence (also

known as 'MEMEs pronounced 'vee' 'meem').

If change is to be evaluated in terms of context and ecology, then SD provides a more comprehensive model for change and its many forms than any other approach. However, it lacks NLP's bundle of tools and techniques for creating change. At the same time, NLP lacks a broader context that would enable understanding of the trajectories of change.

Spiral Dynamics identifies Six Conditions for Change (potential, solutions, dissonance, insight, barriers identified, support & consolidation). These outline the critical elements which must be met before an individual can change from one system to another or change their behavior in the context of the environment and ecological conditions.

Practitioners who understand how to meet all Six Conditions for Change can meet these Presuppositions better than those who do not. They will understand the 'positive intention to behaviour,' how 'behaviour is geared for adaptation' and why 'present behaviour is the best choice available' in the context of particular environments. Practitioners of SD understand that the Level of Existence most appropriate in a particular context is determined by meeting active Life Conditions; therefore, behaviour and change are evaluated in terms of context and ecology. SD encapsulates the adaptive intent of behaviour through the view that people use different methods for dealing with the world depending on the world as they see it.

It is entirely possible that those who hold the spirit of this framework as Graves intended, and who are well versed in SD, might embrace these presuppositions more easily than some seasoned NLP Practitioners. They might exhibit these attitudes more fully than those practitioners and trainers currently practicing the 'I can fix the broken person and I know their problems better than anyone else' mentality does. Understanding, accurate analysis and expertise often trump arrogance when seeking to attribute meaning to behaviour.

SD helps Practitioners to meet these NLP presuppositions. In addition, SD contributes greater depth of understanding to traditional NLP training. By the same token, the SD

framework is enriched by NLP's toolkit, techniques and interventions.

THE LAW OF REQUISITE VARIETY

In NLP this Presupposition is generally understood to mean that: the individual who has the greatest number of options and greater behavioural flexibility controls the overall system. This understanding causes practitioners to work on their skills, clear their issues, reduce limitations and improve on their capacity and understanding of NLP – all very worthy endeavours. This applies to helping a client gain behavioral flexibility, as well.

Robert Dilts explains:

"Environments and contexts change. The same action will not always produce the same results. In order to successfully adapt and survive, a member of a system needs a certain minimum flexibility. That amount of flexibility has to be proportional to the variation in the rest of the system. As a system becomes more complex, more flexibility is required."⁴⁰

Compare this to Dr. Clare W. Graves's comments when he stated:

"...I'm not saying in this conception of adult behaviour that one style of being, one form of human existence is inevitably and in all circumstances superior to or better than another form of human existence, another style of being ... I do suggest, however, and this I deeply believe is so, that for the overall welfare of total man's existence in this world, over the long run of time, higher levels are better than lower levels and that the prime good of any society's governing figures should be to promote human movement up the levels of human existence."

Graves's quote does not state that there is an ultimate truth or that there is an end state. Rather, movement 'up' the spiral implies greater flexibility, openness and cognitive complexity than was present in the earlier Levels of Existence. In some contexts there is

greater flexibility due to increased choices of behaviour, thought and action in 'higher' levels of thinking because the increased conceptual space opens more room for alternatives. While it may not mean wiser, nicer or qualitatively better thinking or a morally superior human being, the psychological space is likely to be more expansive.

In general, greater psychological space leaves a person with more options to act appropriately in a wider variety of circumstances. The individual has greater degrees of freedom and more choices in how they respond to Life Conditions. Should the individual operating out of more complex systems lack the skills, capabilities and understanding to do a particular thing, then inevitably it means less choice exists rather than greater choice and the criteria for the Law of Requisite Variety have not been met.

The Law of Requisite Variety can be better understood through SD's open, closed and arrested states. Greater openness promotes greater flexibility in thought and behaviour; thereby, a greater ability to meet increased demands and stress in the environment. Greater closedness through neurological and chemical limitations prohibits development of new behaviours. "As soon as there are behaviors you cannot generate, there are responses and thus outcomes you cannot elicit."⁴¹ This comes as a result of an arrested or closed state where potential to operate in new ways has been shut off due to trauma, injury, malnutrition or other causes.

Walter Ashby proposed the Law of Requisite Variety in 1956 and stated "only variety can destroy variety."⁴² An individual has a smaller or greater variety of responses, states and behaviors available to them when faced with external stressors, input, feedback or disturbances as a result of internal openness, arrestedness or closedness. Ashby suggests that the variety of those responses and states must be greater than the disturbance to the individual to maintain autonomy.

The Spiral Dynamics model suggests that the individual and their environment are inextricably linked. Because the environment changes due to the impact the individual has upon it, the individual must change as a result of demands made by the environment that he or she altered. This means the individual and

environment are mutually interdependent; therefore, the cause and the effect are mutually interdependent. The member of the system and the environment each give rise to the other.

It is impractical, according to Graves's theory, to believe that an individual will ever gain total control over their entire environment because the external factors (LC's) tend to outpace the internal capacities (MC's). This law might be better understood as the minimum Level of Existence required in order to adequately adapt to a particular environment. SD Practitioners can track and describe both the environment and the individual's Level of Existence, thereby predicting if requisite variety is, or will be, present.

NLP, in most cases, provides tools whereby an adept practitioner can help their clients deal with stress by clearing negative emotions, reframing the context and problem, altering submodalities, and empowering the individual with access to resourceful states. SD becomes important when none of this works and an individual is unable to vary their behaviour sufficiently to get the response they need. SD helps the practitioner understand why some individuals simply cannot adapt to a particular environment. The practitioner can then help the client to seek a more appropriate context, rather than inundate them with tools and techniques that will end up frustrating both practitioner and client.

RESISTANCE IS A SIGN OF INSUFFICIENT PACING

Client resistance in NLP is often taken as a comment on the inflexibility of the communicator and as a sign of insufficient pacing; simply, the practitioner missed a step in the procedure. This presupposition can be translated into SD terms as: meeting the needs of an individual in the context of a particular system by communicating with him/her in such a manner so that both parties can connect at the Level of Existence where change is required, and becomes self-evident.

This does not mean change is imposed from the outside. Instead, it uses a mix of deep knowledge of both the internal and the

external environments to facilitate appropriate transformation if it is congruent for the individual in the contexts within which he/she operates. Resistance occurs when fundamental requirements in a system are not met; this is somewhat equivalent to insufficient pacing. NLP practitioners are taught that resistance means important signals were missed, as if all practitioners can connect with all clients.

This approach is guaranteed, at some point, to breed self-contempt and frustration in both Practitioner and client. SD would suggest tailoring interventions to the Level of Existence; and not all practitioners can reach all clients. Hence, resistance is a natural outcome of different human beings attempting to interact.

Still, this doesn't let us off the hook. Practitioners need to interact with people according to their dominant Levels of Existence in a certain context before they can be most effective and productive. People prefer to be approached according to their natural value systems. This roughly parallels the NLP Presupposition under discussion. In fact, it can be said that NLP practitioners need to work with their clients according to each client's dominant Value System or Level of Existence as well as the Practitioner's dominant Level of Existence.

SD provides guidance towards achieving proper pacing within the Levels of Existence, as well as the multiple transition states between them. Thus, SD provides a map for helping those with NLP tools to increase rapport, facilitating pacing and providing a framework for understanding resistance in more ways beyond simple sensory acuity for communication, matching and mirroring, pacing and leading, etc.

EVERYONE HAS THE NECESSARY RESOURCES

This presupposition assumes people already have all the resources they need to make any desired changes and that there is positive intention behind all behaviour. On these points SD and NLP diverge. SD proposes that the normal human mind/brain has great potential, but that it only awakens

through interaction with Life Conditions (LC's) in the milieu, if at all. (Remember the arrested and closed states.) These potentials are not necessarily evenly distributed among all people; nor do all people experience the same external stimuli or interpret them in the same way.

Current methodologies might not suffice to effect change in some people, but that in no way limits the possibility of future developments. Latent neurology/mind capacity generally exists in the average adult providing further resources, which *might* be awakened, given the right conditions. NLP provides techniques and interventions that increase the possibilities that these connections can be made in some cases of arrestedness and closedness.

Consider the claim: if everyone had all the resources they needed all the time, with sufficient numbers of Practitioners working in all the problem spots of the world, then everyone would have the necessary resources to adjust appropriately. Imagine the results: our jails would be empty; AA would be a thing of the past; drug addiction, gang activity and school shootings like those in the Gutenberg school in Erfurt, the Dunblane Massacre, or the Columbine killings in Colorado would not occur because every NLP practitioner would have helped to activate the necessary resources in all their clients to put these things right. It simply isn't possible. Moreover, it is a potentially problematic Presupposition. It would posit that a five-foot tall person motivated to play professional basketball could do so simply by summoning up the necessary resources.

The fact is, differences between people exist. We need to learn to deal with these differences. Practitioners with a drive to overachieve and take Presuppositions such as this one literally can blame themselves when things go wrong. By the same token, if we automatically take a pessimistic view, then some Practitioners will give up prematurely when positive change is actually achievable.

Graves went so far as to suggest that there might be "broken brains" among us for whom change is highly unlikely due to malnourishment, abuse, trauma, brain damage, accident, etc. – closedness. Even in arrestedness, despite desire and good

intentions, everybody might not be able to become everything they wish to be; and that's OK. Not everyone has to change. To repeat a favorite Clare Graves quote:

"Damn it all, a person has a right to be who he is."

Thus, we have a simultaneously comforting and discomfoting perspective. It states the obvious - that people are different and, while most have the same basic equipment, it is used differently. We activate different neurology, use different words, have different problems and lead different lives.

If this presupposition meant that we are all the same, then the presupposition requiring respect for others' models of the world would not need to be included.

THE MIND AND BODY AFFECT EACH OTHER

We can't not respond to a stimulus. Practitioners with highly attuned sensory acuity always get an answer to a question if they are calibrating responses. Why? Because, our thoughts, feelings and reactions cause, and reflect, changes in our bodies. Thoughts and reactions to questions, issues and controversies result in physical signs and subtle shifts in skin color, eye movement, pore openings, skin moisture, pupil dilation, heart rate, etc. This provides NLP practitioners with information needed to 'read' a client.

NLP gives us great detail and descriptions of how these responses reflect how the mind and body work together. In one common example, NLP trainers often recommend assuming a positive internal state or adopting a positive physiology. Stand tall, smile and act as if you are happy; then you will be happy. It often works. Similarly, a subject in a hypnotic trance who has been told they will be touched by a searing hot iron can be 'burned' and will exhibit burn marks on the skin when touched with an ice cube. Indeed, the mind and body affect one another.

If one views the brain as structure with neuronal tentacles extending from the brain throughout the body transporting thoughts

along our neural network pathways, then the body can be regarded as part of an integrated system affecting the whole. Dilts reinforces this by writing that the, "processes that take place within a person and between people and their environment, are systemic. Our bodies, our societies and our universe form an ecology of systems and subsystems all of which interact with and mutually influence each other."⁴³

Graves called his point of view a 'bio-psycho-social systems perspective,' indicating the fields of biology, psychology, and sociology cannot be separated from human nature. He pointedly concluded that these elements, interacting in individuals', groups' and societies' entire mind/brain systems, are interdependent and interrelated. The Levels of Existence are created when the external world interacts with the individual's neurology triggering internal processes which, in turn, awaken a new level of psychological existence.

This is a core premise behind Spiral Dynamics echoing Dilts's theme. In addition to the mind and body affecting each other, those educated in Spiral Dynamics would insist upon the environmental component – Life Conditions – which impact the mind and the body. "It is not possible to completely isolate any part of a system from the rest of the system. People cannot *not* influence each other. Interactions between people form feedback loops such that people will be affected by the results that their own actions make on other people."⁴⁴ The interaction between the external milieu AND the mind AND the body affect one other because, "Life and 'mind' are systemic processes."⁴⁵ Each Level of Existence forms a subsystem in the overall Spiral Dynamics system.

ALL PROCEDURES SHOULD INCREASE CHOICE

This Presupposition is a guideline insisting that a practitioner's work with a client should add behavioral flexibility, increase resources through adding potential responses while leaving the client better off, overall. It ties into the Law of Requisite Variety and assumes that

increased choice as a result of Practitioner intervention will result in leaving a client better off. Rather than debate the ‘truth’ of this, let’s apply this Presupposition to erroneous views some in the NLP community have of SD.

Some interpretations of Graves and the SD approach popularized in the NLP community and elsewhere have misrepresented Spiral Dynamics as a typology for categorizing people. Others miss the point of the flowing developmental process of human emergence and describe SD narrowly as having something to do with values. What they mean is values-as-contents rather than Value Systems as systems – i.e., containers for values. These interpretations decrease choice for those attempting to work with SD. How does this happen?

Let’s use our understanding of internal representations. Many levels of meaning and connotation are bounded in the language and experience of NLP training. These experiences, meanings and internal representations make it difficult to extract the argument from the meaning of the words used.

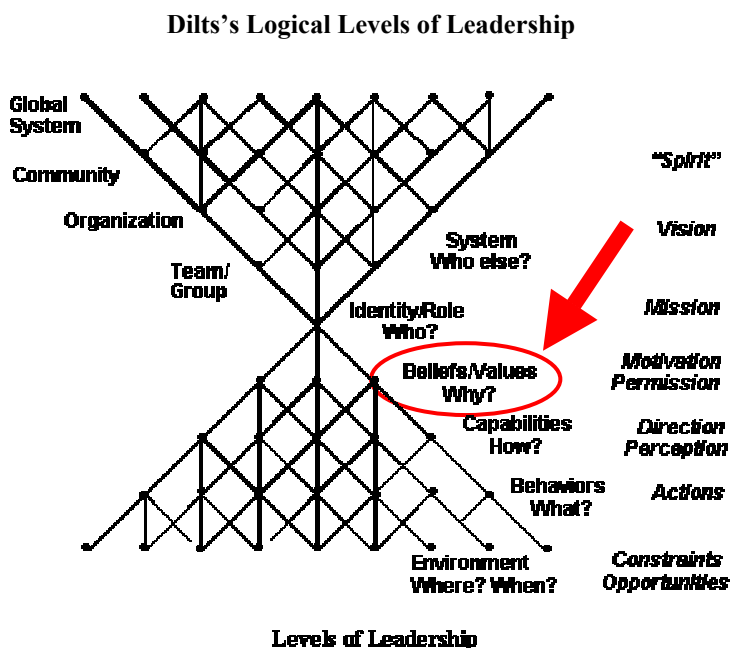
The term “values,” in particular, is confused with Value Systems. Many NLP interventions and techniques involve values elicitation. Robert Dilts’s Logical Levels

includes values and beliefs as one of the levels (see diagram). The submodalities of these values can be elicited and feelings, colors and characteristics attributed through careful questioning combined with skilled observation of subtle cues. “Values relate to what we desire and want ... Values are more related to goals.”⁴⁶ Values in NLP can be named and described; values are something we invest time, money, energy and resources on moving either towards or away from.

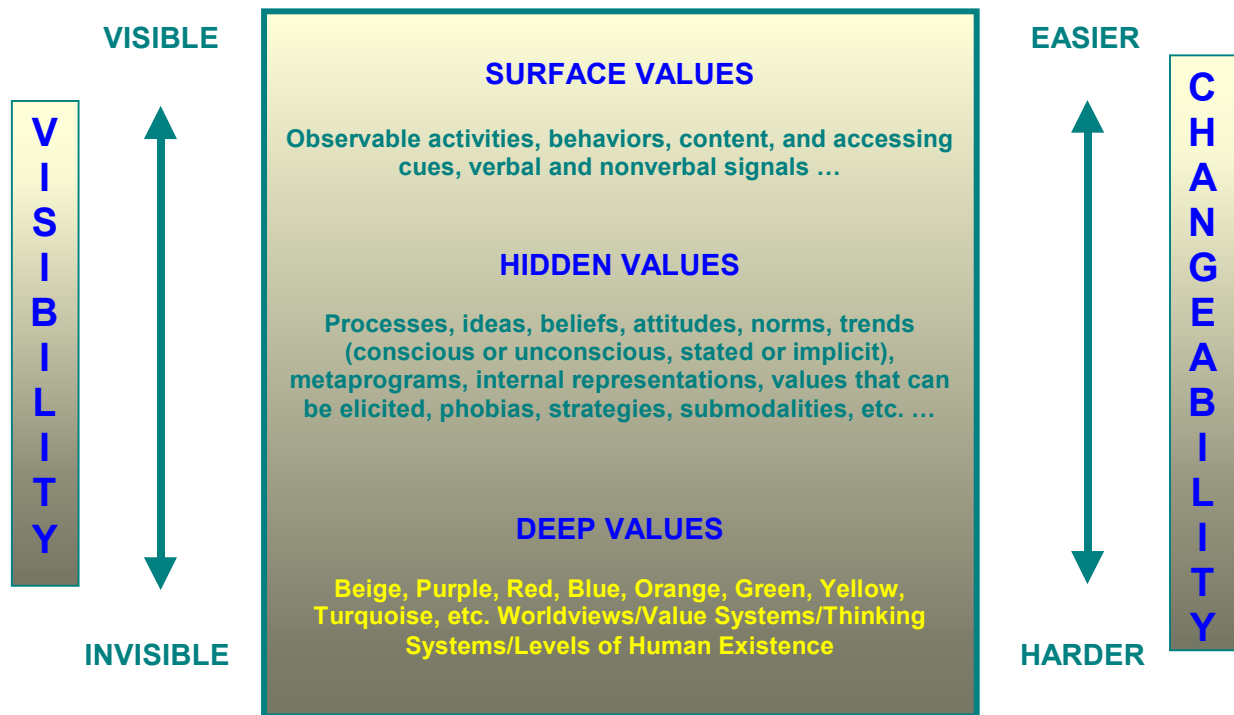
Our perceptions of values are bounded by our experience and previous ‘indoctrination.’ Dilts’s remarkable Logical Levels⁴⁷ model, by using the word ‘values,’ causes many Practitioners to immediately create an erroneous complex equivalence equating values and Value Systems. To get to a conclusion with new meaning and to increase our choice in the area of values, we must look at the problem posed by the following misleading thinking: values^{NLP} = Value Systems^{SD}. These are different constructs with some commonality. Therefore, values^{NLP} ≠ Value Systems^{SD}.

Although SD and NLP contain compatible Presuppositions, and there are many commonalities between the two epistemologies, values and Value Systems are essentially different constructs. Rather than deduce meaning from something we already know and apply it to something we might not be entirely familiar with, values as generally understood in NLP and Value Systems (Levels of Existence in the Gravesian sense) must be viewed as both separate and interdependent.

Since equivalent criteria do not apply to ‘values’ and ‘Value Systems’ we must differentiate between them. The two referents, symbolized by the word ‘values,’ are at different levels of abstraction. We can distinguish between these levels of abstraction by referring to them as ‘surface values’, ‘hidden values’, and ‘deep values’. NLP, in general, addresses the first two, whereas, SD primarily deals primarily with the ‘deep values’ while providing motivation for the other two – an organizing principle.



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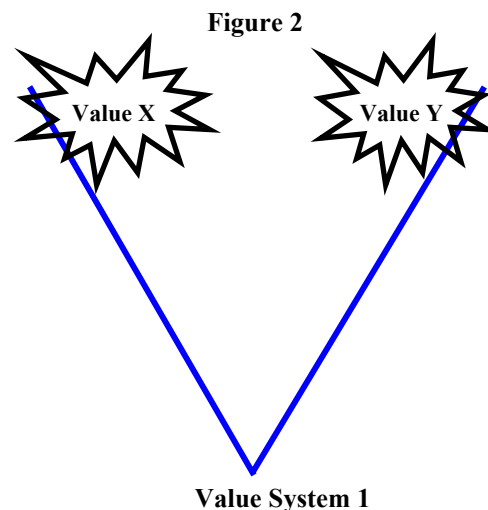
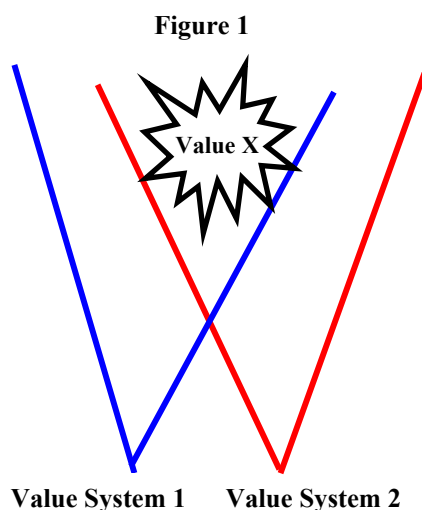


To increase choice, we must learn to think of Value Systems in SD as the blueprint underlying motivation, communication, behavior, and reasoning at a deep level. SD's use of values is as 'valuing systems' (containers) rather than values (contents and memes – ideas replicated and transferred through populations). Values as contents are those elements that we can describe, discuss, articulate and elicit. SD's Value Systems deal with values-as-structure (How people think about a thing and the decision process that assigns value), rather than values-as-content (What people think about or the specifics of their ideas and attitudes).

For example, take two absolutists, one is a

committed atheist (value X) the other is a devout Christian fundamentalist (value Y). Both debate their views with certainty and complete conviction. The first is convinced that the truth is God does not exist – absolutely not. This Value X is a surface value - value^{surface}. The second person is convinced that God most assuredly does exist – absolutely so. Value Y is also a surface value – value^{surface}. Both people are completely committed to their point of view knowing absolutely that theirs is the one and only right way to think. This way of thinking absolutistically is not a value; it is a Value System or deep value - values^{deep}.

While the committed atheist and devout



theist appear to be at opposite ends of a spectrum since the contents of what they believe, value X and value Y (both values^{surface}), are so different, from the Value System perspective they are thinking about values X and Y in exactly the same way. The atheist and the true believer view the existence of God in dogmatic, only one right way, fashion - values^{deep} (Figure 2).

What they are thinking is different at the surface; but the way they are thinking at the deep values level is the same. Simultaneously, we can see that two individuals with two very different Value Systems can hold the same value X (Figure 1).

This gets interesting if we take a metaprograms approach because it increases our choices as we approach values. Lets take two different individuals who are operating out of two different Levels of Existence – Value System 1 (Blue) and Value System 2 (Red). They might have either similar or different values^{NLP}. Let's use similar metaprograms to illustrate the point; we'll look at only two metaprograms for the sake of simplicity – move toward and possibility. Value X is their job.

Imagine two people who both value their jobs (value X) from a *move towards* and *possibility* metaprogram. Imagine how one person, dominated by a Red Value System (egocentric, raw, power-driven, guiltless, hedonistic), could value his job because it offers immediate gratification. The boss allows the individual freedom to do what

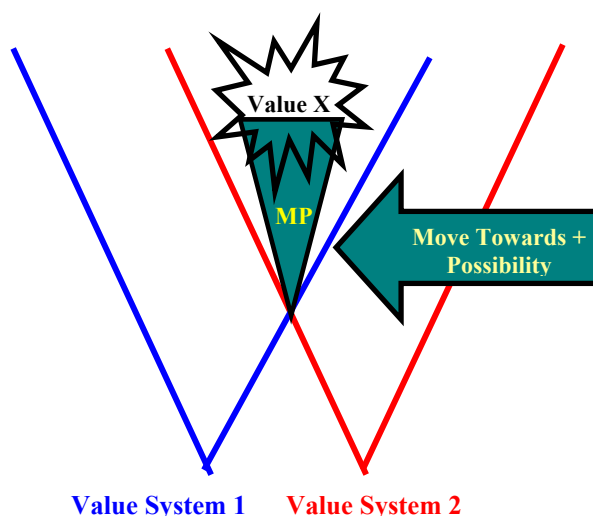
he/she wants while offering the possibility of exploring enjoyable tasks.

The second person, dominated by a Blue Value System (absolutistic, conforming, order-seeking, obedient to higher authority - like both the theist and atheist in the previous example) also values her job and has a *move towards* and *possibility* metaprogram regarding her job. This person processes her values around career as opening the possibility to make the right choices, moving towards duty, and her proper place at the right time in her life.

Both individuals hold value X - importance of job. They both have the same metaprograms regarding their careers - *move towards* and *possibility*. Despite this similarity, their careers are important to them for different reasons that go beyond surface values. We see two very different Value Systems at work - Red and Blue – with two people each conceptualizing their career in a different way and valuing the job in different ways. It might even be the same job.

Individuals in different Value Systems sometimes move towards and away from similar things. Individuals in different Value Systems might invest the same time, money, energy and resources on things they value, but they do it for different reasons. The SD framework elegantly describes the thinking behind these variations, and NLP draws out the unconscious values and internal representations of these values while SD explains 'why.'

Spiral Dynamics also describes the complex systems-within of individuals and groups as they ebb and flow in infinite variety. It leaves the matter of values-as-contents relatively open-ended, requiring NLP to elicit, describe and change those surface and hidden values. SD proposes, instead, that understanding the values-choosing process - the deep values or Levels of Existence - is at least as important as recognizing values, themselves. Only a thorough understanding of both fields increases choice.



A PERSON'S BEHAVIOUR IS NOT WHO THEY ARE

NLP holds constant the positive worth of an individual, while accepting that the value or appropriateness of any behaviour can be questioned. SD states that the Levels of Existence do not indicate a type of person; rather, they are systems within individual and collective minds which result in various behavioural choices. Just as a person's behaviour is not who they are, neither does a person's Level(s) of Existence reveal who they are.

As discussed, there is a difference between the content of values and the process of valuing. SD explains the process of valuing. Thus, SD offers many ways of thinking about what matters to people, how they think about those things, how they make life choices, and how they will behave as a result of their dominant Value Systems. SD is not about selecting personality categories or pigeonholes for people. Rather, it is about understanding the roots of behaviour, learning, communication, motivation, and other forms of creative human processing. A single behaviour does not determine who a person is; rather, a collection of behaviors, processing modalities, and ways of conceptualizing reality offer clues as to the individual's Level of Existence.

The statement, 'People view the world differently; as a result, they act differently and value different things,' upholds the view that behaviour does not identify the person, although it provides clues to the underlying Value Systems driving behaviour. SD encourages us to ask *why* the person makes values choices - the symptoms of the underlying Value System - rather than being confined by *what* the person says or does at the particular moment.

CONCLUSION

Presuppositions in NLP are often an afterthought, something students find dull and boring when compared to the excitement of techniques that create dramatic change and

transformation. Yet, despite being frequently cast about as glib throwaway lines, they are foundational guidelines directing Practitioner focus and attention throughout an intervention.

Overall, we can see a unique synergy between NLP and Spiral Dynamics through a comparison of their foundational precepts. It is an interesting philosophical starting point, which leads us to appreciate the synergies and the differences. Each has particular strengths in working with and understanding humans that the other does not. Each compliments the other. Each affirms and amplifies the other.

Peter Wrycza comments on the growing awareness of the interdependence between SD and NLP when he writes:

"Time-lines notwithstanding, NLP generally operates with a very short-term view of time. NLP interventions are designed to work at almost any moment in a person's life, without much consideration of where they are in the unfolding of their life story as a whole."⁴⁸

The human story unfolds through SD and a common thread can be followed from one Level of Existence to the next. There is a utilitarian and practical aspect to NLP, which makes it incredibly useful in many situations offering tools SD can use. The inclusion of Spiral Dynamics stretches a Practitioner's analytical tool kit considerably.

With SD you might choose the same coaching techniques or interventions you did before, but you will be choosing them with a broader awareness of ecology, environment, behaviour, internal maps, motivations, deep values and Levels of Existence. You might well change your languaging or approach as a consequence of the Level(s) of Existence your client is expressing. Thereby, you will broaden the context and time within which the intervention is designed to work.

Wrycza continues to reflect:

"Where NLP has been weak as a coaching model is in its lack of any concept of development [such as Spiral Dynamics/Graves] ... There has been some recognition of this need for an enriched understanding of development with the borrowings from the Graves model by some

trainers ... [it is] really just the beginning of a recognition that both change and learning need to be contextualized in the overall development of an individual or organization. Much more needs to be done to strengthen the NLP model in this direction.”⁴⁹

SD applies to many areas of life - in therapy, society, education and business - attesting to its congruence with NLP practices. SD embodies the concept of contextualising change, learning, intervention, coaching, etc., through individual, group, social, organizational and species development as revealed by the operant Levels of Existence. It provides a framework to generate more alternatives in application areas, ranging from education reform, business management, societal transformation, personal growth, law enforcement, coaching, and training, to name a few.

Both NLP and SD are based on observation and research. To date there are intuitive connections between them that many see and a few teach. Research that links them clearly and formally is lacking.

There are many areas worthy of research. Thus far there have been many claims and hypotheses, but little actual research. Some areas of use might be looking at correlations between SD and certain metaprograms. Particular submodalities or clusters of submodalities might occur more predominantly with some Levels of Existence. Certain phobias, eye accessing patterns, or issues might be more prevalent in the transitions between Value Systems. At this point, we simply don't know.

Neuro Linguistic Programming and Spiral Dynamics can work hand-in-hand to provide a framework, application, understanding and solution to many human, interpersonal, social and business problems. They share common ground and many fundamental presuppositions. The challenge is for Practitioners to build expertise in both and begin formalizing the links, tracking the applications and relating them to the natural developmental process of the human being. Essentially, this is a call for studies to legitimize and formalize the links between these two areas of human understanding.

ENDNOTES BY ROB GEURTSSEN

- ¹ Beck, Don E. and Cowan, Christopher C. *Spiral Dynamics: Mastering Values, Leadership and Change*. Blackwell Publishers, Oxford, 1996.
- ² Biographical data about Clare W. Graves can be found at <http://www.clarewgraves.com/background.html>.
- ³ Graves describes his sources and how he started his quest for a theory that would describe why human beings have 'shifting views of human nature.' "An Emergent Theory Of Ethical Behavior Based Upon An Epigenetic Model" 1959 – Schenectady, New York, can be found at: http://www.clarewgraves.com/articles_content/1959/I.html.
- ⁴ Lee, William R. , Cowan, Christopher C., Todorovic, Natasha. *Graves: Levels of Human Existence*. ECLET Publishing, Santa Barbara, 2002 (ISBN 0-9724742-0-X). The research process Professor Clare W. Graves designed is described on pages 3-33. See: www.spiraldynamics.org.
- ⁵ Two major sources for this data can be found in: "Comparing the Research Data of O. J. Harvey's Cognitive Systems with the Basic Research Data of Clare Graves' Levels of Existence Theory." by William R. Lee, February, 1999/2001 on the website dedicated to Clare W. Graves: www.clarewgraves.com exist. See: http://www.clarewgraves.com/research_content/CG&OJH/intro.html. Tables I and II See also: Lee, William R., Cowan, Christopher C., Todorovic, Natasha. *Graves: Levels of Human Existence*. ECLET Publishing, Santa Barbara, 2002 (ISBN 0-9724742-0-X).

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- 6 Piaget worked on what is labeled as ‘genetic epistemology’ (how knowledge developed in human organisms). Piaget and temporaries like Vygotski were often involved in debates about the ‘individual-social antimony.’ What most agreed upon, and was covered by Graves is that the development of mind is the interweaving of biological development of the human body and the appropriation of the cultural/ideal/material heritage which impacts people who impact their physical world. Graves added much more as a result of his research i.e. cyclical patterns in human development. For Piaget see: <http://tip.psychology.org/piaget.html> and <http://www.piaget.org/>. Others that did ‘biopsychosocial systems’ research were: Stanley Milgram, Jane Loevinger, Laurence Kohlberg, Erik Erikson. Alex Burns’s review of Spiral Dynamics is at www.amazon.com. For an expanded bibliography by Alex Burns, see: http://www.spiraldynamics.com/documents/bibliography/Burns_biblio_060401.htm.
 - 7 An operational definition of emergence is: “A phenomenon that occurs out of the interplay of forces, information or energy being channeled through a system composed of a few basic principles (or attractors) and beyond a threshold point of containment. This interplay results in an identifiable phenomenon of rich variety and expression.” Good modern books on emergence are in an organizational setting *The Intelligence Advantage, Organizing for Complexity* by Michael D. McMaster and theoretical book by John H. Holland *Emergence – from Chaos to Order*.
 - 8 Graves had many names for his model such as: ‘The Emergent Cyclical Level of Existence Theory’ (ECLET) hence the derivation of ECLET Publishing, which focuses on his work. See www.clarewgraves.com The model is also referred to as Levels of Existence Theory, Value Systems Theory, Spiral Dynamics, and the Emergent-cyclical, Double-helix Model of Adult BioPsychoSocial Systems Development.
 - 9 The field of memetics was incorporated into Spiral Dynamics with the 1996 publication of the book that attempted to transform Gravesian theory into a broadly applicable model.
 - 10 NLP is an acronym for Neuro Linguistic Programming. NLP explores the relationship between how we think at a physical, neurological processing level (neuro), how we transform those processes into verbal communication (linguistic) and how those processes pattern behaviour, emotion and perceptions of reality (programs). The following distinctions within the field can be made: 1) NLP-modeling, 2) NLP-application and 3) NLP training. In this paper NLP stands broadly for the entire field. Intervention refers to NLP^{application}. John Grinder and Carmen Bostic St. Clair say, “The domain of NLP^{application} is representations and is incapable of making contributions to the exploration and mapping of the world about us.” *Anchor Point*, April 2002, p. 5-11. See: <http://www.nlpanchorpoint.com/GrinderInterview.pdf>.
 - 11 There is distinction between a theory and a model. A theory is a deductive or conceptual system with general characteristics comprising of: a) well-defined core set of concepts related to one another, b) hypotheses connected to the core concepts, c) an implicit or explicit logic describing how the core concepts are related, d) description of standards of measure of phenomena in a frame of reference. A model tends to be more of a shorthand application of a theory designed to describe, analyze and predict phenomena based on generalizations about the world. NLP is a collection of models, Spiral Dynamics is a model of Graves’s ECLET, which is a theory based on extensive research.
 - 12 Two books seem to be essential to understand the methodological and theoretical underpinnings of NLP, including NLP^{modeling} and NLP^{application}. First *Whispering in the Wind* by John Grinder and Carmen Bostic St. Clair, see www.nlpwhisperinginthewind.com. Secondly the NLP ‘outsider’ text on the epistemological, theoretical and methodological roots of the field of NLP is *La PNL en Perspective* by Professor Monique Esser, 1995, Editions Labor. Discussing ‘popular’ NLP becomes livelier when we ‘see’ the position of the skeptics on the other side of the fence. See: <http://skepdic.com/neurolin.html>.
 - 13 The quote was retrieved from <http://www.nlp.com/nlp-trainings/opportun.html> in August 2003.
 - 14 What Dr. Clare Graves said refers, according to William R. Lee, to the following behavioral sciences: anthropology, sociology, psychology, economics, political science and history. The quote and information is retrieved in August 2003 from a report in the Research Section of the www.clarewgraves.com website entitled: ‘A Comparison of the Spiral Dynamics Map with Other Maps’ by William R. Lee, September, 1999. See: http://www.clarewgraves.com/research_content/CG&others/intro.html.
 - 15 NLP was originally parented by Richard Bandler (1949-) and John Grinder (1940-) with a number of others. In a short span of time (1973 – 1979), they created a series of models that included three of the most highly regarded psychotherapists/psychiatrists in the English speaking world: Fritz Perls, Virginia Satir and Milton H. Erickson. Their output literally is what we now know as Neuro-Linguistic Programming (NLP). Recently Grinder wrote: “...this is uncontroversial and has achieved a status approaching mythology”. The group expanded quickly to include Judith Delozier (1946-), Leslie LeBeau (formerly Leslie Cameron-Bandler) and Robert Dilts (1955-). Birthplace: the University of Santa Cruz, California (75 km's from San Francisco). Bandler started studying psychology (Gestalt Therapy) and computer sciences there. Grinder was a professor in Linguistics at that time also with an interest in Gestalt Therapy. Major publications:

- 1975: *The Structure of Magic, Volume 1 & Patterns of Hypnotic Techniques of Milton Erickson*, Part I [both by Bandler & Grinder]
 1976: *The Structure of Magic, Volume 2* [Bandler & Grinder]; *Changing with Families* [Satir, Bandler & Grinder]
 1977: *Patterns of Hypnotic Techniques of Milton Erickson*, Part II [Bandler & Grinder]
 1979: *Frogs into Princes* [Bandler & Grinder]
 1980: *N.L.P., Volume 1* [Dilts, Cameron, DeLozier, Bandler & Grinder]
 1988: *Time Line Therapy and the Basis of Personality* [James, Tad & Woodsmall, Wyatt]
 2002: *Whispering in the Wind* [Grinder, John and Bostic St. Clair, Carmen]

A recommendation by Richard Bandler: Any references to the works NLP emerged from can be found in the bibliography to *Structure of Magic Vol. I*. Richard Bandler: "These refer to some of the research that I used to develop NLP. I highly recommend reading those texts referred to the bibliography of *The Structure of Magic Vol. I*."

- 16 In 1959 Clare W. Graves wrote a paper "An Emergent Theory Of Ethical Behavior Based Upon An Epigenetic Model" in which he describes the starting point of his research. All theories and models are mentioned in this document that can be retrieved from www.clarewgraves.com at http://www.clarewgraves.com/articles_content/1959/I.html. A description of research methodology can be found in *Graves: Levels of Human Existence* (2002 ECLET Publishing, 0-9724742-0-X). A transcription, edited by William R. Lee et al., of Dr. Graves's 1971 seminar at the Washington School of Psychiatry. Also includes an authorized reprint of Graves's classic article, "Levels of Human Existence: An Open System Theory of Values", from the *Journal of Humanistic Psychology*, Fall 1970.
- 17 Information about Richard Bandler can be found at: <http://www.richardbandler.com/> and <http://www.nlpu.com/bandbio.htm> and other websites incl. <http://www.richardbandler.tv/main.html>
- 18 Information about John Grinder can be found at: <http://www.johngrinder.co.uk/> and <http://www.nlpu.com/grindbio.htm>.
- 19 The NLPU-website suggests the source of NLP-presuppositions: "Like many other aspects of NLP, the basic NLP Presuppositions have been synthesized from a number of different fields, including: general semantics (Alfred Korzybski), transformational grammar (Noam Chomsky), systems theory (Gregory Bateson), cybernetics (W. Ross Ashby), pragmatism (William James), phenomenology (Edmund Husserl), and logical positivism (Bertrand Russell and Alfred North Whitehead)." Retrieved August 2003: <http://www.nlpu.com/Articles/artic20.htm>.
- 20 Dilts, Robert and DeLozier, Judith. *Encyclopedia of Systemic Neuro-Linguistic Programming and NLP New Coding*. NLP University Press, 2000, pg. 998-999. See: <http://nlpuniversitypress.com>
- 21 John Grinder, e-mail discussion June 11-14, 2002, on the Whispering in the Wind discussion-list.
- 22 Wolfgang Karber on Whispering in the Wind discussion-list on 11-06-2002, retrieved in August 2003.
- 23 John Grinder on 12-06-2002 on the Whispering in the Wind discussion-list.
- 24 Ibid.
- 25 A Spiral Dynamics perspective would interpret this tendency as the consequence of the DQ/Blue way of thinking, which is absolutistic and truth seeking. Truth comes from an outside authority and is set forth in a printed rule book such as a training manual, handout or book, which is to be taken literally in the mind of the absolutist. See the overview of the Spiral Dynamics model at: http://www.spiraldynamics.org/brochure_web/brochure_web.pdf. The brief course in Spiral Dynamics is in English and Spanish at: http://www.spiraldynamics.org/pdf_resources/SDMC.pdf and FAQ can be accessed at: <http://www.spiraldynamics.org/learning/faq.htm>
- 26 See 'Whispering in the Wind' Internet discussion-list in June 2002. Retrieved from archives with key word 'NLP-presuppositions' in August 2003.
- 27 John Grinder on 11-06-2002, on the 'Whispering in the Wind' Internet discussion-list.
- 28 Source text derived from two sources: Notes from NLP-trainings in 1997 with Tad James (www.nlp.com) and definitions on the NLPU-website. Retrieved August 2003: <http://www.nlpu.com/Articles/artic20.htm>.
- 29 Dilts, Robert and DeLozier, Judith. *Encyclopedia of Systemic Neuro-Linguistic Programming and NLP New Coding*. NLP University Press, 2000, pg. 1001. See: <http://nlpuniversitypress.com>
- 30 "The map is not the territory" is probably the best known phrase from Alfred Korzybski.
- 31 A particular outcome is well-formed when it is: (1) stated in positives, (2) initiated and maintained by the individual, (3) ecological - maintains the quality of all rapport systems, and (4) testable in experience - sensory based. Viewed in August 2003 from: Richard Bandler's 'Pure NLP' Website: <http://www.purenlp.com/glossry2.htm#WFC>.
- 32 Dilts, Robert and DeLozier, Judith. *Encyclopedia of Systemic Neuro-Linguistic Programming and NLP New Coding*. NLP University Press, 2000, pg. 1002. See: <http://nlpuniversitypress.com>

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- 33 See: http://www.clarewgraves.com/articles_content/1960/1960d.html. Retrieved in August 2003 at: www.Clarewgraves.com website. Many of these pages were written in the early 1960s. They reveal some of Dr. Graves's thinking as he conducted his research and developed the Levels of Existence Theory. They are from the Historical Collection of the work of Dr. Clare W. Graves: papers, presentations, recorded transcripts, notes, as archived by William R. Lee.
- 34 Spiral Dynamics offers multiple maps to NLP. All of which bring order to the chaos and uncertainty of change, by operationally indexing change concepts into seven Korzybskian variations: Change1 (minor adjustments) through Change7 (systemic transformation). The five Change States help navigate transitions between systems, each offering maps and unique worldviews (Alpha, Beta, Gamma, Delta, New Alpha and Reform Option). See *Spiral Dynamics: Mastering Values Leadership and Change*.
- 35 Dilts, Robert and DeLozier, Judith. *Encyclopedia of Systemic Neuro-Linguistic Programming and NLP New Coding*. NLP University Press, 2000, pg. 1001. See: <http://nlpuniversitypress.com>
- 36 Dilts, Robert and DeLozier, Judith, pg 1001.
- 37 Korzybski, A. (1933) *Science and Sanity: An Introduction to Non-Aristotelian Systems and General Semantics*. Lakeville, CT: The International Non-Aristotelian Library Publishing Co. (now a part of the I.G.S., Brooklyn, NY), 5th Edition, 1994.
- *Time-Binding: The General Theory*. Two Papers, 1924, 1926. Lakeville, CT (Englewood, NJ): Institute of General Semantics, 1949.
- *Manhood of Humanity*. (1921) 2nd Edition. Lakeville, CT (now Englewood, NJ): International Non-Aristotelian Library/ Institute of General Semantics, 1950.
- 38 Clare W. Graves' quote is taken from *Spiral Dynamics, Mastering Values, Leadership, and Change* [Beck and Cowan] 1996, Blackwell Publishers, ISBN 1-55786-940-5; page 146.
- 39 Dilts, Robert and DeLozier, Judith. *Encyclopedia of Systemic Neuro-Linguistic Programming and NLP New Coding*. NLP University Press, 2000, pg. 1003. See: <http://nlpuniversitypress.com>
- 40 Dilts, Robert and DeLozier, Judith, pg 1004.
- 41 Dilts, Robert and DeLozier, Judith, pg. 1003.
- 42 Ashby, Walter R. *An Introduction to Cybernetics*. Chapman & Hall, London, 1956. See also: "Requisite Variety and its Implications for the Control of Complex Systems." *Cybernetica*, 1(2) 1958.
- 43 Dilts, Robert and DeLozier, Judith. *Encyclopedia of Systemic Neuro-Linguistic Programming and NLP New Coding*. NLP University Press, 2000, pg. 1003. See: <http://nlpuniversitypress.com>
- 44 Dilts, Robert and DeLozier, Judith, pg. 1003.
- 45 Dilts, Robert and DeLozier, Judith, pg 1003.
- 46 Dilts, Robert and DeLozier, Judith, pg 1519.
- ⁴⁷ Dilts, Robert. "The New Leadership Paradigm." NLP University, 1996. See: <http://www.nlpuniversity.com/Articles/article8.htm>
- 48 Wrycza, Peter. "When Performance Meets Alignment: NLP Coaching." *Anchor Point*, May 2002
- 49 Wrycza, Peter.