

INTEGRAL COMMUNICATION

By

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## PREFACE

Anyone tired of disciplinary fragmentation, sick of partisan bickering, and exhausted by an endless eclecticism probably desires a more comprehensive framework, a more integral vision. To integrate means “to bring together, to join, to link, to embrace. Not in the sense of uniformity, and not in the sense of ironing out all the wonderful differences, colors, zigs and zags of a rainbow-hued humanity, but in the sense of unity-in-diversity, shared commonalties along with our wonderful differences” (Wilber, 2000, p. 2). An integral vision would orient the cornucopia of theories and methods, would inform purposeful action, would facilitate dialogue among academic disciplines, and would offer insight into the very consciousness holding the vision. Articulating such a vision is the integral project. Applying it to communication is integral communication.

Communication might be thought of as mutual understanding within a shared intersubjective space. Or, perhaps communication is a transmission of information bits from a source to a receiver. What theoretical map embraces them both? The inside of communication could be studied qualitatively. Or, the outside of communication could be studied quantitatively. What paradigm includes them both? The integral project offers some clues to these enigmas. Attempts to answer these questions occupy the first three chapters.

Chapter 1 expresses the need for theoretical integration within communication studies. Rich theoretical traditions such as the rhetorical, semiotic, phenomenological, systemic, sociopsychological, sociocultural, and critical abound in communication.

Many communication scholars call for a new way to orient the many theoretical traditions, so they can develop together rather than in fragmented isolation. Integral communication pioneers like Jurgen Habermas and Stephen Littlejohn already have taken the first trailblazing steps.

Chapter 2 introduces the “All Quadrants, All Levels” (AQAL) integral model created by the American philosopher Ken Wilber (2000b). The AQAL map has five central elements: quadrants, levels, lines, states, and types. A human being can experience any phenomenon from perspectives represented by at least these five elements. Such awareness helps orient existing theories, reconstruct old ones, and create new ones.

Chapter 3 outlines the challenges of methodological integration. Paradigm wars raged for many years among those who held up their method as the only legitimate way to enact truth. Some reduced reality to exterior surfaces, and others reduced reality to interior depth. Most researchers today admit that the two methods can be used together within the same study, but fail to give a theoretical explanation as to why mixing methods works. Integral methodological pluralism offers a philosophical justification for paradigmatic integration.

The social sciences—including communication studies—face a crossroads in finding the integral balance between the theories and methods of the humanities on the left hand, and the theories and methods of the sciences on the right hand. Chapter 4 begins the transition into applying integral communication as a strategy, by drawing from each hand. Social-science research points to a relationship among behaviors, attitudes,

values, and value systems. Furthermore, none of these communication traits remains statically frozen. They develop.

Chapter 5 surveys the work of several researchers who study the evolution of value systems. According to their findings, value systems develop in levels of increasing embrace. The general trend moves from egocentric values to ethnocentric values to worldcentric values. Within this growth tendency, four specific value systems stand out in contemporary American culture.

Chapter 6 uses these four value systems within an integral communication strategy. Target audiences can be vertically segmented using developmental psychographics. The postmodern insights of hermeneutics, semiotics, and structuralism shed light on the communicative dynamics among developmental segmentations. Translating a message into the developmental value language of the intended audience increases the effectiveness of the communication.

Chapter 7 presents an informal case study documenting integral communication in action. David Johnston used integral communication to transform the building market in Alameda County, California. The strategy fully identified the various stakeholders, and helped them understand how sustainable building practices supported their personal value systems.

Finally, Chapter 8 focuses on the transformative applications of integral communication. Multiple disciplines—from education to business to medicine to politics—are already using integral communication to talk, learn, and grow with each other. Furthermore, a transformation strategy and curriculum suggest the possibility of using language to prompt developmental growth.

All this claims to be nothing more than a first stab at articulating an integral communication. Many avenues will be left unexplored; much theoretical integration will be left undone; numerous strategic applications will be left unsaid. I merely attempt to give a general theoretical overview of integral communication as an orientation for future work. I extend preemptive praise to those who will locate my inevitable missteps, incorporate refinements, and continue the evolution of integral communication.

The writing style incorporates first-, second-, and third-person perspectives as supported by integral philosophy. The tone may shift from casual and conversational, to intellectual and technical, depending on the needs of the moment. Also, quotes and citations intentionally appear in abundance. They allow the diverse voices of yesterday to speak and create a space for an integral vision today. In the following presentation, I aspire to express the integral communication project with sincerity, truth, legitimacy, and comprehensibility.

My most basic aim here is to open a dialogue that asks what a more integral approach to communication might look like. The dialogue can be challenging. Disagreements might arise. New perspectives may be painfully birthed. Yet these challenges fuel the dialogue. Communication furthers the evolution of the integral project, just as the integral project furthers the evolution of communication. Thus, in the spirit of growth, challenges are welcomed here as honored guests, inviting everyone to bask in the glorious discourse of ferment. Welcome to the conversation.

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Many scholars call for a more integrated approach to communication studies. Ken Wilber's All Quadrants, All Levels integral model attempts to satisfy this desire by its ability to locate unity-in-diversity. The integral model finds relationships among the various communication theories, research methods, and strategies so they can learn from and work with each other instead of functioning as disconnected eclectic fragments. Furthermore, the Spiral Dynamics integral model of value systems demonstrates how including levels of psychological development can enhance the effectiveness of communication strategies. Change-agents (such as David Johnston in Alameda County, California) are already using integral communication strategies. Finally, integral communication also has been shown to facilitate cross-disciplinary discourse, and has special implications for curricular pedagogy.

## CHAPTER 1 A CALL FOR THEORETICAL INTEGRATION

### **The Zen of Ferment**

The following Zen story is called “Trading Dialogue for Lodging.”

Provided he makes and wins an argument about Buddhism with those who live there, any wandering monk can remain in a Zen temple. If he is defeated, he has to move on.

In a temple in the northern part of Japan, two brother monks were dwelling together. The elder one was learned, but the younger one was stupid and had but one eye.

A wandering monk came and asked for lodging, properly challenging them to a debate about the sublime teaching. The elder brother, tired that day from much studying, told the younger one to take his place. “Go and request the dialogue in silence,” he cautioned.

So the young monk and the stranger went to the shrine and sat down.

Shortly afterward the traveler rose and went in to the elder brother and said: “Your young brother is a wonderful fellow. He defeated me.”

“Relate the dialogue to me,” said the elder one.

“Well,” explained the traveler, “first I held up one finger, representing Buddha, the enlightened one. So he held up two fingers, signifying Buddha and his teaching. I held up three fingers, representing Buddha, his teaching [Dharma], and his followers living the harmonious life [Sangha]. Then he shook his clenched fist in my face, indicating that all three come from one realization. Thus he won and so I have no right to remain here.” With this, the traveler left.

“Where is that fellow?” asked the younger one, running in to his elder brother.

“I understand you won the debate.”

“Won nothing. I’m going to beat him up.”

“Tell me the subject of the debate,” asked the elder one.

“Why, the minute he saw me he held up one finger, insulting me by insinuating that I have only one eye. Since he was a stranger I thought I would be polite to him, so I held up two fingers, congratulating him that he has two eyes. Then the impolite wretch held up three fingers, suggesting that between us we only have three eyes. So I got mad and started to punch him, but he ran out and that ended it!”  
(Anonymous quoted in Krippendorff, 1989, p. 73).

How does reflecting on communication help us understand what transpired in the story? Apparently, mutual understanding failed to occur between the traveler and the young monk. What theory best describes these dynamics?

The answer is far from clear. A recent analysis of seven communication textbooks identified 249 distinct “theories” (Anderson, 1996). Of these theories, 195 (88%) appeared in only one of the seven textbooks. Moreover, only 18 of the 249 theories (7%) surfaced in more than three books. In an article titled “Why Are There So Many Communication Theories?” Robert Craig struggles with this lack of theoretical consensus within communication studies (1993).

The term “ferment” denotes a state of agitation, turbulent change, or development (American Heritage, 2000). The *Journal of Communications* first exposed a “Ferment in the Field” in June 1983. At least since this issue, comments Klaus Bruhn Jensen, “there has been a recognition within . . . communication research that the diverse theoretical and methodological sources of the field, in the social sciences and in the humanities, hold a significant potential for consolidation through integration” (2002, p. 1). Karl Erik Rosengren contributed to that June issue over 20 years ago, when he hoped “the ferment . . . would be replaced by vigorous growth, stemming from both mutual confrontation and mutual cooperation between the various schools and traditions of research” (1993, p. 8). This ferment—made possible by a differentiation into multiple schools of thought—held

the potential to catapult the field into valuable academic territory that no one school could reach on its own. Ferment created the possibility for integration.

That possibility has yet to manifest. Many communication scholars lament the unfulfilled promise of integration. Barbara O’Keefe comments, “It is difficult to represent the field well . . . because we have failed as a community to organize our contributions in a systematic fashion” (1993, p. 80). Craig agrees, seeing little proof of communication theory as a field, because scholars “appear to be operating primarily in separate domains. . . . Communication theorists apparently neither agree nor disagree about much of anything. . . . There are no common goals that unite them, no contentious issues that divide them. For the most part, they simply ignore each other” (1999, p. 119-120). Karl Rosengren gives a virtually identical diagnosis: “Adherents of the various quasi-paradigms have increasingly avoided both confrontation and cooperation, preferring instead to isolate themselves in a number of self-contained enclaves . . . . The field today is characterized more by fragmentation than fermentation” (1993, p. 8-9).

The work of many developmentalists suggests that healthy development moves from fusion to differentiation to integration (Kegan, 1994; Cook-Greuter and Miller, 1994). In contrast, communication scholarship has taken a deviant path, deteriorating from differentiation to disassociation. Communication historians Armand Matterlart and Michele Matterlart write of the unresolved tensions that result from disassociation.

The history of theories of communication is a record of these tensions and of the varied attempts to articulate—or avoid articulating—the terms of what all too often have appeared as dichotomies and binary oppositions rather than levels of analysis. In diverse historical contexts and formulated in various ways, these tensions and antagonisms have constantly manifested themselves, dividing the field into different schools of thought, currents, and tendencies. (1998, p. 1-2)

During a state of disassociation, cooperative interaction slows, and theoretical schools either ignore or attempt to conquer each other. Craig explains this breakdown using the term “sterile eclecticism” for differentiation and “productive fragmentation” for disassociation:

Each of the fragments of communication research has been productive within its own domain, hence my term ‘productive fragmentation.’ As long as the research discipline is thus fragmented, the textbooks will continue to be mired in sterile eclecticism and there will continue to be more and more communication theories but still no *field* of communication theory. (1999, p. 123)

Healing the disassociation within communication studies requires integration.

First, however, the field’s major theoretical traditions must be clearly differentiated.

### **Seven Productive Fragments**

One could differentiate the field of communication in many ways. The presentation below, representing one possibility, divides communication theories into seven broad traditions, adapted from Craig (1999) and Littlejohn (2002). Each tradition enjoys a contemporary academic following, and a substantial body of research literature. These seven traditions represent the biggest fragments or heaps currently active within communication studies.

1. **The Rhetorical Tradition:** Originating with the ancient Greeks, the rhetorical tradition views communication as a practical art of discourse. Communication, as a practical discipline, can improve by learning and practicing a skill. Rhetorical studies emphasize the power of words to artfully persuade audiences and the value of informed judgment.
2. **The Semiotic Tradition:** Intersubjective mediation by signs characterizes the semiotic perspective of communication. Misunderstandings occur because of gaps among subjective viewpoints that can be imperfectly bridged by using shared sign systems such as language. Understanding requires that both parties speak the same “language” and have shared referential experience.
3. **The Phenomenological Tradition:** The phenomenological tradition theorizes communication as experience of self and other in dialogue. Direct and unmediated contact with others is a real and necessary human experience. Phenomenologists



aim to cultivate communication practices that enable and sustain authentic human relationships, such as seeking genuineness, supportiveness, openness, respecting differences, and seeking common ground.

4. **The Systems Tradition:** Communication, according to the systems tradition, is information processing. Systems theory, cybernetics, cognitive science, artificial intelligence, functionalist social theory, and network analysis all fall under the systems tradition. Systems theory describes the communication process empirically with functionalist terms such as source, receiver, signal, noise, and feedback.
5. **The Sociopsychological Tradition:** Experimental social psychology accounts for much of what is today called “communication science.” This approach regards communication as processes by which humans express, interact, and influence each other. Psychological factors (e.g., attitudes, values, emotional states, personality traits, unconscious conflicts, social cognitions) mediate the communication process.
6. **The Sociocultural Tradition:** This tradition studies communication as a symbolic process that produces and reproduces shared sociocultural patterns. On the one hand, everyday interactions with others depend on preexisting, shared cultural meanings and social structures, and these interactions “reproduce” the existing sociocultural order. On the other hand, social interaction allows creativity and improvisation that “produces” the sociocultural order that makes interaction possible in the first place.
7. **The Critical Tradition:** With roots in Plato’s conception of Socratic dialectic, critical communication theory aspires for mutual understanding through discursive reflection. Material and ideological forces impede the emancipatory movement towards authentic communication. Social injustices perpetuated by ideological distortions can be rectified through communicative practices that enable critical reflection, unmask the distortions, and facilitate political action.

When faced with such theoretical diversity, critics typically react in one of five ways, each response plagued with shortcomings, based on the research of Wayne Booth (1979) and Donald Levine (1986). First, the *polemicist* response encourages all perspectives to fight it out and welcomes assaults on complacency and conformity. Critique: it often generates wasteful and mean spirited exchanges and fosters misinterpretation among intellectual opponents. Second, the *semanticist* response believes that disagreements will disappear through intellectual antagonists clarifying their terms and removing ambiguities. Critique: the differences among perspectives transcend

trivial semantic ambiguities and cannot be removed through linguistic clarification (epistemological differences for example). Third, the *monist* response deems one contending position as correct and portrays all others as wrong, misleading, or unimportant. Critique: this response can claim validity only from within its own perspective and philosophically cannot justify universal invalidation of all other positions. Fourth, the *skeptic* (or relativist or nihilist) response questions whether any perspective can make statements containing truth value. Critique: this claim contains a performative contradiction, namely the professed certainty about the impossibility of attaining certainty. Fifth, the *eclectic* response accepts the validity claims of competing theories and copes with the apparent incommensurability by chopping up works and using the most helpful fragments. Critique: the contextual significance of each perspective is lost when fragmented and spliced with other positions.

An alternative response does exist, which honors each approach as unique and valuable. Each theory contains its own strengths and weaknesses. Each theory offers *a* truth, but not *the* truth. Letting each theory tell its part of the story is essential; letting it impose its piece as the whole is disastrous. Given these basic insights, a series of questions arise: How can the partial truth of each perspective best be preserved? What sort of theoretical space can allow each perspective to respect, value, and utilize the others? What sort of map could organize the perspectives to accentuate their relationships, patterns, and links? How is constructive dialogue and cooperation among the perspectives best facilitated? Put simply, my response is integration.

The next section introduces integration in a general, conversational manner. Playful language and colorful metaphors are intentionally used to introduce some rather

challenging concepts. Since an integral analysis can operate upon any discipline, the following discussion could apply equally well to medicine, psychology, education, or business.

### **What Does “Integral” Mean?**

Consider *everything* for a moment. . . . Now reflect how much you remembered to include. Did you remember atoms? What about political systems? Communication? Dreams? The feminine? Dare I even mention consciousness? The question string could continue for miles. (Did you remember sex? And ecology? Spirituality? . . .)

Most people find this thought experiment exceedingly difficult. But there is a trick: spaces are easier to remember than particulars. For example, the space “kitchen” is simpler to recall than every particular item in a kitchen. Once a person understands the space “kitchen,” she will know where the toaster belongs upon encountering it. The same applies to everything. Create enough space and nothing is left out.

“Integral” simply means covering all the bases. To do this, an integral map creates enough space to include all the bases in a balanced and comprehensive manner. But integral embrace involves more than just recognizing multiple clumps or listing eclectic jumbles. It joins, links, and fits together the individual bases by finding underlying patterns and interconnections within a common worldspace, territory, or matrix.

Without an integral map, keeping everything straight proves challenging for anyone. The information age launches a relentless barrage of meaning missiles. Some inevitably penetrate our minds and set up residence. Bits and pieces drift aimlessly in a chaotic bowl of mental soup. Information fragments bounce around the mind, blindly bumping into each other—garbled, jumbled, muddled. Integral maps seek to coordinate

this eclectic pluralism, converting “heaps into wholes.” For without coordination, information loses much of its pragmatic value.

Some maps are more inclusive than others, and, in this case, value increases with capacity for embrace. For instance, a map of the entire United States is more valuable than a Florida map, namely because the USA map includes Florida plus more. An integral approach endeavors to erect the largest map possible—an earnest model of everything, or at least the spaces in which everything exists. Working with anything less than a full map will necessarily entail certain limitations, confusions, and reductionisms. With only a Florida map at hand, one might aim for Washington, D.C., yet only make it to Tallahassee. Using an integral map, in contrast, drastically improves the possibility of success.

Theoretical integration means discovering the unity-in-diversity, the commonalty amidst the difference. The integral project within communication attempts to give a comprehensive map of communicative phenomena by including all traditions and perspectives. “The important point is the knowledge that *all* these views, when integrated, provide an ‘emergent factor’ that adds value beyond the sum of the perspectives” (Paulson, 2002, p. 110). Integral communication models the grand cohesion of relationships and developments that creates the possibility space for communication to occur.

### **Beyond Fusion and Eclecticism**

A growing number of communication scholars possess the will to integrate but lack the means. Unrest swells within the academic community to move beyond differentiation (or disassociation) towards integration. Many communication professionals are tired of

disciplinary disassociation, eclecticism, or fusion. They want integration, they're just not quite sure how best to do it.

A difference exists between the desire for integration and the regression from differentiation back to orthodox fusion (Giddens, 1989, p. 53). Integration does not mean fusion. No integrally oriented social scientist wants a dominating supertheory that supersedes and discredits all other theories as null and void. Richard Shweder explains that "it is not as if each of the several schools of thought is pressing for that notable scientific achievement or crucial experiment in the wake of which the diversity will disappear, a unifying paradigm will emerge, and real science will begin" (1986, p. 163). Similarly, O'Keefe makes the case against coherence (fusion) and for cohesion (integration) (1993, p. 76-80). She argues that "theoretical unification is neither desirable nor attainable. . . . Since we [communication scholars] have different viewpoints for good reason, imposition of one common theoretical viewpoint would simply mean displacing some important work from the field" (1993, p. 76). Craig follows in stating "the goal should not be some chimerical, unified theory of communication just over the rainbow. Such a unified theory will always be out of reach, and we probably should not want one if it were attainable. . . . The goal should not be a state in which we have nothing to argue about, but one in which we better understand that we all have something very important to argue about" (1999, p. 123-124). Under no circumstances does an integral approach to communication mean an end to theoretical diversity.

Beyond monistic fusion and eclectic pluralism, integration offers a metanarrative, field, matrix, or map where basic commonalties and relationships become more apparent among the multiplicity of perspectives and traditions in communication studies. Many

communication scholars voice their desire for such an integral map. Craig calls for a metatheoretical approach that “cuts across the various disciplinary traditions, substantive specialties, methodologies, and schools of thought that presently divide us” (1999, p. 120). “Perhaps ways can be found by which the various, apparently incompatible or unrelated modes of communication theory that now exist can be brought into more productive dialogue with one another . . . perhaps communication science can be understood as an integrated ‘practical discipline’ in which critical, interpretive, and empirical research as well as philosophical reflection and applied work have deeply related, essential functions to perform” (Craig, 1993; Craig, 1989). O’Keefe acknowledges, “The great opportunity offered by integration is the possibility of making a common cause. Rather than competing in separate units, the communication disciplines can provide support for each other” (1993, p. 80).

Many of the theorists mentioned in this section have attempted integral schemes that have failed in various ways. No matrix, metamodel, or framework has yet been erected that effectively integrates the communication field. Many seem content with creating elaborate categorical matrixes of eclecticism. “The time is ripe,” concludes Levine, “for articulating a self-conscious pluralist program in the social sciences in which the point will be, not to scrap the demarcationist [differentiation] project, but to sophisticate it” (1986, p. 282). Craig’s “dialogical-dialectical coherence matrix” serves as a fine example of a sophisticated demarcation (1999, p. 133-134). Nevertheless, eclectic pluralism of this sort cannot be called integral.

### **Two Noteworthy Pioneers**

Acknowledged as one of the greatest thinkers of the twentieth century, Jurgen Habermas stands among the most comprehensive and philosophically rigorous of all

communication scholars. His writings display encyclopedic knowledge across a plenitude of academic disciplines. He sought to “synthesize [these disciplines] on an encompassing scale as grand as that of Hegel or Marx” (Wuthnow, Hunter, Bergesen, Kurzweil, 1984, p. 179). Indeed, Habermas’s theoretical framework—featuring a horizontal and vertical axis—makes invaluable contributions to the integral project in general, and to integral communication specifically.

Central to his thought is a “universal pragmatics,” marked by a theory of “communicative action” (Habermas, 1984; Habermas, 1979). Habermas cites Immanuel Kant who differentiated what Max Weber later called the three “cultural value spheres” (1996, p. 239). This primary differentiation allowed Habermas to articulate the relationship of “speech acts” with the three most primary realities or worldspaces:

According to this model, language can be conceived as the medium of interrelating three worlds; for every successful communicative action there exists a threefold relation between the utterance and (a) “the external world” as the totality of existing states of affairs, (b) “our social world” as the totality of all normatively regulated interpersonal relations that count as legitimate in a given society, and (c) “a particular inner world” (of the speaker) as the totality of his intentional experiences. (Habermas, 1979, p. 67)

Returning full circle to the Zen story, recall that the traveler held up three fingers to signify these same three realms. Indeed, the “Three Jewels” of Buddhism—Buddha, Dharma, and Sangha—respectively signify the worldspaces of subjective understanding, objective truth, and intersubjective meaning.

In any communicative action towards mutual understanding, “validity claims are ‘always already’ implicitly raised” (Habermas, 1979, p. 97). Each of these three realms, insists Habermas, has its own specific validity claim. Validity claims of *truth*, *truthfulness* (or sincerity), and *rightness* (or legitimacy) correlate respectively to the realms of the objective, the subjective, and the intersubjective. The next chapter covers

these domains in greater detail. For now, simply note that the three validity criteria are domain specific. Habermas cautions that the validation method of one domain does not validate the others.

The second major component to Habermas's work is his developmental investigations—the vertical axis. The task, for Habermas, is “to work out a unified framework in which the different dimensions of human development are not only analytically distinguished [differentiated] but in which their interconnections are also systematically taken into account [integration]” (McCarthy, 1979, p. xx). This quote, written almost 25 years ago, nicely articulates a key aspect of the integral project.

Habermas presents a rational reconstruction of “universal, ‘species-wide,’ competencies and the demonstration that each of them is acquired in an irreversible series of distinct and increasingly complex stages that can be hierarchically ordered in a developmental logic” (McCarthy, 1979, p. xx). Development occurs within each of the three worldspace domains (subjective, intersubjective, and objective). The outcome of this multidimensional evolution determines the acquisition of communicative competence. The key point to remember: the Big Three reality domains—subjective, intersubjective, and objective—evolve together.

A second, lesser known pioneer, Steven Littlejohn, has consistently supported theoretical integration for the past 25 years since the first edition of his widely respected textbook *Theories of Human Communication*. In the 1978 introduction, he expresses the belief that “each theory looks at the [communication] process from a different angle, and each theory provides insights of its own” (p. 21). He recognizes that “the biggest problem of an eclectic approach is integrating parts into a coherent whole” (1978, p.



374). In his concluding chapter titled “A Multitheoretical Integration,” he outlines an approach by which “we are able to see patterns and generalizations not apparent from narrower perspectives” (1978, p. 374-375).

In his attempt of a “multitheoretical integration,” Littlejohn also uses a horizontal and vertical axis of analysis. For the horizontal, he employs two broad perspectives—general systems theory and symbolic interactionism—to represent the two primary perspectives of communication (1978, p. 376). On the one hand, general systems theory represents theories that focus on “out there activity” such as behavior, function, and utility (Littlejohn, 1983, p. 10). On the other hand, symbolic interaction (including semiotics) represents theories that deal with “in here activity” including meaning, interpretation, and signs (Littlejohn, 1983, p. 10). The combination of these two general perspectives produces a rough framework of the inside and outside of any communicative event.

For his vertical axis, Littlejohn supports the use of hierarchies and levels of analysis. He clearly states that communication, as a complex process, “can be analyzed hierarchically” (1978, p. 376). He cites four contexts or levels within communication: interpersonal, group, organizational, and mass, pointing out that “these levels are not mutually exclusive. They should be viewed hierarchically with interpersonal communication as the base of all other contexts” (Littlejohn, 1978, p. 378). This statement suggests a system relationship in which each level exists both as a whole and as a part of a greater whole. For example, group communication is a whole system itself and simultaneously a part of the larger system of organizational communication. Finally, he implies that the two horizontal dimensions (interior and exterior) operate at each of the

four vertical levels. Any future attempt at theoretical integration will surely want to consult and include Littlejohn's pioneering efforts.

Perhaps more than any other contemporary American communication theorist, Littlejohn has exemplified a career commitment to healthy theoretical pluralism and the call for theoretical integration. In the seventh and most recent addition of *Theories of Human Communication*, he reaffirms this commitment by supporting Craig's search for "a metamodel that opens up a conceptual space in which many different theoretical models of communication can interact" (Littlejohn, 2002, p. 12; Craig, 1999, p. 126-127). The term *meta*, explains Littlejohn, means "above," and so a metamodel is a "model of models" (2002, p. 12). But even Littlejohn does not believe he possesses the means to carry a theoretical integration through to a satisfactory completion. Instead of presenting his readers with a revised integral metamodel in his 2002 textbook, he gives this advice: "As a student of communication theory . . . if you can find a useful metamodel, you will be able to make connections among theories . . . and understand the value of multiple perspectives in the field" (p. 12). The next chapter offers a viable means of integration by introducing just such a "useful metamodel."

## CHAPTER 2 THE ARCHITECTURE OF INTEGRAL RECONSTRUCTION

### **The Master Architect**

In *Communication and the Evolution of Society*, Habermas says that “*reconstruction* signifies taking a theory apart and putting it back together again in a new form in order to attain more fully the goal it has set for itself. This is the normal way of dealing with a theory that needs revision in many respects but whose potential for stimulation has still not been exhausted” (1979, p. 95). Far from regression to modernist thinking, the reconstructive impulse marks an *evolution* beyond not only modernity, but beyond deconstructive postmodernity as well. One could call it reconstructive postmodernism, post-postmodernism, or more simply *integral*. Robert Kegan writes, “What I call ‘reconstructive postmodernism’ . . . seeks not only a differentiation from the forms of modernism but their reintegration into a new way of knowing that abjures the absolutism of the forms, that does not take the forms as complete, distinct, or prior” (1994, p. 329). Regarding communication, Robert Craig asserts, “Our task is not to deconstruct communication theory. (What would be the point? It’s already a mess.) Rather, we must *reconstruct* communication theory . . .” (1999, p. 129).

Respectable thinkers have labored over the reconstructive project only to encounter variable degrees of fruition. An easy way to judge the relative success of any given integral map is to ask how much space it creates. Does it create enough space to include the partial truth of all the theoretical traditions and methods? The present investigation strives to assess whether the AQAL (pronounced *ah-qwal*) integral framework created by

the American philosopher Ken Wilber can credibly answer this question in the affirmative.

Wilber has expanded and refined his work over the past 30 years, passing through at least four distinct phases. The 19 books he has either written or edited have been translated into more than 30 languages, making Wilber the most translated American academic writer alive (Visser, 2003, p. 3). At 23-years-old, he authored his first book, which sent ripples into elite academic circles that have yet to settle. “Virtually overnight Wilber was acknowledged as a leading thinker in the fields of psychology and philosophy, with serious reviews comparing him to Freud, Hegel, even Plato” (Visser, 2003, p. 25).

On an intellectual side, Wilber demonstrates an uncanny “capacity to absorb, synthesize, categorize, and make sense of vast amounts of information from disparate fields” (Schwartz, 1995, p. 342). On a personal side, he has been characterized as “patient, generous, funny, insightful, and entertaining” (Schwartz, 1995, p. 341). Having personally met with him several times at his Denver residence, I can only agree on both accounts. Ken Wilber’s wisdom and compassion inform this entire project of integral communication.

In 1995, Wilber first published the AQAL model in volume one of the *Kosmos* trilogy. He relates how his reconstructive vision grew out of the smoky ruins of deconstructive postmodernism:

One thing was very clear to me as I struggled with how best to proceed in an intellectual climate dedicated to deconstructing anything that crossed its path: I would have to back up and start at the beginning, and try to create a vocabulary for a more constructive philosophy. Beyond pluralistic relativism is universal integralism; I therefore sought to outline a philosophy of universal integralism. . . an *integral* philosophy, one that would believably weave together the many

pluralistic contexts of science, morals, aesthetics, Eastern as well as Western philosophy, and the world's great wisdom traditions (2000b, p. x).

“You cannot do that,” Wilber insists, “as an eclecticism, or a smorgasbord of unrelated observations. . . . The integral orientation must be able to tie together an enormous number of disciplines into a fairly complete, coherent, plausible, believable vision” (Wilber in Visser, 2003, p. 35-36). The remainder of this chapter shows how he did it and how it applies to communication.

Nothing is as practical as a good (meta)theory, but only if it is applied. With this in mind, Wilber founded a non-profit organization—*The Integral Institute*—to apply the integral vision. The Integral Institute currently is committed the following four goals (I-I, 2004):

1. Integrate the largest amount of research from the largest number of disciplines.
2. Develop practical products and services from this research.
3. Apply this integrated knowledge and method of problem solving to critical and urgent issues.
4. Create the world's first Integral Learning Community.

Integral Institute recruits top academics and practitioners from around the world to collaborate on the integral reconstruction project. The global think tank is divided into domains composed of “core teams” who work together to reconstruct their respective disciplines with the AQAL model. Core teams include integral business, integral ecology, integral art, integral psychology, integral medicine, and integral education to name a few. Perhaps in the future integral communication will also be a domain.

AQAL stands for “all quadrants, all levels,” but also implies lines, states, and types. Together these five elements function as the essential theoretical tools of the integral map. Remembering them will prove extremely helpful for the task ahead. Try this

pneumonic memory device to help: *To learn start loving questions*—**To** (types) **Learn** (lines) **Start** (states) **Loving** (levels) **Questions** (quadrants).

### Quadrants

The quadrants serve as AQAL's horizontal axis. They elegantly map the same reality domains given by Habermas. Every communication relates to at least four worldspaces, each with its own type of condition or validity claim that determines the effectiveness of the communication. First, the *external world* refers to material objects in nature. External phenomena can be empirically perceived, measured, and manipulated. A communication act is effective in this domain to the degree that it accurately represents the objective facts. The validity claim is *truth*: a communication "counts as true for the participants insofar as it represents something in the world" (Habermas, 1979, p. 28). Second, the *internal world* signifies the realm of personal subjectivity. This domain includes the values, feelings, and intentions of the person communicating. Effective communication occurs when the communicator expresses what she actually thought or felt internally. Within this domain, *truthfulness* (or sincerity) determines the validity of a speech act. A communication "counts as truthful insofar as it expresses something intended by the speaker" (Habermas, 1979, p. 28).

A third reality domain, the *cultural world*, concerns the intersubjective space of mutual recognition. When a signing community interacts with mutual understanding it shares pre-existing, collective contexts such as cultural norms, symbolic patterns, moral expectations, and worldviews. The validity claim here deals with the *rightness* (or legitimacy) of a communicative action in relation to cultural norms. A communication "counts as right insofar as it conforms to socially recognized expectations" (Habermas, 1979, p. 28). Finally, communication takes place within the *linguistic world*.

Effectiveness depends on the linguistic medium in which a communication is framed. A speech act must conform to the external properties of a language system. Grammatical, semantic, and syntactical rules must be followed for a communication to reach *comprehensibility* (or functional fit), the fourth validity claim.

These four communicative “worlds” are the four quadrants. The quadrant model makes two basic distinctions: interior/exterior and individual/collective. This creates a matrix with four worldspaces or quadrants: the upper-left or interior-individual, the upper-right or exterior-individual, the lower-right or exterior-collective, and the lower-left or interior-collective.

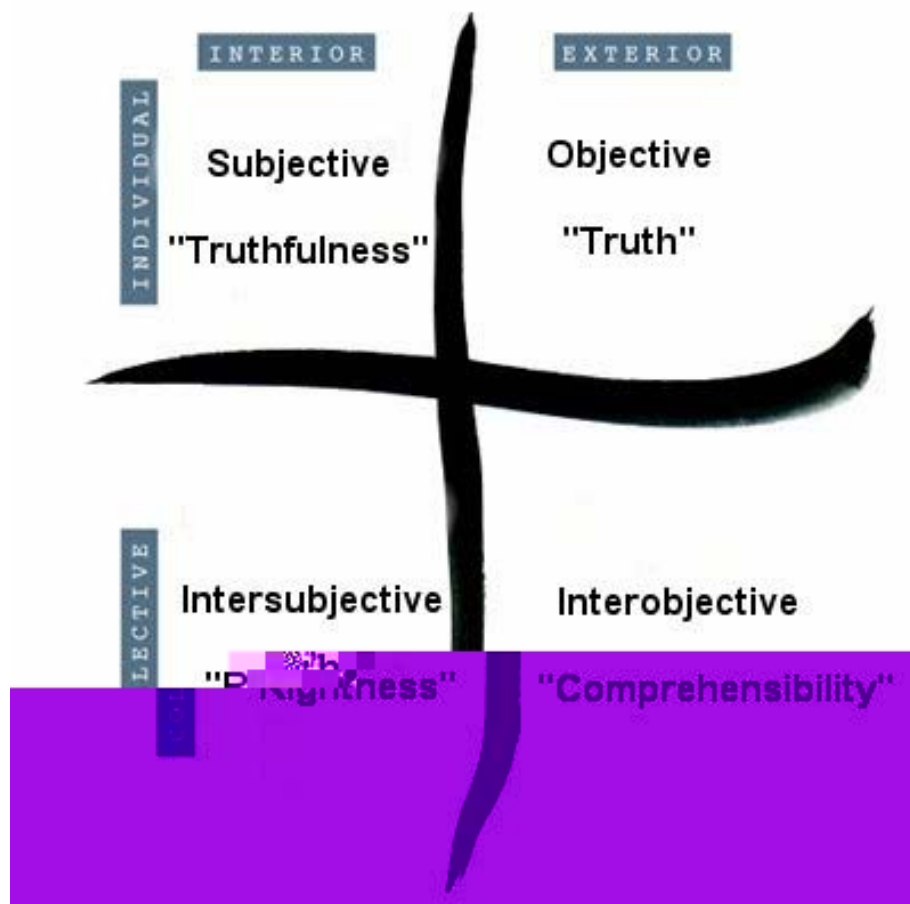


Figure 2-1. Communicative Validity Claims of the Quadrants

Notice that everything on the left side of the model refers to interiors and everything on right side refers to exteriors. The term “exterior” describes physical forms, systems, behaviors, functions, and so on. Exterior phenomena in communication include all semiotic signifiers (spoken language, written words), behavioral responses to communication stimuli, statistically tabulated survey data, brain neurology, satellites, the First Amendment to the Constitution, media distribution systems, sociological demographics, the Internet, and the Federal Communications Commission (FCC) to name a few. Exteriors have “simple location” and can be seen empirically, objectively, and behaviorally (Wilber, 1996, p. 90). They are the material manifestation of every phenomenon.

“Interior” refers to phenomena such as consciousness, meaning, intention, feeling, value, and interpretation. Unlike exteriors, interiors lack simple location. One cannot empirically point to alienation, meaning, or mind, yet they exist. All psychological and cultural “lenses” through which one engages the communicative process are interiors: semiotic signifieds (mental perceptions), judgements of newsworthiness, cultural contexts, affective relationships, psychological levels of development, hermeneutic circles, value systems, and cognitive capacity for example.

“Left Hand” and “Right Hand” serve as abbreviations for interior and exterior phenomena respectively. Recall that Littlejohn used systems theory to signify the Right Hand and symbolic interactionism to signify the Left Hand in his model. Philosophers from Spinoza to Leibniz to Schopenhauer to Whitehead agree that every human process includes a within and a without, a cognition and an extension, a depth and a surface, a subjective and an objective, an internal and an external, a Left Hand and a Right Hand



(Wilber, 2000b, p. 117). Communication, being a human process, is, therefore, no exception.

The quadrants are so fundamental to the human experience that every major language recognizes them in the form of first-person, second-person, and third-person pronouns (I-I, 2003). First-person means “the person who is speaking,” which includes pronouns like *I, me, mine* (in the singular), and *we, us, ours* (in the plural). Second-person means “the person who is spoken to,” which includes pronouns like *you* and *yours*. Third-person means “the person or thing being spoken about,” such as *he, him, she, her, they, them, it, and its*.

If I am speaking to you about my new car, “I” am first person, “you” are second person, and the new car (or “it”) is third person. Now, if you and I are talking and communicating, we will indicate this by using, for example, the word “we,” as in, “We understand each other.” “We” is technically first-person plural, but if you and I are communicating, then your second person “I” am first Tw(parte fo) sas in, )

two different ways. The chart on the right shows Plato's formulation of the Big Three and the chart on the left shows the languages of the quadrants:

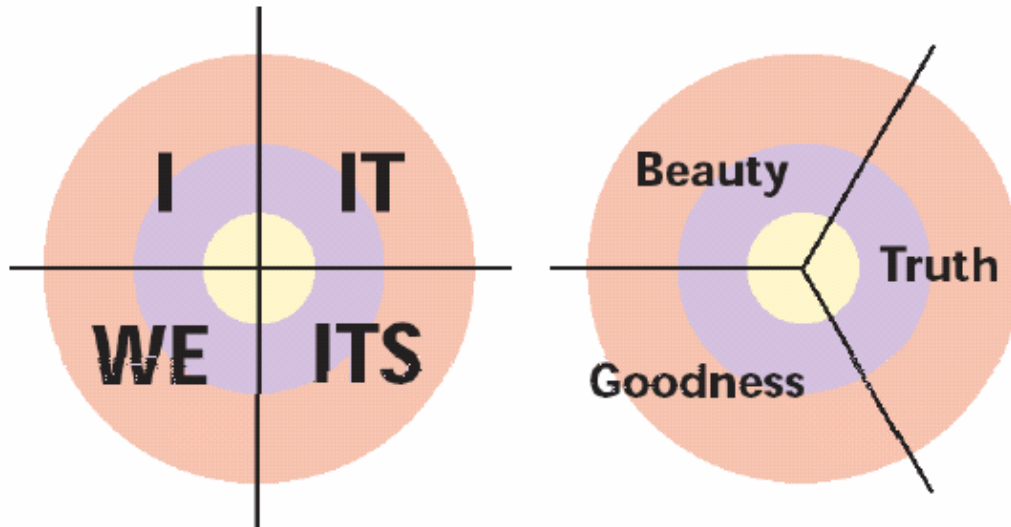


Figure 2-2. The Four Quadrants Simplified as the Big Three

The quadrant model integrates the Big Three while preserving the integrity, identity, and languages (first-person, second-person, and third-person) of each. At their core the quadrants represent “the four fundamental perspectives on any occasion, the four basic ways of looking at anything” (I-I, 2003). Hence, communicative action necessarily entails all four quadrant domains. In short, communication is always a quadratic affair, involving the *inside* and the *outside* of the *individual* and the *collective*.

Theoretical integration requires figuring out how much of the quadratic affair each communication theory includes. Some theories may cover only one quadrant. The systems tradition, for instance, describes the lower-right quadrant of the communication process. Other traditions overlap. The critical tradition draws from Marxist sociology concerning the relationship of society's economic base (lower-right quadrant) to culture's superstructure (lower-left quadrant). The phenomenological tradition better addresses an

agent's conscious experience (upper-left) as she engages an "other" in relationship (lower-left). The rhetorical tradition's emphasis on an individual's practical speaking abilities points to the upper-right quadrant.

Every theory recognizes at least one of the quadrants. The point is to orient the communication theories within the quadrants according to their worldspace focus. Once properly oriented, each theory reveals which parts of the story it tells and which parts it leaves out. With this knowledge, an integral theorist can then reconstruct a theory, in the Habermasian sense, to include additional quadrants. Or, the theory can be combined with others that address those quadrants that it leaves out. Either way, the goal is to form a more comprehensive picture of any given communication process.

### **Lines and Levels**

Everyone can agree that he or she is better at

fact that we all have unique strengths and weaknesses. Someone's strength can be another's weakness. Assuming that intelligences are not fixed (as the research indicates), then a developmental logic inevitably emerges (Gardner, 1999).

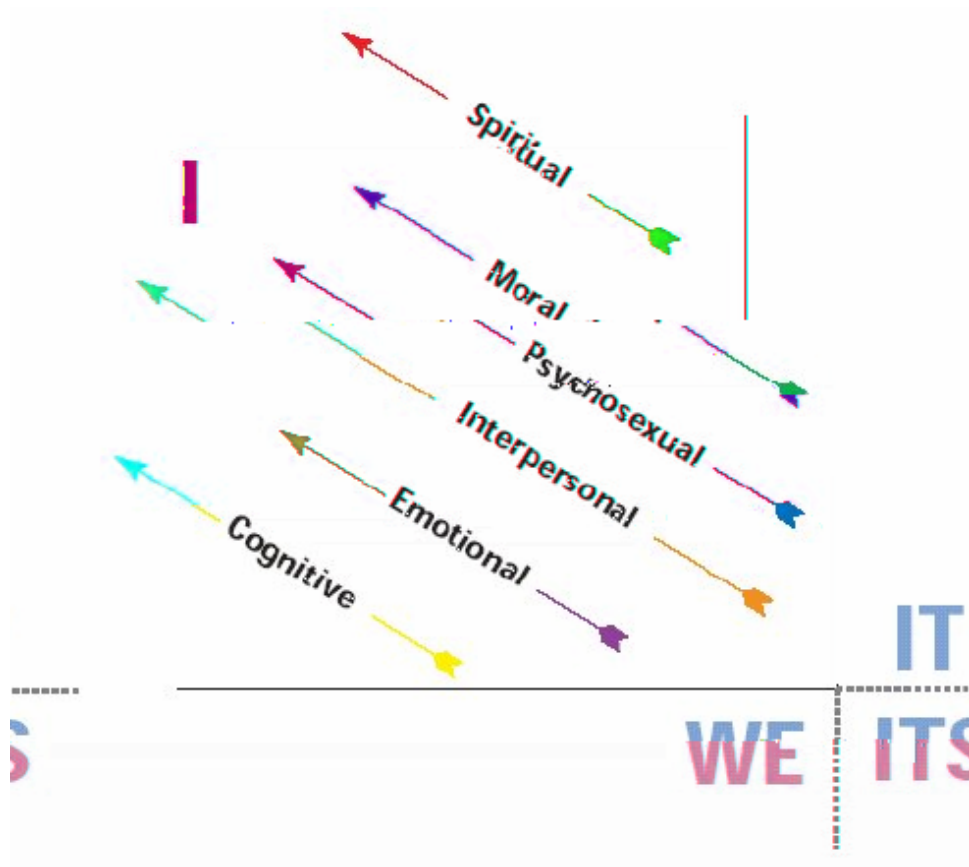


Figure 2-3. Multiple Lines of Development

Another word for multiple intelligences is *developmental lines*, since language proficiency, morality, cognition, emotions, and so on all develop through a series of qualitatively different stages or *levels*. The number of levels represented in any developmental line does not matter as much as the general developmental pattern. For example, the Fahrenheit and Centigrade scales divide temperature differently, but the general trend from cold to hot applies to both (I-I, 2003).

Whether the division of levels be two or two hundred, the relationship among the levels remains the same. According to the integral perspective, the conceptual key to this relationship turns out to be the “holon,” a term coined by Arthur Koestler. In his own words, Koestler says a holon “designates these nodes on the hierarchic tree which behave partly as wholes or wholly as parts, according to the way you look at them” (1967, p. 48). In other words, a holon is a whole that simultaneously is a part of a greater whole. In the linguistic realm, Koestler demonstrates “the impossibility of the task of chopping up speech into elementary atoms or units, either on the phonetic or on the syntactic level. Phonemes, words, phrases, are wholes in their own right, but parts of a larger unit” (1967, p. 48). According to Koestler (and Wilber), neither “wholes” nor “parts” exist anywhere—only whole/parts or “holons.” A word is a whole, yet simultaneously part of a greater whole: a sentence. A whole sentence is also part of a paragraph, which itself is a larger whole/part or holon. Each level in an given developmental line is a holon—a whole level, yet also part of an even more encompassing level that “transcends and includes” it (Wilber, 2000b). In a holarchy, each senior holon transcends its juniors, while also including them, a process that can be visually represented as a series of concentric circles.

Holarchies occur in every quadrant. Habermas deals with developmental holarchies in all four (1979):

- Upper-left (interior-individual): cognition, morals, self-sense
- Upper-right (exterior-individual): biological evolution
- Lower-right (exterior-collective): social systems, political economy
- Lower-left (interior-collective): worldviews, normative structures

Perhaps most relevant and complex of all, for Habermas, concerns the development of communicative competence, which involves developmental lines in each quadrant (i.e.,

the four validity claims). Such a conception would show the “fundamental system of rules that adult subjects master to the extent that they can fulfill *the conditions for a happy employment of sentences in utterances . . .*” (1979, p. 26). To help put the three elements together (quadrants, levels, lines), please see appendix A for a visual representation of one particular AQAL model called “Spiral Dynamics integral.”

An integral theoretical reconstruction might critically examine each tradition concerning its incorporation of levels and lines. The integral communication theorist must wrestle with how lines of development relate to each of the traditions. A developmental reconstruction of the semiotic tradition, for example, is attempted in chapter 6.

### **States and Types**

A state is “a condition or mode of being” (American Heritage, 2000). Everyone experiences the three most obvious and natural states of consciousness: waking, dreaming, and deep sleep. These general states contain structures, and those structures contain phenomenal states or how one is in this moment (Wilber, 2003a). Phenomenal states include any temporary modes of being such as emotions, alertness, and peak experiences (Maslow, 1971; Csikszentmihalyi, 1990). States inevitably affect how individuals both give and receive communications and the success of mutual understanding. Communication dynamics will differ, for instance, depending on whether the participants act from a phenomenal state of anger versus love.

States (like levels and lines) occur not only in the interior-individual quadrant, but in all the quadrants. On the Right Hand, for example, the exterior-individual reacts with a “fight or flight” adrenaline surge and the exterior-collective exhibits various atmospheric and weather states. A threatened culture (internal-collective) may regress to

a lower *state* of needs, but not a lower *level*. During a state of war, a culture highly developed along Abraham Maslow's needs hierarchy collectively regresses, for a time, to a joint need for security. During this particular collective state, communications emphasizing security needs often enjoy a warmer reception than during a state of peace. States range from playing trivial to decisive roles in any given communicative exchange, which is why no integral approach can afford to ignore them.

"Type" is the fifth element of the AQAL model. Types can be present at virtually any state, level, line, or quadrant. They are often characterized as horizontal typologies because they exist on the same level of depth. Examples in the upper-left quadrant include gender (masculine and feminine), personality (nine types in the Enneagram), and sexual orientation (heterosexual and homosexual). Within the line of moral developmental, Carol Gilligan shows that both men and women develop through the same moral levels, but "in a different voice," meaning women tend to emphasize care while men focus more on justice (Gilligan, 1982). Gender, personality, and sexual orientation types all influence the communication process.

The fields of cross-cultural and intercultural communication (lower-left quadrant) address how communication differs based on a culture's type (Gudykunst, 2003; Reynolds and Valentine, 2004). Edward Hall, often referred to as the founder of intercultural communication, distinguished between two cultural types—high-context and low-context—depending on the amount of meaning found in the context versus in the coded message (Hall, 1976). American culture exemplifies a low-context type because Americans give more emphasis to the language code, communicating in a more specific, explicit, and detailed manner. High-context cultures, in contrast, communicate more

implicitly and meaning appears in contextual cues or internalized in the person. A high-context communication may sound deliberately vague to a low-context listener and a low-context message may sound too specific to a high-context listener.

Florence Kluckhohn also discovered a classic cultural typology between “doing” and “being” cultures, which loosely correlates to masculine and feminine types respectively (Kluckhohn, 1956). Doing-oriented cultures place a premium on actions, measurable results, and progress. Conversely, family background, social identity, and relationships carry more weight in being-oriented cultures. Whereas a doing culture associates words with actions, a being culture links words with social relationships. The rich literature of communication types deserves a place within any integral model of communication.

### **Building Integral Communication**

AQAL is an architecture for integral reconstruction. The integral building stands on a radically inclusive framework that embraces all quadrants, all levels, all lines, all states, and all types. The *quadrants* show how *any* communicative phenomenon can be seen from at least four different perspectives: first-person (I), second-person (WE), third-person singular (IT), and third-person plural (ITS). *Lines* show that many different intelligences or areas of development exist within each quadrant. These areas each evolve through distinct *levels* of widening embrace, forming holarchies. *States*, particularly phenomenal states, investigate all the ephemeral conditions of the moment that influence communication. Finally, *types* remind us of the different horizontal, same-depth voices that communicate in distinct ways. Any communicative phenomenon, no matter how small, necessarily involves the five elements of AQAL. Integral communication embodies this realization.



Many applications arise from viewing communication from an integral perspective. My overall aim is to give a philosophical foundation to help these applications be actualized in the future. First, the AQAL model could facilitate the process of theoretical integration among the communication traditions. Chapter 1 suggested this application by documenting numerous communication scholars calling for a way to integrate the multiple communication traditions. Littlejohn gives an early version of an AQAL integration by using symbolic interactionism to represent the Left Hand quadrants and systems theory to represent the Right Hand quadrants. He also gives a communication holarchy—from interpersonal to group to organizational to mass communication—that applies to both Hands. Future theorists of integral communication will expand on such early models, using the AQAL map to fill in the gaps. Theoretical integration occurs through orienting the traditions on the AQAL map by recognizing the unity-in-diversity inherent among them all.

Second, the integral framework lends much insight into building new communication theories. The five elements of AQAL must be taken into account when investigating and theorizing about *any* communication phenomenon. If a communication theory fails to consider quadrants, levels, lines, states, and types, it risks ignoring important perspectives. For example, since AQAL models the exterior and interior worldspace domains in which every human process occurs, and communication is a human process, then any communication theory that hopes to be non-reductionistic and integral must recognize and include both interiors and exteriors without reducing or deriving one from the other.

A third application concerns methodological integration. AQAL gives a philosophical justification for mixing research methods. Researchers use two or more methods to examine the same phenomenon all the time, but no cogent explanation exists to warrant the practical union of two seemingly contradictory epistemologies. I attempt to build the case for methodological integration and the dangers of reductionism in Chapter 3. This critical assessment does not view specialization in one research method as being negative. On the contrary, an integral methodological pluralism acknowledges the perspectival truth in all approaches. It endorses studying a communicative event from all relevant angles by including the expertise of numerous research specialists.

Fourth, integral communication can be used as a strategy of communicative action. An integral awareness can facilitate communication effectiveness by translating messages into a language easier for the receiver to digest. Chapters 4, 5, and 6 lay the theoretical groundwork for such a strategy, and Chapter 7 documents the strategy successfully applied. An alternative strategy uses an integral understanding to facilitate developmental growth in the receiver. Chapter 8 touches upon this strategy of transformational communication.

A fifth way integral communication might be applied is by helping the various academic disciplines talk and learn from each other more effectively. Chapter 8 explains how integral communication describes a trans-disciplinary language that facilitates cross-disciplinary discourse. Since the same AQAL map applies to all disciplines—from business to politics to education to art to ecology—it gives each discipline a common language to talk with one another. As the Integral Institute puts it, “All of the various human activities, previously separated by incommensurate languages and terminologies,

can in fact begin to effectively communicate with each other. . . . We are able to facilitate and dramatically accelerate cross-disciplinary and trans-disciplinary knowledge, thus creating the worlds' first truly integral learning community" (I-I, 2003).

To sum up, integral communication could be applied as a meta-model, a meta-method, a strategy, or a cross-disciplinary discourse. Building integral communication begins with a few bricks as attempted here. Though they may be uneven at first, I can only hope that others will help straighten them so a future edifice might stand.

## CHAPTER 3 WAR AND PEACE AMONG METHODS

### **Paradigm Battles**

In the late 1930s, two prominent communication theorists joined forces to study the cultural effects of radio music programs. On the Right Hand, Paul Lazarsfeld is ranked among the “four fathers” of mass communications research according to the history of functionalism (along with Harold Lasswell, Kurt Lewin, and Carl Hovland) (Mattelart and Mattelart, 1998, p. 30-31). He specialized in empirical, quantitative methods, which he called “administrative research.” On the Left Hand, Theodor Adorno participated in the Frankfurt School of critical theory and favored more interpretative, qualitative research methods. Lazarsfeld believed his research partnership with Adorno would result in “a convergence between European theory and American empiricism” (Lazarsfeld quoted in Mattelart and Mattelart, 1998, p. 59). Instead, the partnership quickly soured and the joint project ended in 1939 to the frustration of both men.

Failing to reconcile their epistemological differences, Lazarsfeld and Adorno agreed on the incompatibility of their respective research approaches. Adorno complained that Lazarsfeld’s administrative research questions deliberately ignored the “who,” the “how,” and the “why.” Shortly after the ordeal, Adorno recalled, “When I was confronted with the demand to ‘measure culture,’ I reflected that culture might be precisely that condition that excludes a mentality capable of measuring it” (1969). Later in 1972, Lazarsfeld openly expressed his fears concerning “that strange coalition of macro-sociological Marxists and ethnomethodologists who want to explore the ‘real’

existential meaning underlying measurement techniques” (Lazarsfeld quoted in Mattelart and Mattelart, 1998, p. 112). Methodological wars like this played out on academic battlefields across the continents.

The relatively brief history of communication research may be read as a rather continuous epistemological clash between two methodological titans. Lazarsfeld’s position represents *exterior* approaches such as positivism, functionalism, empiricism, systems science, and cybernetics (Right Hand quadrants). Adorno, in contrast, symbolizes *interior* approaches such as constructivism, hermeneutics, phenomenology, critical analysis, and semiotics (Left Hand quadrants). A number of dichotomies arise out of this simple external/internal split:

objective versus subjective, seen versus unseen, outer versus inner, public versus private, controlled versus free, systematic versus unsystematic, automatic (mechanical) versus willed (purposive), prediction versus understanding, explained-by-reference-to-causal-law versus understood-by-reference-to-intentions, general versus constructed, value-free versus value-saturated, formal versus informal, materialist versus idealist, one versus many, instrumental versus symbolic, motion versus action, the natural sciences versus the humanities (Shweder, 1986, p. 177)

Jensen summarizes all these dichotomies by saying, “Communication studies have tended to take either an *external* perspective on *information* as a technical, neutral carrier, or an *internal* perspective on *meaning* as an always interpreted and interested construct” (2002, p. 256). Quantitative methods study the outside of communication and qualitative methods study the inside of communication.

Exterior approaches deal with objective surfaces and interior approaches deal with subjective depth. As Wilber points out, “surfaces can be seen, depth must be interpreted” (1996, p. 91). Thus, descriptive, experimental, functional, and behavioral analyses abound in the exterior approach, all of which could be characterized as quantitative and

“monological.” The core research question of external, quantitative methods asks, “What does it do?” (Wilber, 2000b, p. 132). Quantitative methods in communication research include surveys, descriptive content analyses, controlled experiments, and statistical data analyses (Gunter, 2002, p. 209; Stacks, 2002). Systems theory exemplifies such a model that details the external structure and function of the communication process, but remains silent on the internal dynamics of meaning creation.

In contrast, the basic research question of internal, qualitative methods asks, “What does it mean?” Meaning cannot be studied through a monological gaze, only through dialogical interaction. Researchers investigate interior phenomena with a wide array of qualitative methods such as ethnography, interpretive content analysis, interview, case study, discourse analysis, focus group, and phenomenological investigation (Thomas, 2003; Daymon and Holloway, 2002). Hermeneutics (the study of interpretation based on grasping the entire network of meaning) and semiotics (the study of signs in their intersubjective settings) are examples of traditions that uncover interior (subjective and intersubjective) meaning creation processes.

According to the purists of two decades ago, “these positions do not seem to be compatible given our present state of thinking” (Smith, 1983, p. 12). During the war of methods, many scholars supported the “incompatibility thesis” and even suggested “shutting down” the seemingly incommensurable dialogue between the two camps (Smith and Heshusius, 1986). Participants were called “warriors” and “sumo wrestlers trying to push each other out of the ring” (Tashakkori and Teddlie, 1998, 6; Datta, 1994, p. 53). Littlejohn, a strong advocate of methodological pluralism, remarked, “What is particularly unfortunate . . . is the methodological defensiveness that often arises among

theorists in communication. It is a healthy sign when researchers and theorists possess a degree of self-respect and confidence in their approaches. But when this confidence turns into parochialism of inquiry, then the state of the art is less than healthy” (1978, p. 21). Specializing in a particular research method is fine. Claiming that that method uncovers the whole truth is not.

### **External Reductionism**

Failure to include findings from both internal and external methods when formulating a new theory results in a limited and reductionistic theory—*limited* because it leaves out at least half the story and *reductionistic* because it attempts to cover the gap by artificially reducing reality to its favored domain. Both methodological approaches, internal and external, succumb to reductionism by ignoring the other approach and unsuccessfully stretching its own capacities. External reductionism reached its zenith during modernity’s “reflection” or “representational” paradigm, which held that “the sensorimotor world is simply given to us in direct experience and that science carefully and systematically reports what it there finds” (Wilber, 2000b, p. 208).

The “myth of the given” lies at the heart of modernity’s reflection paradigm. According to this myth, reality is simply given to sensing subjects. Researchers who hold this myth of the given deny existence to everything lacking simple location, in other words, everything interior. Descriptive behavior and function trump constructed values and meaning for the external researcher. Supporters of external reductionism have a difficult time accounting for communication among subjective moral agents within an intersubjective cultural space. Many terms describe the consequences of external reductionism: the disenchantment of nature, the disqualified universe, monological nature, and flatland. All of these terms point to a lack of depth, a denial of interiority.

Michel Foucault describes such theoretical extremism as a dehumanization process where men and women became “objects of information, never subjects in communication” (Foucault in Wilber, 1996, p. 269). Language becomes a tool that merely points to and represents an *a priori* or pregiven objective reality. Like a mirror of nature, language transparently and neutrally reflects the world.

We realize that meaning resides not in messages but in people, but we seem to have continuing difficulty accommodating this fact in our models and theories of the human communication process. The notion that words or statements ‘refer to’ something in the ‘real’ world is the most naïve and primitive concept of human communication there is, yet in some quarters it is still the guiding paradigm. (Thayer, 1972, p. 102)

The reflection paradigm flattens the meaning creation process inherent in subject to subject communicative exchange into one-dimensional cybernetic information transfers. Communication from the Right Hand perspective might appear as “flatland digital bits of zeros and ones slammed from one mechanical device to another” (Wilber, 2003a). Exterior communication models sacrifice depth for surface, meaning for observation, subjective for objective, interior for exterior.

Systems theory exemplifies a communication tradition that often gives the illusionary impression of being comprehensive and integral, yet suffers from massive external reductionism. “Today a system approach,” remarks Littlejohn, “is often assumed in communication theory. It is often taken for granted in much of the work of the field without being labeled as such” (1999, p. 58). The aim of general systems theory—founded by the biologist Ludwig von Bertalanffy—is to understand the totality of interactions among elements rather than linear causal sequences and to grasp the



complexity of systems as dynamic wholes made up of many changing relationships (Bertalanffy, 1968; Mattelart and Mattelart, 1998, p. 47).

At its core, systems theory deals with “wholeness” and “relationships” unlike previous scientific methods that “tried to explain observable phenomena by reducing them to an interplay of elementary units investigatable independently of each other” (Bertalanffy, 1968, p. 36-37). Likewise, Erwin Laszlo says “instead of looking at one thing at a time, and noting its behavior when exposed to one other thing, the [system] sciences now look at a number of different and interacting things and note their behavior *as a whole* under diverse influences” (1996, p. 4). Most system theorists point to the realization that “the whole is greater than the sum of its parts” or “holism” as the guiding insight of systems thinking. Fritjof Capra charts the so-called transition from “the mechanistic to the ecological paradigm” in *The Web of Life*:

The basic tension is one between the parts and the whole. The emphasis on the parts has been called mechanistic, reductionist, or atomistic; the emphasis on the whole holistic, organismic, or ecological. In twentieth-century science the holistic perspective has become known as ‘systemic’ and the way of thinking it implies as ‘systems thinking.’ (1996, p. 17)

Although the differentiation between “atomistic” (exterior-individual quadrant) and “holistic” (exterior-collective quadrant) proves essential in any integral theory, it remains radically partial. Systems theory masterfully articulates one-third of the story—the lower-right quadrant, while virtually ignoring the other three-fourths of reality.

Systems theory, like any purely external approach, features a limited set of quantitative methods: behavioral, functional, organizational, structural, instrumental, empirical, descriptive. Brent Reuben reasons that “general systems is a science of organizing and organization,” and “since communication is the means through which human organizing and organization occur, it occupies a central role in general system

thinking” (1972, p. 95). Reuben goes on to make many helpful theoretical distinctions, yet all within the same external framework. For instance, he cites the central research question of information systems as “How does it work?” a functional question and the primary research question of communication systems as “How are people using it?” a behavioral and instrumental question (1972, p. 110). The questions asked by system theorists consistently fail to escape the external frame.

Ron Pearson encounters severe theoretical difficulties when he asks internal questions of meaning and morality within a systems theory framework (1990, p. 219). Pearson argues that systems theory contains both a strategic, external dimension and an ethical, internal dimension. Yet nowhere in the article does Pearson demonstrate how values and morality follow from the actual systems model itself. At best, he makes the unfounded assertion that “system interdependence and interconnectedness have profound ethical implications” (1990, p. 224). While this might be true for some, the fact remains that the system model, being external, objective, and descriptive, carries no intrinsic moral imperatives. Any ethical implications and values generated from system theory’s behavioral descriptions occur within an individual’s subjectivity, which only exists within a particular intersubjective cultural context. Saddam Hussein, Pat Robertson, Donald Trump, and Ralph Nader could each read about systems theory and each carry away different “ethical implications.” Pearson extracted a specific meaning from systems theory, a meaning that others may or may not find. The point is that the meaning arose within Pearson himself, and it is precisely this internal meaning-making process that systems theory does not address. Meaning does not simply sit in a theory waiting for someone to find it as the reflection paradigm would have it. Put bluntly, systems theory

has no intrinsic “ethical face.” Ethical implications come only from the moral agents who engage the theory.

### **Internal Reductionism**

While external reductionism studies objective reality with quantitative methodologies, internal reductionism focuses exclusively on subjective reality and qualitative methodologies. Consider the assumptions of the “Cultural Topoi” model (Leichty and Warner, 2001, p. 61-65):

- “Meaning and interpretation are the central processes of all communication activities.”
- “Organizational environments are dynamic cultural processes constituted by symbols, beliefs, rituals, and cultural norms.”
- “Communications is conditioned by cultural discourse and contributes to the same discourse system.”
- “Cultural topoi—systemic lines of assumptions and arguments that reinforce a preferred pattern of social relationships—drive message production and message interpretation.”
- “The credibility of a message depends on how closely it matches with the receiver’s cultural bias, the set of shared values and beliefs about human society and the natural world.”
- “Publics are an ongoing process of agreement upon an interpretation, having their own goals, processes, and dynamics that are internally generated.”

Notice that systems theory shares none of these assumptions. The model places total importance on the interior dynamics of communication. As such, qualitative methods become the only acceptable research options.

Approaches that admit interiors exist become reductionistic when carried to the extreme assertion that interiors alone exist. Internal reductionists claim that nothing exists aside from subjective interpretations—no objective truth, only interpretations, and all interpretations are socially constructed (Wilber, 2000a, p. 185).

Largely from the concern of some humanists with human communication—there is the tradition of assuming the central issue to be one of ‘understanding’ or of ‘meaning.’ From this point of view, the end of all human communication is understanding. The study of human communication has more than once in man’s intellectual history been reduced to the study of meaning. This approach is equally misleading. The meaning of ‘Crime doesn’t pay’ depends upon whether one is a criminal or not. (Thayer, 1972, p. 102)

Post-structuralism, deconstructive postmodernism, or deconstructionism generally name the extreme view that reduces reality to subjectivity alone. Deconstructionists attack both science and traditional philosophy’s attempts to make statements about the objective world (Spretnak, 1991). The attack consists of “deconstructing” an objective statement by finding contexts that render the statement self-contradictory or absurd (Derrida, 1996). Since meaning is context-bound and contexts are limitless, the deconstructionists can always find a further interconnected context that alters the present meaning, thus disregarding all supposedly objective declarations (Wilber, 2000a).

Communication scholar Thomas Mickey draws on postmodern theory to offer additional avenues where interiority and communication meet. Rejecting the reflection paradigm, he assumes that “language is the key creator of the social worlds people experience, not a tool for describing an objective reality” (1997, p. 274). Mickey goes on to cite the work of Jean Baudrillard, one of the most blatant perpetrators of internal reductionism. Baudrillard refers to our present time as the order of simulation (1993). For him, contemporary society is organized around “simulation and the play of images and signs, denoting a situation in which codes, models, and signs are the organizing principles of a new social order where simulation rules” (Kellner, 1994, p. 8). Communication, economics, politics, social life, fashion, and death are all governed by the logic of simulation (Baudrillard, 1993). Objective reality becomes lost in self-referential signs:

As simulations proliferate, they come to refer only to themselves: a carnival of mirrors reflecting images projected from other mirrors onto the omnipresent television screen and the screen of consciousness, which in turn refers the images to its previous storehouse of images also produced by simulacrum mirrors. (Kellner, 1994, p. 10)

For Baudrillard, objective truth has a fleeting status if any at all. Ever-present simulation becomes the hyperreal, an experience that appears “more real than real” for the subject (Kellner, 1994, p. 8). That is to say representation can now operate without ever having to land on the solid ground of facts, reality, or history (Ward, 1997, p. 62). The more people “flee from the ‘desert of the real’ for the ecstasies of hyperreality,” the more the originally true real loses its ontological presence.

From Baudrillard’s philosophy, Mickey concludes that the activities of communications are simulations “substituting the signs of the real for reality itself. . . [Mass communications] is involved with something called an image that has no reality behind it. We create an image and the public, frequently through the media, centers on that sign, not on what they might think is a reality behind it. Because, as Baudrillard says, there is no reality behind the sign” (1997, p. 81). Internal reductionism flourishes in this approach because it denies ontological reality to the external and attempts to stretch internal phenomena beyond its categorical capacity.

### **Mixing with Pragmatism**

Aside from some anachronistic rebels, the war of methods has cooled. Contemporary communication researchers—despite their personal biases and professional specializations—generally admit that both qualitative and quantitative methods have something important to offer. Indeed, most scholars today see these two methodologies as “complementary rather than antagonistic” (Thomas, 2003, p. 6). A senior researcher at the World Bank says, “it is now widely acknowledged that there are

considerable benefits to be gained from combining quantitative and qualitative methods” (Bamberger, 2000, p. 16). A research team comments, “Neither quantitative nor qualitative research is superior to the other. . . . The best [research] often combines features of each” (King, Koehane, and Verba, 1994, p. 7). When asked the rhetorical question, “Can quantitative and qualitative data collection methods and forms be used in the same study?” another social scientist resoundingly answers, “Absolutely yes, we do it all the time and the *integration* greatly enriches our studies” (emphasis added) (Hedrick, 1994, p. 49). Today, the “war” has cooled to an eclectic peace keeping mission, but can the current state-of-affairs accurately be labeled “integration?”

Terms such as “mixing,” “blending,” and “triangulating” better describe recent attempts to utilize multiple methodologies in the same research project. Although these techniques cannot be called “integral,” they contain certain advantages over monomethod approaches. After reviewing 57 mixed method studies, a team of scholars list five central advantages to “mixing methods” (Greene, J., V. Caracelli, and W. Graham, 1989):

1. *triangulation*, or seeking convergence of results
2. *complementarity*, or examining overlapping and different facets of a phenomenon
3. *initiation*, or discovering paradoxes, contradictions, and fresh perspectives
4. *development*, or using the methods sequentially, such that results from the first method inform the use of the second method
5. *expansion*, or mixed methods adding breadth and scope to a project

Take triangulation, for example, which arose from the work of Campbell and Fiske (1959), later refined by Webb, Campbell, Schwartz, and Sechrest (1966), and then applied to wider areas by Denzin (1978). Put simply, methodological triangulation involves studying the same phenomenon from at least two different perspectives, often

internal (using qualitative methods and data) and external (using quantitative methods and data). Researchers who use triangulation find that they come to know a phenomenon better when they study it from more than one perspective.

The paradigm war cooled because researchers came to realize that mixing methods works. The practice continues to grow in popularity, despite its philosophical impotence. No mixed-methodology researcher has offered a coherent framework that extinguishes the epistemological frictions that originally fueled the war. Instead, they turn to *pragmatism*, a philosophy that essentially says, “Do what works.” In his book *Blending Qualitative and Quantitative Research Methods*, Thomas writes,

The perspective I espouse throughout this book is in keeping with the rationale offered by . . . authors who often adopt the philosopher’s label pragmatism to identify a mixed-methodology perspective. Consequently, the significant issue is not whether one method is overall superior to another, but rather, whether the method a researcher employs can yield convincing answers to the questions that the investigation is intended to settle. . . . I am convinced that each research method is suited to answering certain types of questions but not appropriate to answering other types. (2003, p. 7)

Similarly, in *Mixed Methodology*, Tashakkori and Teddie assert, “We accept the assumptions implicit within paradigm relativism and assume that the paradigm wars are over, having been superseded by the pragmatist orientation.” (1998, p. 5). The pragmatism justification appears not only in academia, but also in practice. Mahesh Patel, the UNICEF (United Nations Children's Fund) regional monitoring and evaluation officer for Eastern and Southern Africa, comments, “We start with the programmatic decisions that need to be made, determine what information is needed to make those decisions, and then work out the best way to obtain that information. Different methods are used for different purposes. Sometimes, several different methods may be used together . . . including qualitative and quantitative methods” (2000, p. 135).

Pragmatism may offer a philosophy for methodological *mixing*, but not methodological *integration*. For pragmatists, truth is merely what works. It asks final questions and ignores primary questions. It endorses methodological pluralism instrumentally, based on its utility alone as opposed to a philosophy of integral embrace. By itself, pragmatism avoids the deep questions necessary for an integral methodological pluralism to occur. Pragmatism says, “Do it because it works.” Integralism says, “Here’s why it works—so do it!”

Some researchers see that pragmatism cleverly circumvents fundamental methodological conflicts rather than solves them. Datta refers to what she calls “mixed-up models,” that come from the “lack of a worldview, paradigm, or theory for mixed-model studies,” concluding that “such a theory has yet to be fully articulated” (1994, p. 59). Bamberger states that “despite increasing eclecticism in the combination of data collection methods, there is much less integration at the level of the conceptual framework and the overall research approach” (2000, p. 16). Finally, Egon Guba—who once stated that one paradigm precludes the other “just as surely as the belief in a round world precludes belief in a flat one”—now admits that “a resolution of paradigm differences can occur only when a new paradigm emerges that is more informed and sophisticated than any existing one” (Guba, 1987, p. 23; Guba and Lincoln, 1994, p. 116). The next section takes on Guba’s challenge and introduces the (meta)methodology of integral studies.

### **The Quans and Quals Meet the Quads**

Misunderstanding has surrounded the word “paradigm” since Thomas Kuhn first introduced the concept (1996). Kuhn’s notion of “paradigm” means a practical injunction, a methodology, an actual practice. A paradigm refers to a specific set of



techniques taken as an exemplar for generating data (Wilber, 1999b, p. 192). Put another way, a paradigm designates the methodologies that enact, bring forth, or illuminate a specific phenomenological worldspace or way of being-in-the-world (Wilber, 2002a). Theories and paradigms, therefore, are not the same thing. Wilber explains the difference, “A theory is a map of a territory, while a paradigm is a practice that brings forth a territory in the first place” (Wilber, 2002a).

Integral communication endorses a united multiplicity of paradigms or a meta-paradigm called “integral methodological pluralism.”

‘Integral,’ in that the pluralism is not a mere eclecticism or grab bag of unrelated paradigms, but a meta-paradigm that weaves together its many threads into an integral tapestry, a unity-in-diversity that slights neither the unity nor the diversity. ‘Methodological,’ in that this is a real paradigm or set of actual practices and behavioral injunctions to bring forth an integral territory, not merely a new holistic theory or maps without any territory. And ‘pluralism’ in that there is no one overriding or privileged injunction (other than to be radically all-inclusive). (Wilber, 2002a)

Integral methodological pluralism first involves compiling the primary paradigms or methodologies used by the accepted communication traditions. This first step—characteristic of any methodological pluralism—collects the major methods within a discipline without judgement, assuming that if researchers use a time-tested method, it must contain some degree of heuristic truth value.

The second meta-paradigmatic step separates integral methodological pluralism from mere eclecticism. Integrating paradigms means relating the various paradigmatic strands to each other with an integral model such as AQAL (even though a meta-paradigm precedes a meta-model). Wilber expresses paradigmatic integration in more philosophical terms:

A meta-paradigmatic practice enacts a new domain upon the individually-enacted paradigmatic domains, such that their individually-enacted phenomena overlap,

their brought-forth horizons merge to some degree, and there is enacted upon the enacted phenomena—and accordingly there is brought forth, illumined, and most fundamentally disclosed—a new territory or domain of integral relationships. In other words, this is a paradigms of paradigms, which means . . . a practice of practices and not a theory of theories. (2002a)

The integral approach explains philosophically what is already being done pragmatically.

The primary injunction or essence of the integral project assumes that “everybody is right.” No paradigm practiced by earnest researchers can be 100 percent wrong.

AQAL—a meta-model generated from an integral methodological pluralism—incorporates and honors all paradigms (premodern, modern, and postmodern) as legitimate. From this general premise that “everyone is right” comes three heuristic principles of integral methodological pluralism.

The first principle of “nonexclusion” states that a paradigm can tell its truth but cannot exclude the truth of other legitimately enacted paradigms. A method can only claim legitimacy within the worldspace that it

paradigms can be more encompassing than others. What level is a paradigm enacting? Paradigms unfold or develop in holonic (“transcend and include”) fashion. This is why Kuhn, for example, “maintained *both* that science is progressive and cumulative *and* that it also shows certain breaks or discontinuities (new injunctions bring forth new data)” (Wilber, 1999b, p. 192). The unfoldment principle shows that “everybody can be right because some views are more right than others” (Wilber, 2002a).

Finally, the “enactment” principle recognizes the myth of the given by asserting that subjects do not perceive phenomena but enact them (Wilber, 2002a). Human subjectivity and intersubjectivity play an undeniable role in bringing forth a phenomenological world in the activity of knowing that world. As Chapter 5 demonstrates, different levels of psychological development experience different (yet equally legitimate) worlds. Paradigms never compete for dominance in one preexisting world. Instead, multiple paradigms bring forth multiple worlds. These three heuristic principles—nonexclusion, unfoldment, and enactment—buttress an integral methodological pluralism where everybody is right.

Consider that each communicative act is a holon. Generally speaking, qualitative paradigms enact the interior of a holon and quantitative methods enact the exterior of a holon. More specifically, each communication holon, or, as Habermas maintains, each speech act, relates to at least four worlds. Every communication always already exists in relation to an individual’s consciousness, an intersubjective relationship, a syntax or social structure, and a behavioral extension. Specialized methods are already being used to enact and investigate each of these four worldspaces. Using both quantitative and qualitative methods to investigate the same communicative act “works” because it enacts

the four worldspaces, the four ontological faces, the four angles of manifestation of every communication holon. Integral methodological pluralism begins by introducing the QUANs and the QUALs to the QUADs.

Those paradigm purists who would like to continue the war, such as Guba and Lincoln, cite disharmonies that have not existed since logical positivism was discredited in the mid-twentieth century (Guba and Lincoln, 1985; Tashakkori and Teddlie, 1998). For example, both qualitative and quantitative paradigms agree on the unfoldment principle's insight that truth is always partial (Reichardt and Rallis, 1994, p. 87). Both Karl Popper (1959) and Thomas Kuhn (1996), for instance, loathe the notion of a final static truth. Also, both paradigms acknowledge the Left Hand (upper-left and lower-left quadrants) in admitting the "value-ladenness of inquiry" and the "theory-ladenness of facts" (Tashakkori and Teddlie, 1998, p. 8; Reichardt and Rallis, 1994, p. 86-88). Few researchers today would refute that, to at least some degree, their theories and values help direct their inquiry and decide what is important. The causes of the paradigm wars are those paradigm purists, those internal and external reductionists, who violate the nonexclusion principle and pass off their partial truth as the whole truth.

Two seemingly intractable problems for paradigm purists involve epistemological (the relationship of the knower to the known) and ontological (the nature of reality) incommensurability among methods. Regarding epistemology, quantitative researchers tend to have a more subject to object relationship orientation and qualitative researches often favor a subject to subject relationship. The integral framework clearly recognizes the objective (Right Hand) and subjective (Left Hand) epistemological orientations. While the knower and known do exist together, and the subject must be

included in an inquiry experience, a subject-object relationship is still possible. With an integral methodological pluralism, a researcher has the freedom to enact an internal worldspace by interacting subjectively and other times to enact an external worldspace by viewing a communicative event more objectively.

Paradigm reductionists cite the one world versus many worlds ontological debate as further evidence for paradigmatic incommensurability. External reductionists believe that one objective world exists and deny subjectivity's ability to construct interpretations. Internal reductionists believe that multiple worlds are subjectively constructed and deny an objective world. Again, an integral methodological pluralism can easily integrate both of these perspectives. Left Hand practices enact multiple worlds. One's levels, lines, states, and types will influence the interpretation he places on phenomenological experience. If he engages a practice that transforms his current level of development, he will experience a new interpretative world. As Wilber says, "Change your practice and you will see a different world" (Wilber, 2002a). However, just because a subject always interprets, does not mean that one physical world does not exist. The entire Right Hand of the quadrants models the objective and interobjective worldspaces. External referents surely exist. An external researcher cannot deny interpretation any more than an interior researcher can "construct" a world where apples fall up. The integral resolution, in short, says that although the one objective world cannot contain many worlds, human consciousness can.

When an inquiring consciousness understands that every communication event occurs seamlessly within AQAL space, a lush territory of integral relationships emerges from a diversity of enactment methods. Charges of incommensurability no longer make

sense. Paradigmatic integration can happen only by focusing on the enactment practices themselves, not the phenomena brought forth by the practices. Phenomena that appear to conflict, instead become merely “different (and fully compatible) experiences brought forth by different practices” (Wilber 2002a). Littlejohn recognized the beginnings of integral methodological pluralism in 1978 when he advocated four methods of inquiry: “experience” and “art” (Left Hand”) and “science” and “scholarship” (Right Hand). He said, “it is important to realize that each of the ways of discovery is valuable in its own right. Certain kinds of knowledge are best obtained through one or the other of them, and a complete approach to truth must include a blend of all four methods” (p. 5).

## CHAPTER 4 SOCIAL SCIENCE AT THE CROSSROADS

### **Communication Traits as Real**

In positing an integral meta-model and meta-paradigm, a new type of critical theory presents itself. Integral critical theory scrutinizes present conditions through a lens of radical inclusion, inherently critical of areas that are, by comparison, partial, narrow, shallow, less encompassing, less integrative (Wilber, 2000c, p. 2). The above investigations into external and internal reductionism exemplify an integral critical theory at work. This same critical lens now turns to social science. Robert Kegan, a professor of adult learning and professional development at the Harvard Graduate School of Education and a founding member of the Integral Institute, challenges the social sciences to “grow up” as it faces a difficult crossroads on the way to a more integral orientation:

The social sciences in contemporary culture are at a crossroads. Will they continue to be essentially a puny force, founded on no civilization of their own, borrowing from, and buffeted by the powerful civilizations of science [Right Hand] and the

orcs or

anything from instincts to cognition to values. These flatland theorists define a communication trait as

a hypothetical construct which accounts for certain kinds of communicative behaviors. A *hypothetical construct* is a concept which is thought to represent reality, to structure reality and to give it meaning. Researchers invent hypothetical constructs for a purpose—to explain communicative events. (Infante, Rancer, Womack, 1993, p. 140)

The external reductionism inherent in much social science research reveals itself in the above description. The implicit ontological assumption states that something counts as real only if one can touch, taste, hear, see, or smell it. A research example: “We do not subscribe to the notion of values as ‘real’. . . in our approach the concept of values is a hypothetical construct used as a heuristic device by us, as researchers” (Deth and Scarbrough, 1995, p. 40-41). Positivistic researchers working within a flatland epistemology would regard *love* as nothing more than a “hypothetical construct” that could never really be proven. Such assumptions classically illustrate external reductionism.

Recall that external phenomena possess “simple location” and can be directly witnessed by the material senses. For instance, I can easily observe someone’s communicative *behavior* and measure it with quantitative rigor. For external phenomena, the basic research questions are “What does it look like?” or “What does it do?” However, the instant researchers begin probing beneath exterior services—asking qualitative questions like “Why?” or “What does it mean?” or “What does it feel like?”—they are pointing to internal phenomena, which lack simple location and cannot be directly observed. The feeling of love is an internal phenomenon that cannot be empirically seen, but obviously exists.



An integral methodological pluralism would quickly spot the limitations inherent to a positivistic research program. Studying internal phenomena through an external, monological paradigm violates the nonexclusion principle of integral methodological pluralism. A flatland paradigm can measure the exterior correlates of an internal phenomenon but can never enact or bring forth the interior phenomenon itself. Instead of declaring interior events to be illusionary constructs, an integral methodological pluralism would engage the qualitative practices that illuminate them, realizing that different worldspaces have different, *yet equally legitimate*, enactment methods.

The majority of social scientists today grant existence to both internal and external phenomena. Richard Perloff assures that most contemporary communication scholars deem it a mistake to “assume that . . . [internal phenomena] are ‘not real’ or are ‘mere mental constructs’ (1993, p. 27). The current consensus in social science, Perloff reports, believes that “people have thoughts, cognitive structures, and a variety of emotions, none of which can be reduced to behavioral units. Moreover, they argue that an entity that is mental or emotional is no less ‘real’ than a physical behavior” (1993, p. 27). “The bulk of current communication scientists,” concludes Charles Pavitt, “presume the reality and causal power of the mentalistic concepts their theories employ” (1999, p. 184). Jensen sums up the position by saying, “Experiences, events, and mechanisms are all real” (2002, p. 269). The remainder of this chapter examines three “real” internal mechanisms that affect communication and that will be used later in an integral strategy of effective communication.

### **Knowing Attitudes**

Attitudes have been called “the most prominent . . . construct in the history of the social sciences” and “the most distinctive and indispensable [concept] in contemporary

American social psychology” (Infante, Rancer, Womack, 1993, p. 141; Allport, 1954).

Virtually any decent textbook on communication theory contains an ample section on attitudes (Bryant and Zillman, 2002; Littlejohn, 2002; Severin and Tankard, 2001).

Definitions vary, but they all suggest that an attitude describes a predisposition or an evaluation of something (Severin and Tankard, 2001, p. 151). Most scholars would agree to the general definition of an attitude as “a learned, enduring, and affective evaluation of an object (a person, entity, or idea) that exerts a directive on social behavior” (Perloff, 1993, p. 27). Simple evaluations such as “good-bad, harmful-beneficial, pleasant-unpleasant, and likable-dislikable” represent attitudes (Ajzen, 2001).

Attitudes have achieved such prominence in the social sciences due to the widely held assumption that a person’s attitudes affect that person’s behaviors (Petty, Priester, Brinol, 2002, p. 158). Although the relationship between attitudes and behaviors requires more study, social scientists generally admit that knowing a person’s attitudes helps to predict her behavior. Most attitudes reveal themselves explicitly within one’s direct awareness: “I like strawberries, and I dislike lima beans.” Disregarding additional factors in this simple example, one would expect the subject to engage in strawberry eating behavior before lima bean eating behavior. This link with behavioral prediction gives attitudinal research importance in the eyes of social scientists.

Daniel Katz theorizes a second relevant relationship, this time between attitudes and opinions (1960, p. 168). Simply put, attitudes are internal phenomena and opinions are external phenomena. The instant an attitude (internal, private) is expressed, it becomes an opinion (external, public). Given this distinction, surveys—the most utilized method in attitudinal research—actually capture opinions, not attitudes. In a section

titled “Measuring What You Cannot See,” Stacks points to the Likert-type scale and the semantic differential-type scale as two primary survey techniques that purport to measure attitudes (2002, p. 134). Along with many others, he claims that since survey data can be quantified in a statistically meaningful way, surveys fall under the quantitative approach (Neuman, 1994; Gunter, 2002; Stacks, 2002). Respondents transfer their internal or private attitudes onto an external or public scale. Surveys attempt to quantify a qualitative event.

An integral methodological pluralism demonstrates the philosophical difficulties surrounding “measuring what you cannot see” or enacting internal phenomena with external methods. Since opinions are publicly expressed attitudes, surveys technically measure opinions—the Right Hand correlate of a Left Hand event. Despite complex statistical computing, the fact remains that publicly expressing a private experience requires interpretation. Nevertheless, the interpretive factor in attitudinal surveys is slight. Making an attitude public by means of an opinion survey requires little (but still some) interpretation. The inner experience of simple attitudes (like/dislike, good/bad, pleasant-unpleasant) can readily be expressed in a survey due to their transparency and accessibility to conscious awareness. In short, people complete opinion surveys with little difficulty because they immediately know their explicit attitudes. Hence, some exterior correlates of internal phenomena are easier to measure than others, and opinions are one of the easiest. Perhaps this explains, in part, why the social sciences put such an incredible amount of time, energy, and money in attitude/opinion research.

### **Beyond the Lamppost**

Consider the story of the man who walks home at dusk through a forest path. Finally, he approaches his house. A lamppost lights the area directly surrounding the

residence. The man approaches the door, fumbles in his pocket, and realizes his keys were lost along the way. For hours, he unsuccessfully scrutinizes the illuminated area directly around his house, searching in vain for his keys. Eventually the man's wife arrives at the house and he tells her the dilemma. When she questions why he didn't try searching the rest of the path, the man quickly answers, "Because the light is brightest here."

Integral methodological pluralism challenges social science to venture beyond the lamppost. Max Horkheimer once said, "The need to limit oneself to absolutely certain data, the tendency to discredit any research on the essence of phenomena as 'metaphysics,' may force empirical social research to restrict itself to the non-essential in the name of that which cannot be a source of controversy" (1972). Just because a research method is "brightly lit" in the empi

meaning-making process that creates specific attitudes. Milton Rokeach, among the most prominent value researchers in the social sciences, agrees that a value “has a transcendental quality to it, guiding actions, attitudes, judgements, and comparisons across specific objects and situations beyond immediate goals to more ultimate goals” (1973, p. 18). Rokeach is far from alone in asserting such a relationship between values and attitudes:

- “Attitudes will be based on underlying values” (Kilby, 1993, p. 38).
- “One’s attitude toward a specific object or condition in a specific situation seems to be a function of the way one conceives that object from the standpoint of its effects on one’s most cherished values” (Woodruff and Divesta, 1948, p. 657).
- “Values are more global and general than attitudes. . . a terminal value may underlie a number of quite specific attitudes” (Perloff, 1993, p. 29).
- “Attitudes are focused on some specified object or situation, while values transcend them. Since values are also considered standards, applying to all kinds of situations, they are believed to occupy a more central position than attitudes within one’s personality makeup and cognitive system” (Werder, 2002, p. 44).
- Values are “the most important and central elements in a person’s system of attitudes and beliefs” (Oskamp, 1977).
- Values shape “our likes, dislikes, preferences, prejudices, and social attitudes . . . [and make] it possible for us to say what is good and what is bad” (Mandler, 1993, p. 233).
- “Values are more general than attitudes. This approach allows us to conceptualize values not as stimuli but, rather, as underlying orientations, which are relevant for, or inform the process of, arriving at attitudes” (Deth and Scarbrough, 1995, p. 32).
- “A value is an organized set of related attitudes” (Thompson, 1975, p. 221).
- “When specific attitudes are organized into a hierarchical structure, they comprise *values systems*” (Katz, 1960, p. 168).

Articulated in different ways, these researchers view values as structures that influence specific attitudes. Many researchers go on to make the logical claim that values help predict behavior through their role in attitudinal formation (Deth and Scarbrough, 1995,

p. 33; Petty, Wegener, Fabrigar, 1997, p. 609; McLeod, Sotirovic, Holbert, 1998, p. 453).

Despite the numerous other factors that contribute to attitudes and behaviors (cognitive processing for example), the basic conclusion can be made that values play a crucial role that deserves wider recognition within communication studies.

Despite the significance of values, communication social scientists have largely marginalized them from their standard research agenda.

A review of the literature produced during the relatively brief history of mass communication research will not reveal many direct references to values. Despite several encouraging developments over the past 30 years, leading to research that is more holistic, sociological, processual, and critical than the bulk of the earlier positivistic work, there are still few systematic, disciplined studies that attempt to spell out the value implications of the structures and processes investigated. (Halloran, 2000, p. 13)

Such a perplexing omission could perhaps be attributed to the complex nature of values research. In attitudinal research, a simple survey often cannot capture the necessary value data. Values lurk further beneath one's conscious awareness than do attitudes.

Kilby reports that values "vary from clear representation, through degrees of generalness and vagueness, to not being consciously-articulated at all" (1993, p. 36). Indeed, many people exhibit difficulties realizing and articulating their personal value orientation—"sometimes people may not know what their values really are; hence their answers to probes about values may be unreliable" (Hechter, 1993, p. 11; Converse, 1964).

Applying Kegan's "subject-object" cognitive theory to value structures could help explain these challenges (1994). Perhaps a subject cannot fully understand her current value structure until she moves to a new value structure, only after which she can reflect on her previous one. The original subject becomes the object of the new subject. More simply, Ray and Anderson say, "A worldview is to humans as water is to fish. It's the

water we swim it. But only when something, or many things, disrupt our worldview does it become visible” (Ray and Anderson, 2000, p. 93).

Social scientists cannot avoid these research obstacles by assuming values from observed behaviors. An internal phenomenon can never be validly inferred from an external phenomenon. Put another way, one cannot derive a “why” from a “what” or an “ought” from an “is,” the definition of a logical fallacy first articulated by David Hume (1957). The value reasoning behind a behavior is the relevant key, not the behavior itself. Radically different value orientations could produce the exact same behavior. Likewise, knowing one’s attitude about a particular topic does not necessarily predict the person’s values. For example, two people could possess identical attitudes concerning the 2003 war in Iraq using completely different value reasoning (Wilber, 2003b). Hence, values do not necessarily predict attitudes and behavior over the short run. However, the predictive power of values does increase over the long run.

None of the above challenges strikes a fatal blow to values research. However, when approached exclusively from an external, quantitative research perspective they are disastrous. Behavioral observation and opinion surveys are simply not enough. Perhaps this explains why many quantitatively oriented social scientists shy away from values inquiry. A research volume produced by the European Science Foundation and Oxford University reached similar conclusions, admitting the “widely held assumption in the social sciences that values are at the root of behaviour, [yet] “despite that, in comparison with the attitude-behaviour axis, the influence of values on political behaviour is relatively poorly researched—perhaps due to the behavioural orientations of political science” (Depth and Scarbrough, 1995, p. 21).

The most powerful and enlightening form of values research requires an integral methodological pluralism that includes quantitative surveys and experiments in addition to qualitative interviews, focus groups, discourse analysis, ethnography, phenomenological analysis and so forth. Some scholars appear to recognize the importance of triangulated values research, but fail to follow through. For example, after rightly emphasizing the “intersubjective nature of values” as “elements in moral discourse,” one research team gives this aside:

Of course, ideally we would want to examine qualitative data which captures the elements of moral discourse in different domains. However, in the comparative and national surveys used in this research project, quantitative attitudinal data are the best measures available to use. (Deth and Scarbrough, 1995, p. 37).

An integral methodological pluralism recommends using approaches epistemologically appropriate to the specific worldspace under investigation. In the case of value research, dialogical methods must be included.

Regardless of the methodology, a researcher must always define the object under investigation. The semantic ambiguity underlying values research often reflects the “quarrels about definition that have been one of the hallmarks of the social science enterprise” (Mandler, 1993, p. 233). One scholar discovered 180 different definitions of “value” after examining 4,000 publications (Deth and Scarbrough, 1995, p. 37). Below are three examples from social science:

- “A value is a conception, explicit or implicit, distinctive of an individual or characteristic of a group, of the desirable which influences the selection from available modes, means, and ends of action.” In short, “conceptions of the desirable” (Kluckhohn, 1954, p. 395).
- “A value is an enduring belief that a specific mode of conduct or end-state of existence is personally or socially preferable to an opposite or converse mode of conduct or end-state of existence” (Rokeach, 1973, p. 5).



- “Values are non-empirical—that is, not directly observable—conceptions of the desirable, used in moral discourse, with a particular relevance for behaviour” (Deth and Scarbrough, 1995, p. 22).

These definitions each touch upon important aspects of values. The next section takes a step beyond isolated, individual values. At a certain point along the path, one begins to reflect not only on the individual value trees, but also on the overarching patterns that connect them. With this wider perspective, the forest of value systems comes into view.

### **Value Systems as Worldviews**

Recall that attitudes tend not to form randomly; values inform or guide attitudes. Furthermore, many attitudes arise from one underlying value. Stepping back and viewing an overall attitudinal pattern makes the operative value becomes more apparent. In this way, a pattern of attitudes helps to identify an underlying value, but does not constitute it. Individual values do not randomly form either. Values coalesce into recognizable patterns. So if a patterned set of attitudes suggests a certain underlying value, then what does a patterned set of values suggest? Scholars have grouped value patterns together in various ways, giving them namesets fs

Schleiermacher, Hegel, and Goethe (Wolters, 1989, p. 15). In time, thinkers as divergent as Kierkegaard, Engels, and Dilthey eventually found the term helpful (Marshall, Griffioen, Mouw, 1989, p. 8-11).

The social science literature defines worldview as “general assumptions about the world that underlie the way people orient themselves to the environment” (McLeod, Sotirovic, and Holbert, 1998; Kluckhohn and Strodtbeck, 1961). The American Heritage dictionary defines worldview as “the overall perspective from which one sees and interprets the world” (American Heritage, 2000). Miller refers to them as “structural ‘filters’ through which phenomena are perceived” (1994, p. 148). Kaufman calls a worldview “an overall framework of interpretation . . . which gives meaning to existence” (1981). Consider this further description from Olthuis:

A worldview (or vision of life) is a framework or set of fundamental beliefs through which we view the world and our calling and future in it. This vision need not be fully articulated: it may be so internalized that it goes largely unquestioned; it may not be explicitly developed into a systematic conception of life; it may not be theoretically deepened into a philosophy; it may not even be codified into creedal form; it may be greatly refined through cultural-historical development. Nevertheless, this vision is a channel for the ultimate beliefs which give direction and meaning to life. It is the integrative and interpretative framework by which order and disorder are judged; it is the set of hinges on which all our everyday thinking and doing turns. (1989, p. 29)

Indeed, worldviews comprise a collective worldspace that says what “We” deem important, what “We” value.

Wilber designates “worldview” as referring to “the Lower-Left quadrant, or all of the intersubjective practices, linguistic signs, semantic structures, contexts, and communal meanings that are generated through shared perceptions and collective values—in short, ‘culture’” (1999a, p. 551). The intersubjective structures of a cultural worldview, he explains, creates a space within which individual, subjective experiences

arise. In *The Order of Things: An Archaeology of the Human Sciences*, Michel Foucault makes essentially the same point. He calls his method an archaeology or “an inquiry whose aim it is to rediscover on what basis knowledge and theory became possible; within what space of order knowledge was constituted . . .” (1970, p. xxi-xxii).

Foucault’s archeology seeks to uncover the historical *a priori*, epistemological field (*episteme*), intersubjective structure, or worldview of a given epoch: “This *a priori* is what, in a given period, delimits in the totality of experience a field of knowledge, defines the mode of being of the objects that appear in that field, provides man’s everyday perception with theoretical powers, and defines the conditions in which he can sustain a discourse about things that is recognized to be true” (1970, p. 158). For example, an archeology of language intends to “determine in what conditions language could become the object of a period’s knowledge, and between what limits this epistemological domain developed” (1970, p. 119). Wilber and Foucault both articulate the intimate relationship between the upper-left subjectivity and lower-left intersubjectivity, underscoring the assertion that all four quadrants arise together, mutually interdependent.

Worldviews serve what Clifford Geertz calls a “dual focus” (1973, p. 73). They function both descriptively and normatively, telling a person what is and what ought to be. Put another way, “A worldview is both a sketch of and a blueprint for reality” (Olthuis, 1989, p. 29). No fact carries an inherent value imperative apart from the interpretive structure already within the observing subject. Divergent value systems experience different “oughts” from the same “is,” regardless of Hume’s “is to ought”

fallacy. As a person's worldview develops, her orientation of and for the Kosmos expands in its capacity for justice and care, wisdom and compassion.

### **Dynamics of the Spiral**

Habermas describes worldviews as “highly complex formations that are determined by cognitive, linguistic, and moral-practical forms of consciousness,” quickly adding that “the composition and the interplay of structures is not fixed once and for all” (1979, p. 168). The implication: worldviews evolve in levels from egocentric (self-centered) to ethnocentric (group-centered) to worldcentric (global-centered) (Habermas, 1979, p. 99-100). A worldview is a holon—a whole which is simultaneously a part of a greater whole—a whole/part. Each successive worldview level transcends and includes the previous level and can be said to be “higher,” “deeper,” or “more encompassing” than the previous level. Wilber further explains how to designate depth levels:

A “level” in a holarchy is established by several objective criteria: by a qualitative emergence (as explained by Popper); by asymmetry (or “symmetry breaks,” as explained by Prigogine and Jantsch); by an inclusionary principle (the higher includes the lower, but not vice versa, as explained by Aristotle); by a developmental logic (the higher negates and preserves a lower, but not vice versa, as explained by Hegel); by a chronological indicator (the higher chronologically comes after the lower, but all that is later is not higher, as explained by Saint Gregory). (2000b, p. 62-63)

Lawrence Kohlberg speaks of moral development in a similar way: “All of the differences among people aren't all equally defensible; some of the differences among people represent more comprehensive, more coherent, more elaborated—more developed—concepts” (Rest, Narvaez, Bebeau, Thoma, 1999, p. 2). As holons, both morals and worldviews meet Wilber's twenty tenets of development (Wilber, 2000b, p. 25). As such, worldviews easily meet the five criteria that Jean Piaget applied to cognitive development and Kohlberg endorsed for moral development (Kohlberg, 1984,

p. 14; Piaget, 1969, p. 153). The twenty tenets can be abbreviated here by reviewing Piaget's five criteria of development:

First, *worldview stages differ qualitatively from one another*. Worldview stages do not differ along a continuous quantitative spectrum. An increase in the number or strength of egocentric values does not produce worldcentric values. The values generated from an egocentric worldview are qualitatively different from worldcentric values. Higher stages are not more of lower stages, but of a completely new variety.

Second, *worldviews develop in an invariant stage sequence*. This means that people pass through worldviews in a particular order. No one begins at worldcentric. Children always start their lives with an egocentric worldview. To reach a worldcentric value system, the child must pass through ethnocentric. No stages may be skipped. Furthermore, unlike Erik Erikson's stage sequence, no guarantee exists that a person will reach the higher worldview stages (Crain, 2000, p. 289). For example, a person could be quite old and have acquired much life experience, yet still see through ethnocentric eyes. A thirty-year-old could operate through a higher order worldview than a sixty-year-old. For this reason, the life span literature generally does not apply to worldview research.

Third, *worldview stages form structured wholes*. A given stage response (in the form of an attitude or behavior) does not just represent a specific, isolated decision instance. Each worldview stage includes an underlying value organization that informs specific attitudes and behaviors. General patterns of value reasoning exist that will consistently show up across many different kinds of issues (Crain, 2000, p. 156).

Fourth, *worldview stages develop in hierarchical integrations*. In Kohlberg's words, "stages form an order of increasingly differentiated and integrated structures to

fulfill a common function” (1984, p. 14). Simply put, development proceeds by differentiation followed by integration. A later stage transcends and includes the deep structures of an earlier stage. The “transcend and include” principle implies that “people do not lose the insights gained at earlier stages but integrate them into new, broader frameworks” (Crain, 2000, p. 159). The deep structures of all earlier stages are retained. A person at worldcentric still cares for her self, family, state, and country, but not exclusively.

Fifth, worldview stages are culturally universal. Although the specific expression (surface structures) of worldviews varies greatly among people and cultures, the general underlying features (deep structures) exist cross-culturally (Kohlberg, 1984, p. 582-621). Universal worldview models, like spiral dynamics, seek to attain a generality that captures the motivating value schemas within every cultural group.

Kohlberg’s stages of moral development could easily fit into the worldview models described below. “In order to understand moral behavior,” Kohlberg argued, “we have to understand how the person is making sense of the world” (Rest, Narvaez, Bebeau, Thoma, 1999, p. 1). Thus, find the three major worldviews (egocentric, ethnocentric, worldcentric) appear in both Kohlberg’s male moral development and Gilligan’s female moral development. Kohlberg’s model develops from preconventional (1. obedience and punishment; 2. naïve egoism) to conventional (3. approval of others; 4. law and order) to postconventional (5. individual rights and social contract; 6. universal ethics) (Kohlberg, 1984, p. 44). Similarly, in Gilligan’s model, female morality evolves from preconventional (selfish) to conventional (care) to postconventional (universal care)

(Gilligan, 1982). (Both theorists also postulated a post-postconventional level—Kohlberg called it cosmic-spiritual and Gilligan called it hierarchical-integrative.)

Kohlberg uses the term “conventional” to mean “conforming to and upholding the rules and expectations and conventions of society or authority just because they are society’s rules, expectations, or conventions” (1984, p. 172-173).

The individual at the preconventional level has not yet come to really understand and uphold conventional or societal rules and expectations. Someone at the postconventional level understands and basically accepts society’s rules, but acceptance of society’s rules is based on formulating and accepting the general moral principles that underlie these rules. These principles in some cases come into conflict with society’s rules, in which case the postconventional individual judges by principle rather than by convention. (Kohlberg, 1984, p. 173).

Again, the three primary worldviews—egocentric (preconventional), ethnocentric (conventional), and worldcentric (postconventional)—are clearly seen in moral development.

Worldview development also has a relationship with cognitive development, although they represent two separate and distinct developmental lines. In the first analysis, one finds “stages of affective development that are parallel with the stages of cognitive development” (Brown, 1996, p. 144). Comparing Piaget and Kohlberg’s models, one finds that concrete operational cognition parallels preconventional morality; low formal operational cognition parallels conventional morality; high formal operational cognition (polyvalent logic) parallels postconventional morality. Kohlberg agrees and carries the conversation one step further:

Since moral reasoning clearly is reasoning, advanced moral reasoning depends upon advanced logical [or cognitive] reasoning. There is a parallelism between an individual’s logical stage and his or her moral stage. A person whose logical stage is only concrete operational is limited to the preconventional moral stages, Stages 1 and 2. A person whose logical stage is only “low” formal operational is limited to the conventional moral stages, Stage 3 and 4. While logical development is a necessary condition for moral development, it is not sufficient. Many individuals

are at a higher logical stage than the parallel moral stage, but essentially none are at a higher moral stage than their logical stage. (Kohlberg, 1984, p. 171)

The essential point here is that cognitive development can exceed moral development, but not vice versa. Put another way, cognitive development is necessary but not sufficient for moral development (Kohlberg, 1981, p. 138). I theorize that worldviews and cognition relate in the same way. A certain level of cognitive proficiency is necessary but not sufficient to support a parallel worldview.



## CHAPTER 5 WORLDVIEW EVOLUTION

### **Researching Worldviews**

A considerable number of attempts have been made to understand and classify the various worldviews available. With the rise of evolutionary thinking, scholars began to study worldviews as a process of developmental unfolding. Numerous researchers have *independently* identified, articulated, and studied the *identical* worldview levels.

Understanding this spiral of worldview development will prove essential in formulating an integral communication strategy in the next chapter. This section gives a brief introduction and biographical sketch of a few pioneering worldview researchers.

The *Spiral Dynamics integral* (SDi) model represents the culmination of 50 years of research and theory building, prompted by the American psychologist Clare Graves (see appendix A). It stands as perhaps the clearest and most user-friendly model. Graves began researching human values in 1952 when, exasperated with the state of academic psychology, he first asked the question, “What will be the nature and character of conceptions of psychological health of biologically mature humans beings?” (Graves, 1988). After more than 20 years of *quantitative* and *qualitative* research, Graves proposed that “the psychology of the mature human being is an unfolding, emergent, oscillating spiraling process marked by progressive subordination of older, lower-order behavior systems to newer, higher-order systems as man’s existential problems change” (Beck and Cowan, 1996, p. 28). Expressed another way, he says, “My data indicate that man’s nature is an open, constantly evolving system, a system which proceeds by

quantum jumps from one steady state system to the next through a hierarchy of ordered systems” (Graves, 1974, p. 72). Graves often summarized his findings like this (Beck and Cowan, 1996, p. 29):

1. Human nature is not static, nor is it finite. Human nature changes as conditions of existence change, thus forging new systems. Yet, the older systems stay with us.
2. When a new system or level is activated, we change our psychology and rules for living to adapt to those new conditions.
3. We live in a potentially open system of values with an infinite number of modes of living available to us. There is no final state to which we must all aspire.
4. An individual, a company, or an entire society can respond positively only to those managerial principles, motivational appeals, educational formulas, and legal or ethical codes that are appropriate to the current level of human existence.

Although Graves passed away in 1986, Don Beck and Chris Cowan continue to expand on Graves’s original insights. They founded a think tank called the “National Values Center,” and Beck later founded the “Institute of Values and Culture” out of which grew the spiral dynamics integral model of value system evolution (Beck, 2002a). Spiral dynamics researchers and practitioners use the model to solve a variety of problems.

For instance, Beck made over 63 trips to South Africa between 1981 and 1999 to launch an initiative first called “Strategic Evolution” (Beck, 2002b, p. 122).

During that period, my basic role was to reshape the definitions the various sectors of society were using to stereotype each other, replacing the usual racial/ethnic categories with an understanding of these value system or memetic differences, all of which were alive in that global microcosm. The complexity of the South African situation had been simplified down to what is morally right or wrong along race lines, and that was a grave mistake. Much sympathy was lavished on the black “struggle,” and rightfully so. But getting rid of what they didn’t want—apartheid—was not the same thing as getting what they did want—a just and prosperous society. (2002b, p. 122)

Beck goes on to describe how he used spiral dynamics to communicate in newspaper articles, discussions, and negotiations that were “influential in convincing Afrikaner

political leaders in Pretoria to release Nelson Mandela and start the peace process,” which eventually ended South African apartheid without a civil war (Wilber, 2000c; Beck, 2002b, p. 122). The Zulus named him “Amizimuthi,” which means “One with Strong Medicine” (Beck, 2002b, p. 122). Beck’s current client list includes President Vicente Fox’s administration in Mexico and Prime Minister Tony Blair’s Department of International Development in Great Britain (Cohen, 2004, p. 14). To date, the spiral dynamics model has been tested with more than 50,000 people from first-, second-, and third-world countries, and there have been no major exceptions found to the general model (Wilber, 2000c, p. 6).

The most noteworthy of the early worldview scholars is Jean Gebser (1905-1973). Born in Posen, Prussia, Gebser traveled across Europe (befriending Picasso along the way) and eventually settling in Zurich, Switzerland where he worked with Carl Jung. In 1949, Gebser published *The Ever-Present Origin*, his most profound statement on the unfolding worldviews of humanity (Gebser, 1985). In this work, he traces the “discontinuous mutation” of consciousness through five major structural “leaps.” By “consciousness structure,” Gebser means “the visibly emerging perception of reality” or, in other words, worldview (Keckeis, 1985, p. xx).

With an intuition of integral methodological pluralism, Gebser went beyond mere synthesis, using instead the Greek term “systasis,” meaning “put together; connection; forming” (1985, p. 292). Gebser explains that “systasis is the conjoining or fitting together of parts into integrality . . . the means whereby we are able to open up our consolidated spatial consciousness to the integrating consciousness of the whole” (1985, p. 310). He asserts that his approach “attempts to present in visible, tangible, and audible

form the respective consciousness structures from within their specific modalities and unique constitutions by means appropriate to their natures” (1985, p. 2). Gebser follows this method by examining five worldviews from many angles: the natural sciences (mathematics, physics, biology), the sciences of mind (psychology, philosophy), the social sciences (jurisprudence, sociology, economics), and the arts (music, architecture, painting, literature).

Along with Gebser, Gerald Heard (1889-1971) stands as one of the great early pioneers in worldview research. Originally from London, Heard was educated at Cambridge University and taught at Oxford University. With his friend Aldous Huxley, he moved to the United States in 1937 after being offered the chair of historical anthropology at Duke University (Barrie, 2002). Feeling too constrained at Duke, he founded his own college called Trabuco while continuing to lecture at major American

calls them, are the “core beliefs that [people] espouse about the universe and themselves, and the frame of reference by which they interpret and understand life” (Barrie, 2002).

Jumping ahead to more contemporary scholarship, sociologist Paul Ray and psychologist Sherry Ruth Anderson authored *The Cultural Creatives* in 2000. Ray spent 13 years as executive vice president of American LIVES, Inc., a market research and opinion polling firm specializing in psychographic analysis (Ray and Anderson, 2000). During this time, Ray used both quantitative survey techniques in addition to qualitative interviews and focus groups to study the lifestyles, interests, values, expectations and symbols of Americans. Ray and Anderson make a concerted effort to differentiate their methodology from a one-dimensional demographic study:

Most surveys are content to classify people by demographic categories: male or female, black or white, white collar or blue collar, income, education. It’s familiar and easy to do. But those conventional categories show only a thin slice of people’s lives. The research findings we report here do not reflect [only] ‘the demographics.’ Rather, our research is values research, which leads directly to a rich and many-dimensional description of what Americans are up to—and why. (2000, p. 22)

Finally, Ronald Inglehart, professor of political science and program director at the Institute for Social Research at the University of Michigan, has conducted rigorous investigations into the development of global value patterns, beginning with his groundbreaking book *The Silent Revolution: Changing Values and Political Styles Among Western Publics* (1977). Inglehart clearly states his central thesis that “the basic value priorities of Western publics seem to be changing as their societies move into a Post-Industrial phase of development” (1977, p. 21).

The process of change is not as ephemeral as the flow of events might suggest. Instead it appears to reflect *a transformation of basic world views*. It seems to be taking place quite gradually but steadily, being rooted in the formative experiences of whole generation-units. (emphasis added) (Inglehart, 1977, p. 21).

He further suggests that this “transformation of basic world views” moves in a “specific direction,” signaling an “evolutionary drift” towards value systems of greater inclusion and acceptance (1977, p. 4, 22).

Inglehart coordinates the steering committee that operates “The World Values Survey,” the most ambitious attempt by social scientists to measure and track global value patterns. Inglehart regards the world values surveys as providing “a broader range of variation than has ever before been available for analyzing the impact of the values and beliefs of mass publics on political and social life” (2003).

The World Values Survey is a worldwide investigation of sociocultural and political change. It has carried out representative national surveys of the basic values and beliefs of publics in more than 65 societies on all six inhabited continents, containing almost 80 percent of the world's population. . . . This investigation has produced evidence of gradual but pervasive changes in what people want out of life, and the basic direction of these changes is, to some extent, predictable. This study has given rise to more than 300 publications, in 16 languages. (Inglehart, 2003)

An international network of social scientists facilitates the project, conducting numerous waves of interview surveys over the past twenty-five years. The next chapter discusses some developmental dynamics of worldviews and then investigates the four worldviews most relevant to contemporary American culture.

The next four sections cover the four worldviews most applicable to contemporary American culture. Not all possible worldviews will not be covered, namely those at the very top and the very bottom of the spectrum. See appendix B for a description of all eight spiral dynamic levels. The presentation below will combine the research findings of Graves, Beck, Cowan, Gebser, Heard, Inglehart, Anderson, Ray, and Wilber. Note that these theorists arrived *independently* at the *same* worldview levels through their *own* research efforts. By combining the research findings, a developmental holarchy emerges

that unfolds into ever-increasing levels of inclusion—from traditional-mythic to rational-achieivist to pluralistic-communitarian to integral-existential.

### **Traditional-Mythic (BLUE)**

“A single guiding force controls the world and determines our destiny. Its abiding Truth provides structure and order for all aspects of living here on Earth and rules the heavens, as well. My life has meaning because the fires of redemption burn in my heart. I follow the appointed Pathway which ties me with something much greater than myself [a cause, belief, tradition, organization, or movement]. I stand fast for what is right, proper, and good, always subjecting myself to the directives of proper authority. I willingly sacrifice my desires in the present in the sure knowledge that I look forward to something wonderful in the future.”

Beck and Cowan give this fictional, first-person account of the worldview they call “Purposeful Blue” (1996, p. 229). To facilitate and simplify discourse, spiral dynamics gives each worldview a color tag. I will freely use these colors—in this case Blue—for easy shorthand reference and to aid memory. Graves originally called this stage “saintly existence (D-Q)”; Heard called it “the midindividual”; Gebser named it “the mythical structure;” for Wilber it is “mythic-membership”; and Inglehart, Ray, and Anderson all call it “traditional” (Graves, 1974, p. 74; Heard, 1963, p. 42; Gebser, 1985, p. 61; Wilber, 1999c, p. 405; Inglehart and Baker, 2000; Ray and Anderson, 2000). Despite the different labels, all the researchers are describing the same underlying value orientation.

The Blue worldview is traditional and conservative, emphasizing order, consistency, and convention. Blue’s core values echo themes of meaning, direction, and purpose in life. Blue values include these (Beck and Cowan, 1996, p. 46):

- One sacrifices self to the transcendent Cause, Truth, or righteous Pathway
- The Order enforces a code of conduct based on eternal, absolute principles
- Righteous living produces stability now and guarantees future reward
- Impulsivity is controlled through guilt; everybody has their proper place
- Laws, regulations, and discipline build character and moral fiber

The Blue value structure views the world from an absolutistic, polarized, black and white perspective. Honoring and submitting to authority, Blue allows the conventional system to define good/bad, right/wrong.

Good opposes Evil in an ongoing battle for dominion. . . . There is no room for compromise or gray areas among the devout True Believers for whom wishy-washy moderation is worse than declaring with the enemy. . . . Invoking the sacred name of Authority is part of Blue whether the Lord, the Prophet, Chairman Mao, or ‘in the name of the Law. (Beck and Cowan, 1996, p. 233)

Or as Graves puts it, “The measure of his worthiness is how much he has lived by the established rules” (1974, p. 74).

But to live up to the established rules, Blue must tame chaos into order, both externally and internally. A person, Heard explains, “discovers that he must find a method of disciplining himself. For not only is *outer* nature unpredictable, powerful, dangerous, and uncontrollable but his *own* nature betrays him. The Universe is unfriendly and man is fallen” (1963, p. 51). The sinful nature of humans and the impossibility of perfectly following every external rule creates guilt, which peaks at Blue (Beck and Cowan, 1996, p. 232). Wilber’s fictional, phenomenological account of a young girl underscores Blue’s familiarity with guilt.

The priests tell us that there was a time that our ancestors walked with the Creator, but then something terrible happened. We pray twice daily to be returned to before the mistake. I pray very hard, but the last time I prayed hard, my sister died anyway. My uncle said I must pray harder, so something must be wrong with me. (Wilber, 2000a, p. 413)

Guilt arises in the young girl from failing to please the Authority and being punished for it; “a lonely creature pitted against an unfriendly Nature” (Heard, 1963, p. 51).

Ray and Anderson also recognize the Blue value schema. Not surprisingly, they call it “Tradional” as “shorthand for a complex cultural conservatism [that] refers to a real subculture of shared values and familiar customs, rich with the details of life” (2000,



p. 30). According to their data, Traditionals account for 24.5 percent of the American population, or 48 million adults (Ray and Anderson, 2000, p. 30). They list specific attitudes indicative of a Blue/Traditionalist worldview (Ray and Anderson, 2000, p. 31-32):

- Patriarchs should again dominate family life.
- Family, church, and community are where you belong.
- The conservative version of their own particular religious traditions must be upheld.
- Customary and familiar ways of life should be maintained.
- It's important to regulate sex—pornography, teen sex, extramarital sex—and abortion.
- Men should be proud to serve their country in the military.
- All the guidance you need for your life can be found in the Bible.
- Country and small-town life is more virtuous than big-city or suburban life.
- Our country needs to do more to support virtuous behavior.
- Preserving civil liberties is less important than restricting immoral behavior.
- Freedom to carry arms is essential.
- Foreigners are not welcome.

Demographically speaking, American Traditionals have an average age of 55 and a median family income of only \$23,750 per year, partly due to retirees (based on 1995 data) (Ray and Anderson, 2000, p. 32). In general, the data shows they are older, poorer, less educated, and more religious than other Americans.

Although participation in a traditional organized religion (i.e., Catholics, Mormons, fundamentalists, or evangelical Protestants) often indicates a Blue value system, Blue does not need religious participation to flourish. “Deference to the authority of God,

Fatherland, and Family are all closely linked” (Inglehart and Baker, 2000, p. 25). Take Heard’s analysis of Blue’s attraction to the atheistic Communist ideology of the Soviet Union. Referring to Communism, Heard says, “we see the pressures being attempted which in the great ascetic [Blue] age produced (1963, p. 138):

1. the man who accuses himself, denounces his own actions, and informs on others: “the right-acting man”
2. the examiner of conscience and the spiritual judge, the ideal
3. the one revelation, absolute and final, the code to which utter submission must be made in the name of *quod semper, quod ubique, quod omnibus*.

Extreme nationalism or patriotism, wherever it occurs, spurs a black and white “my country right or wrong” attitude, or as George W. Bush puts it “You’re either with us or against us.”

Lastly, Inglehart arrives at nearly identical conclusions from value data obtained not only from America, but from the entire world. Inglehart also chooses the term “traditional” to describe the general value orientation in people who “show relatively low levels of tolerance for abortion, divorce, and homosexuality; tend to emphasize male dominance in economic and political life, deference to parental authority, and the importance of family life, and are relatively authoritarian; most of them place strong emphasis on religion” (Inglehart and Baker, 2000, p. 23-24). See appendix C for Inglehart’s chart, displaying some defining attitudes of the Blue value schema.

Blue’s ethnocentric values and conventional moral development appear in all Inglehart’s attitudinal analyses. For instance, ethnocentric nationalism leads people to favor “more respect for authority, take protectionist attitudes towards foreign trade, and feel that environmental problems can be solved without international agreements” (Inglehart and Baker, 2000, p. 25). Traditionals accept national authority passively,

rarely discussing politics or questioning “official” received knowledge (Inglehart and Baker, 2000, p. 25). Inglehart goes on to say that traditional worldviews “emphasize social conformity rather than individualistic striving, favor consensus rather than open political conflict, support deference to authority, and have high levels of national pride and a nationalistic outlook” (2000, p. 25).

### **Rational-Achievist (ORANGE)**

“I want to achieve, and win, and get somewhere in my life. The world is full of opportunities for those who’ll seize the day and take some calculated risks. Nothing is certain, but if you’re good, you play the odds and find the best choices among many. You’ve got to believe in yourself first, then everything else falls into place. You can’t get bogged down in structure or rules if they hold back progress. Instead, by practical applications of tried-and-true experience, you can make things better and better for yourself. I’m confident in my own abilities and intend to make a difference in this world. Gather data, build a strategic plan, then go for excellence.”

These statements represent the values of someone at the “Achievist Orange” worldview level (Beck and Cowan, 1996, p. 244). Again, all our featured researchers recognize this stage using slightly different names: Graves: “materialistic existence (E-R),” Heard: “total individual or self-sufficient man,” Gebser: “rational-perspectival, the mental structure,” Wilber: “rational-egoic,” Ray and Anderson: “Moderns,” Inglehart: “materialist, secular-rational” (Graves, 1974, p. 75; Heard, 1963, p. 56; Gebser, 1985, p. 73; Wilber, 1999c, p. 518; Ray and Anderson, 2000, p. 25; Inglehart, 1977, p. 41).

Orange is the worldview of modernity, which, for the first time, used Orange values to apply universal principles to all humans, cutting across group loyalties. Such rational, universal principles include “greater equality among persons, personal freedom and liberty, justice, citizen’s rights (for example, freedom of speech, religion, assembly, and fair trials), representative and deliberative democracy, and equality before the law” (Ray and Anderson, 2000, p. 26). In the late eighteenth century, the Constitution of the

United States brilliantly institutionalized Orange values in a population with a Blue value majority.

Aristotle, Gebser remarks, calls the human an “*animal rationale*, an animal with the gift of rationality. And in the word *ratio*—which means ‘to reckon’ as well as ‘to calculate’ in the sense of ‘to think’ and ‘understand’—is found the principal characteristic of the perspectival world: directedness and perspectivity, together with—unavoidably—sectorial partitioning” (Gebser, 1985, p. 74). A person at this materialistic stage, states Graves, “develops and utilizes the objectivistic, positivistic, operationalistic, scientific method so as to provide the material ends for a satisfactory human existence in the here and now” (1974, p. 75).

During the cultural transformation from traditional to modern, Heard asserts that “tradition was demoted from its office of supreme judge. Reason was ordered to take on experimentation as its vicar or suffragan. Dogma and argument could stand only if supported by experiment” (Heard, 1963, p. 147). When the Orange worldview first arose in ancient Greece, “*man had to direct and judge himself*; herein lies the almost superhuman grandeur of the age that became a reality around 500 B.C. in Greece via the mutation to the mental structure” (Gebser, 1985, p. 79). Fading during the middle ages, Orange reappeared around 1250 A.D. in Europe. “The new Man of the Renaissance, the man of recently intensified self-consciousness, aware of this distinctive and separative individualism, was keen to reason and sharply equipped to argue” (Heard, 1963, p. 60).

Industrialization extended Orange’s desire to direct and control the physical environment to unprecedented levels. Many industrialists equated progress with exploiting natural resources and life became a “game against fabricated nature” (Bell,

1973, p. 147). Peter Bowler, an environmental historian, explains that mythic worldviews were “eliminated because Nature had to be despiritualized if people were to feel comfortable when they used the Earth for their own selfish ends. The mechanistic view of Nature may have been created to legitimize the ruthless attitude of an age in which profit was the only motive that mattered” (1992, p. 69). Despite Bowler’s bias, Inglehart gives a similar description of the Orange situation:

A technical, mechanical, rationalized bureaucratic world directed toward the external problem of creating and dominating the environment. As human control of the environment increased, the role ascribed to religion and God dwindled. Materialistic ideologies arose with secular interpretations of history, and secular utopias were to be attained by human engineering operating through rationally organized bureaucratic organizations. (Inglehart and Baker, 2000, p. 21-22)

As the history of modernity demonstrates, Orange strives for progress, success, status, and affluence. Spiral Dynamics offers this summary of Orange value assumptions (Beck and Cowan, 1996, p. 46):

- Change and advancement are inherent within the scheme of things
- Progress by learning nature’s secrets and seeking out best solutions
- Manipulate Earth’s resources to create and spread the abundant good life
- Optimistic, risk-taking, and self-reliant people deserve their success
- Societies prosper through strategy, technology, and competitiveness

See specific attitudes of Orange in appendix C. One need not look far to locate Orange values in contemporary American culture because *Orange is the dominant culture*.

Read *Time*, The New York Times, *The Wall Street Journal*, *Business Week*, *Forbes*, or *USA Today*, and you will get the official ideology laid out in detail, day after day. It’s the culture we see at all levels of government, in the military, and in the courts. It’s the normal culture found in the office towers and factories of big business; in banks and the stock market; in university science labs and high-tech firms; in hospitals and most doctors’ offices; in mainline churches and synagogues; in the “best” schools and colleges. It’s the culture of professional football, basketball, and baseball leagues; chain stores and malls; most TV programs; and most “mainstream” magazine and newspaper articles. The standards we [as Americans] take for granted, the rules we live by, are made by and for Moderns.

Their worldview is so all-encompassing and their viewpoint so much presupposed that most Moderns can't see any alternatives. (Ray and Anderson, 2000, p. 25).

In short, Moderns accept the values associated with a materialistic, commercialized, urban-industrial world as the obvious right way to live. Life is a series of "executive summaries, sound bites, and quick takes" where "image often counts more than substance" (Beck and Cowan, 1996, p. 252). Fighting for victory and achievement at all costs, Orange values "materialism over spiritualism, pragmatism over principle, and short-range victories over longer term guarantees" (Beck and Cowan, 1996, p. 251).

Demographic figures complement the above psychographic analysis by revealing that about 48 percent of Americans (93 million out of a total of about 193 million adults) hold the Orange worldview as of 1999, and their median family income in 1995 was \$42,500 per year (Ray and Anderson, 2000, p. 25). Consider this fictional, first-person narrative:

I've been an electrical engineer for over three decades, because it works, it is verifiable, it betters human lives. There is a real world out there, with real truth in it, and real hard work required to dig it out. . . . The fortress of science, is how I think of it. It will stand forever, constantly updated. . . . We human beings, for good or ill, are the only gods in existence, the only force of rational intention and good will. And we will save ourselves if we can be saved at all. The Bible is right about one thing: the truth will set you free. And science is the only path of discovering truth. (Wilber, 2000a, p. 414)

As the engineer expresses, Orange values "what's good, approved, efficient, and worthy of praise, the latest and most stylish, the most competitive and profitable" (Ray and Anderson, 2000, p. 26).

### **Pluralistic-Communitarian (GREEN)**

"Life is for experiencing each moment. We can all come to understand who we are and how wondrous it is to be human if we will only accept that everyone is equal and important. All must share in the joy of togetherness and fulfillment. Each spirit is connected to all others in our community; every soul travels together. We are interdependent beings in search of love and involvement. The community

grows by synergizing life forces; artificial diversions take away from everyone. There is an abiding order in the universe for those who are open to it. Bad attitudes and negative beliefs dissolve once we look inside each person and uncover the richness within.”

The level of worldview development described here suggests postmodern values.

The “Communitarian Green” worldview in spiral dynamics again matches up with the other models. The research suggests that “the emergence of post-industrial society seems to be stimulating further evolution of prevailing worldviews”—a shift away from “materialistic, secular-rational” values and towards what Inglehart calls “post-industrial, post-materialist” values (Inglehart, 2000, p. 222; Inglehart and Baker, 2000, p. 22).

People with a postmodern, Green worldview—or “cultural creatives” as Ray and Anderson call them—reject many of mainstream America’s Orange values.

Cultural Creatives are disenchanted with ‘owning more stuff,’ materialism, greed, me-firstism, status display, glaring social inequalities of race and class, society’s failure to care adequately for elders, women, and children, and the hedonism and cynicism that pass for realism in modern society. They also reject the intolerance and narrowness of social conservatives and the Religious Right. They are critical of almost every big institution in modern society, including both corporations and government. They reject narrow analyses and are sick of fragmentary and superficial glosses in the media that don’t depict what they see, or explain what they know from their own direct experience. (2000, p. 17)

In agreement, Inglehart says, “To have a Post-Materialist world-view means that one is apt to be out of harmony with the type of society in which one lives,” since no society has a Green majority or center-of-gravity (1977, p. 365). Cultural creatives are literally *creating* a new Green culture while living within the dominant Orange culture.

Green communities hold values of belonging, relationship, and pluralism sacred. Heard calls this the stage of humanitarianism, marked by an “interest in human beings regardless of the type to which they may belong” (1963, p. 88). Cultural creatives with “postmodern values emphasize self-expression instead of deference to authority and are

tolerant of other groups and even regard exotic things and cultural diversity as stimulating and interesting, not threatening” (Inglehart, 2000, p. 223). If in Orange America everyone melts into a moderate, bland, “mucilaginous whole” within the melting pot, Green America worships the ethnic, multifarious diversity of the patchwork quilt (Houston, 1980, p. 190). For Inglehart, this value transformation gives all the indications that a “silent revolution” is underway (1977, p. 363).

During the Green stage, says Graves, a person (or culture) displays a “personalistic” value system, becoming “centrally concerned with peace, with his inner self, and in the relation of his self to the inner self of others” (1974, p. 75). The spiral dynamics model gives examples of Green values (Beck and Cowan, 1996, p. 46):

- The human spirit must be freed from greed, dogma, and divisiveness
- Feelings, sensitivity, and caring supersede cold rationality
- Spread the Earth’s resources and opportunities equally among all
- Reach decisions through reconciliation and consensus processes
- Refresh spirituality, bring harmony, and enrich human development
- See appendix C for an extended list of Green attitudes.

For Inglehart, post-materialist values include “subjective well-being, interpersonal trust, political activism, and tolerance of outgroups (Inglehart and Baker, 2000, p. 29). A person with Green values tends to be “communitarian, egalitarian, and consensual” (Beck and Cowan, 1996, p. 264). Belonging, being accepted, and maintaining harmony within the group is essential. Always advocating peace through nonviolence, Green believes that “interactions with our fellows need no longer be based on violence and competition but on cooperation” (Heard, 1963, p. 89).

Most value scholars point to the 1960s as the birth of Green values in the United States, and “this change in world views has given rise to a wide range of new social movements” (Inglehart, 2000, p. 224). Indeed, all the major social revolutions of that



time have Green footprints: social justice movements, ethnic advocacy movements (Hispanic, Native American, etc.), international NGOs (world peace, human rights, hunger, third world development), civil rights movement, antinuclear movement, holistic health and alternative health care movements, environmental and ecology movements, new age movement, women's movement, organic foods and vegetarian movements, human potential movement (humanistic psychology, bodywork), gay and lesbian liberation movements (Ray and Anderson, 2000, p. 115). Political scientists would most likely place these social movements towards the liberal end of the political spectrum. Thus, it comes as no surprise that "Post-Materialists [Green] tend to take a less conservative, more change-oriented stand in politics than the Materialist [Orange] types. Post-Materialist types are significantly more likely to align themselves with the 'Left' or 'Liberal' position than are the Materialist types" (Inglehart, 1977, p. 61-62).

Research data indicates that Green values are increasing. "During the past 25 years, these values have become increasingly widespread in almost all advanced industrial societies for which extensive time-series evidence is available" (Inglehart and Baker, 2000, p. 27-28). In the 1960s only 5% of the American population possessed a Green value orientation (Ray and Anderson, 2000, p. 4). In the mid-seventies, Inglehart reported that they comprised 12% of the United States population (Inglehart, 1977, p. 362). In 2000, the Green population has grown to 26% (50 million people) in America (Ray and Anderson, 2000, p. 4).

Cultural creatives place a huge importance on the environment's health. "Postmodern values give priority to environmental protection and cultural issues, even when these goals conflict with maximizing economic growth" (Inglehart, 2000, p. 223).

Nearly every cultural creative agrees with survey questions like these: “We should change how we live now so future generations can enjoy a good quality of life; Human survival depends on finding better ways to balance economic growth with environmental protection; Humans are part of nature, not its ruler; The Earth is headed for an environmental crisis unless we change; Nature has value far beyond the practical uses we can make of it” (Ray and Anderson, 2000, p. 160). Green’s worldcentric outlook naturally evokes an awareness of ecological interconnectedness and a strong desire to heal the Earth.

Finally, Green replaces organized religion with spirituality. Participation in organized religion has steadily declined in postindustrial societies (Inglehart and Baker, 2000, p. 46). Interestingly, as allegiance to established religious institutions falls, spiritual concerns rise. Inglehart remarks that “the established churches today may be on the wrong wavelength for most people in postindustrial societies, but new theologies, such as the ‘theology’ of environmentalism, or New Age beliefs, are emerging to fill an expanding niche” (2000, p. 47). Wuthnow also concludes that the decline of organized religion in America is accompanied by the rise of spiritual concerns, a shift from what he calls a “spirituality of dwelling” (emphasizing sacred places) to a “spirituality of seeking” (emphasizing a personal quest for new spiritual avenues) (Wuthnow, 1998; Inglehart and Baker, 2000). With Green, the quest for inner wisdom begins, unconstrained by institutional authority.

### **Integral-Existential (YELLOW)**

“Viability must be restored to a disordered world endangered by the cumulative effects of the first six [value] systems on the earth’s environment and populations. The purpose of living is to be independent within reason; knowledgeable so much as possible; and caring, so much as realistic. Yet I am my own person, accountable to myself, an island in an archipelago of other people. Continuing to develop along

a natural pathway is more highly valued than striving to have or do. I am concerned for the world's conditions because of the impact they have on me as part of this living system."

Clare Graves and Spiral Dynamics deem the transformation from "Communitarian Green" to "Integrative Yellow" as a "momentous leap" (Beck and Cowan, 1996, p. 274; Graves, 1974). They call the previous three value stages (Blue, Orange, Green) "first-tier subsistence levels," while Yellow marks the first of the "second-tier being levels" (Beck and Cowan, 1996, p. 274). Postconventional values deepen into fully universal, existential concerns: "life and death, authenticity, full bodymind integration, self-actualization, global awareness, holistic embrace" (Wilber, 1999a, p. 537). Yellow worldviews include these values (Beck and Cowan, 1996, p. 275):

- Accept the inevitability of nature's flows and forms
- Focus on functionality, competence, flexibility, and spontaneity
- Find natural mix of conflicting 'truths' and 'uncertainties'
- Discovering personal freedom without harm to others or excesses of self-interest
- Experience fullness of living on an Earth of such diversity in multiple dimensions
- Demand integrative and open systems
- Life is a kaleidoscope of natural hierarchies, systems, and forms
- The magnificence of existence is valued over material possessions
- Knowledge and competency should supersede rank, power, status
- Differences can be integrated into interdependent, natural flows

Please see appendix C for an expanded list. According to Beck and Cowan's data, less than 2% of the world's population has reached second tier or higher (1996). Due to such small numbers, most value researches fail to identify this leading-edge value level.

Jean Gebser is an exception. He detected the Yellow worldview structure—which he named "integral-aperspectival"—back in the mid-twentieth century (1985, p. 24).

Gebser employs the term "aperspectival" to "emphasize the need of overcoming the mere antithesis of affirmation and negation," moving from "either-or" to "both-and" (1985, p.

2). His concern "is with integrality and ultimately with the whole; the word

‘aperspectival’ conveys our attempt to deal with wholeness” (1985, p. 3). Like an ever-changing kaleidoscope, Gebser’s highest level values all perspectives and privileges no view as final, while attempting to integrate them into a coherent whole.

“Man,” says Gebser, “is the integrality of his mutations. Only to the extent that he succeeds in living the whole is his life truly integral” (1985, p. 153). A person with a Yellow value awareness intuitively recognizes her compound individuality and the stages through which she and everyone else evolves.

As Yellow peaks, scales drop from our eyes enabling us to see, for the first time, the legitimacy of all of the human systems awakened to date. They are forms of human existence that have a right to be. The systems are seen as dynamic forces that, when healthy, contribute to the overall viability of the Spiral and, as a result, to the continuation of life itself. (Beck and Cowan, 1996, p. 276)

The rainbow of worldviews in both self and others become visible or “transparent” to someone at Yellow. No worldview is “wrong” and each has its legitimate and proper place in the unfolding spiral.

As they develop, worldviews transcend and include each other so that “these structures are not merely past, but are in fact still present in more or less latent and acute form in each one of us” (Gebser, 1985, p. 42). Value systems naturally appear multidimensional for someone proficient at Yellow. “The various structures that constitute him must have become *transparent* and conscious to him; it also means that he has perceived their effect on his life and destiny, and mastered the deficient components by his insight so that they acquire the degree of maturity and equilibrium necessary for any concretion” (Gebser, 1985, p. 99).

The transparency of second-tier value awareness allows one to handle complex problems, previously unsolvable at first-tier. Individuals at Yellow welcome paradox and uncertainty. They adeptly orchestrate Win:Win:Win outcomes by finding “ways to

increase the range of options, available niches, maneuvering space, and expanded opportunities” for each of the worldviews (Beck and Cowan, 1996, p. 282). With any dialectal problem, not only do both sides win, but also “the greater good, the entire society, and the natural human Spiral” wins (Beck and Cowan, 1996, p. 284). The prime directive of second-tier is the health of the overall spiral (Wilber, 2000c).

Furthermore, those with a Yellow worldview demonstrate a particular aptitude for effective communication. “Yellow is ‘flexible’ in that it can enter the conceptual worlds of the first six systems and interact with them on their frequencies, speaking their psychological languages” (Beck and Cowan, 1996, p. 277).

Yellow defines situations so as to make possible, though not to guarantee, the healthy coexistence of all of the systems. Free of First Tier compulsions—must haves, need tos, afraid ofs—Yellow activists are uniquely qualified to remove blockages and smooth out flows between and among [worldviews]. In short, Yellow is able to move in and out of the various First Tier systems in order to (1) make them healthy and (2) show their connections with other systems on the Spiral. (Beck and Cowan, 1996, p. 283)

Yellow can recognize conflicting value language and rephrase messages to ease communicative discord and reach Win:Win:Win agreement.

This stage of “centaur vision-logic,” as Wilber calls Yellow, also begins to exhibit existentialist characteristics as classically expressed by Kierkegaard, Nietzsche, and Dostoyevsky and more recently articulated by Karl Jaspers, Martin Buber, Paul Tillich, and Rollo May (Wilber, 1999a, p. 188-189). Personal autonomy, self-integration, and self-actualization become major concerns. But with these new freedoms come new creative responsibilities, which can trigger feelings such as angst, despair, anxiety, or meaninglessness. Wilber lists some of the more negative repercussions of existential value awareness (1999a, p. 126-127):

1. **Existential depression**—a global-diffuse depression or “life-arrest” in the face of perceived meaninglessness.
2. **Inauthenticity**—which Heidegger defined as lack of profound awareness-acceptance of one’s own finitude and mortality.
3. **Existential isolation and “uncanniness”**—a strong-enough self that nevertheless feels “not at home” in the familiar world.
4. **Aborted self-actualization**—Maslow (1971): “I warn you, if you deliberately set out to be less than you are capable of becoming, you will be deeply unhappy for the rest of your life.”
5. **Existential anxiety**—the threatened death of, or loss of, one’s self-reflexive modes of being-in-the-world.

The yellow worldview grapples with overall meaning in life, contemplating personal mortality, finitude, and the inevitability of death. If all goes well, these existential pressures eventually facilitate the break through to third-tier, post-postconventional, transpersonal consciousness.

The rainbow spiral of value development runs through every human being (ontogenetic) and culture (phylogenetic). First-tier worldviews (Blue, Orange, Green) do not intuitively grasp this value history and act primarily from their respective value bias. Only second-tier (Yellow, Turquoise) and beyond intuitively understand value evolution and uphold the legitimacy of all levels. Second-tier’s prime directive is health for the entire spiral.

## CHAPTER 6 AN INTEGRAL COMMUNICATION STRATEGY

### **Developmental Psychographics**

Any effective communicator knows the number one rule for effective communication: “know thy audience.” Without intimate knowledge of the intended receivers, a professional communicator is “blind” and, therefore, impotent.

The planner’s ability to identify and analyze publics [or audiences] is the cornerstone of an effective communication campaign . . . First, the planner needs to address the right group of people, so as not to squander organizational resources or miss opportunities to interact with important publics. Second, the planner must carefully examine each public in order to develop a strategy to communicate effectively. (Smith, 2002, p. 39)

Mass audiences are divided into relevant groups by a process known as “segmentation.”

James Grunig explains the simple, yet powerful, idea of segmentation: “Divide a population, market, or audience into groups whose members are more like each other than members of other segments” (Grunig, 1989, p. 202). Similarly, Doug Newsom and Bob Carrell define a public segmentation as “any group of people tied together by some common factor” (Newsom and Carrell, 2001, p. 7). Researchers provide criteria for useful segmentation strategies (Smith, 2002, p. 41, Grunig, 1989, p. 203). Audience segments should be distinguishable, mutually exclusive, accessible, large enough to matter, and reachable with communication. In marketing communication, segmentation has been called “one of the most influential and fashionable concepts in marketing . . . [that has] permeated the thinking of managers and researchers . . . more than any marketing concept since the turn of the century” (Lunn, 1986, p. 387). Segmentation has

become an essential feature of professional communication for the simple fact that “what concerns and convinces one public may seem trivial to another” (Rivers, 1975, p. 22). If a professional communicator does not know her audience segments, how does she “establish program objectives, develop meaningful messages and action strategies, select media to deliver messages selectively and effectively, and determine whether the program worked” (Cutlip, Center, and Broom, 2000, p. 268)? Segmenting and understanding key publics is the undisputed first step in any communication strategy.

Communication and marketing researchers segment audiences by using two general criteria: *demographics* (Right Hand, exterior) and *psychographics* (Left Hand, interior). Demographics are the “innate physical, social, economic, and geographical attributes that comprise an individual and describe the location of that individual in his or her social environment” (Wells, 1996, p. 131). In other words, demographics cover the external variables represented by the Right Hand quadrants, the outside of the individual and the collective. Such variables include “age, gender, education level, race and ethnicity, social class, marital status, party identification, religion, occupation, employment status, geographic location, and household characteristics” (Therkelsen and Fiebich, 2001, p. 376). These variables share a “simple location,” relatively out in the open and easily captured by a survey. As useful as demographics are for communication strategists, they tell only part of the story—the external part. Thus, demographics are true, but partial. After an exhaustive demographic analysis, there still remains a vast part of the human being left unknown: the internal.



Psychographics pick up where demographics leave off. Psychographics specialize in understanding the internal worldspaces of the Left Hand quadrants (Health, 1996).

Emanuel Demby, a founder of psychographics, defines the term as follows:

The use of psychological, sociological, and anthropological factors, such as benefits desired (from the behavior being studied), self-concept, and lifestyle (or serving style) to determine how the market is segmented by the propensity of groups within the market—and their reasons—to make a particular decision about a product, person, ideology, or otherwise hold an attitude or use a medium. (1994)

A psychographic analysis hopes to understand how a person or group constructs meaning and predict “who will pay attention to what information” (Therkelsen and Fiebich, 2001).

Psychographics map internal phenomena such as attitudes, interests, opinions, beliefs, personalities, lifestyles, and values (Heath, 1995). Pragmatically speaking,

psychographics “help communicators improve the quality and accountability of their campaigns by zeroing in on the most receptive audience for their message” (Morgan and Levy, 2003). Some communication theorists and practitioners even affirm that

“psychographic segmentation strategies are proving more useful than generalized averages or broad demographics in every phase of communication, from planning through implementation and evaluation” (Morgan and Levy, 2003; Grunig, 1989, p. 205).

At a time when communication overload is common among all audiences, communicators must send relevant messages to those who are most receptive. Using psychographic segmentation to design and implement a communication strategy results in more effective campaigns, and changes the communicator into a strategist rather than a tactician, moving his or her work from that of an inexact art to an exact science. (Morgan and Levy, 2003)

While fully acknowledging the insightful power of contemporary psychographic analysis, the possibility remains that all forms of psychographic segmentation have yet to be fully explored.

Rebecca Heath comments that “psychographics has been around for more than 30 years, but it is still one of the least understood concepts in the market research” (1995). The technique has room to grow. Levitt offers some advice, “To think segments means to think beyond what’s obviously out there to see. . . the thinking that gives real power is thinking that transcends the ordinary” (1986, pp. 128-129). For the past 30 years, “ordinary” values segmentation has been “internal” and “eclectic”—*internal* because it deals with psychological and cultural meaning and values and *eclectic* because it categorizes these meanings and values into categorical heaps. Popular psychographic assessments such as VALS (Values and Lifestyles) and PIAV (Personal Interests, Attitudes, and Values) give flatland value profiles by treating value systems as horizontal personality *types* rather than as a developmental *line* with many vertical *levels* (2004). Ignoring the inherent depth of value systems uproots them from their natural, evolutionary context, causing an artificial fragmentation. No vertical framework currently exists in the psychographic literature to integrate value heaps into value wholes.

Decades of research in developmental psychology have identified around two dozen developmental lines—including the values line—that evolve relatively independently of each other. Lines include the cognitive, moral, psychosexual, emotional, and interpersonal. Every person has a developmental psychograph that shows her or his personal strengths and weaknesses. The figure below gives an example using five lines and three levels (I-I, 2003):

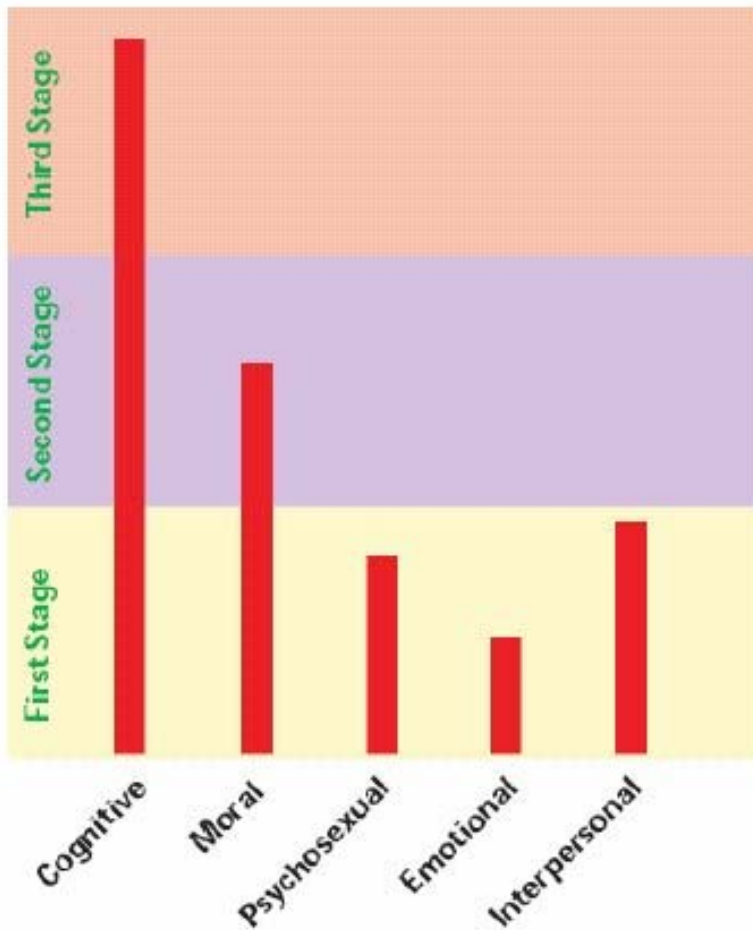


Figure 6-1. A Developmental Psychograph

Notice that this person has an extremely high cognitive intelligence, but very low emotional intelligence. Any complete psychographic investigation must consider these developmental factors. Multiple intelligences or developmental lines lose much of their explanatory power when exiled from their organic contexts. Yet kept within its proper evolutionary framework, each line consists of a series of levels, structures, or holons. Value systems or worldviews exist in a structural holarchy, not an eclectic heap.

Psychographics must, therefore, segment publics not only horizontally, but also vertically into Blue publics, Orange publics, Green publics, and Yellow publics. These audience segments exist right now, though virtually every communication strategy fails



founder of the “linguistic turn,” Ferdinand de Saussure, said linguistics “never attempted to determine the nature of the object it was studying, and without this elementary operation a science cannot develop an appropriate method” (Saussure in Culler, 1986, p. 27). Saussure’s “elementary operation” helped shift language from subject (modernity) to object (postmodernity). Modernity used language as a tool to describe and represent the world; postmodernity examined how language—the tool of representation—plays a role in the continuous construction of the world.

During the linguistic turn, questions surrounding the structure of language, word-world relationships, and discursive meaning became primary. The hermeneutic tradition arose to prominence as a favorite methodological approach. The word “hermeneutics” roots back to the Greek *hermeneutikós*, meaning “related to explaining” in the sense of clarifying or rendering the obscure plain (Bauman, 1978, p. 7). In general, hermeneutics may be thought of as the art and science of interpretation. Modern hermeneutics dates back to the late 18th century with the work of Friedrich Ast and Friedrich Schleiermacher. The latter believed that interpretation proper always has two sides: one linguistic and the other psychological. For Schleiermacher, psychological interpretation focused on the mind of a particular communicator. In the words of Hans-Georg Gadamer:

Schleiermacher’s particular contribution is psychological interpretation. It is ultimately a divinatory process [from the French *deviner*, to guess or conjecture], a placing of oneself within the mind of the author, an apprehension of the ‘inner origin’ of the composition of a work, a recreation of the creative act. (Gadamer in Bauman, 1978, p. 29)

In this view, meaning comprehension comes, at least partly, from understanding aspects of the communicator’s psychological identity, th

Despite a rich intellectual history, the hermeneutic question remains that asks how psychological development or levels of awareness affect interpretation. The same developmentally advanced cognitive processing that created general systems theory (an exterior description of the functional process) also formulated structural semiotics (an interior investigation of the meaning process). Thomas Sebeok comments that “the subject matter of semiotics, it is often cited, is the exchange of any messages whatsoever—in a word, *communication*” (2001, p. 27). In the early 20th century, Ferdinand de Saussure gave a series of lectures now known as *Course in General Linguistics*, prompted by his dissatisfaction with the current state of linguistics (1959). Perhaps Saussure’s most enduring contribution is semiology—“a science that studies the life of signs within society” (Saussure, 1959, p. 16). Saussure, along with Charles Pierce, planted the theoretical foundation for modern linguistics by “circumscribing an autonomous field of inquiry which sought to understand the structures that undergird both the production and interpretation of signs” (Sebeok, 2001, p. 5).

In part one of his general principles, Saussure defines a sign as the combination of a mental concept (the signified) and a physical sound-image (the signifier) (1959, 67). A sign (signified + signifier) stands for an actual object, event, feeling, etc., known as the referent. The signifier is the written word, the spoken word, nonverbal communicative gestures, all physical so to speak. In contrast, the signified is the internal psychological concept that comes to mind upon experiencing the signifier. A simple example would be the written word “bird” (the signifier), the concept that arises upon reading “bird” (the signified), and the actual bird in nature being referred to (the referent).

In the case of signs, structural contexts determine subjective meaning. All meaning is context dependent. Even for a short phrase (“bark of a dog” and “bark of a tree”), meaning arises from the relationships among the words themselves, the total linguistic structure that holds each word in a meaningful place (Wilber, 1997, p. 102). Language, therefore, does not merely represent external objects as a “mirror of nature,” but rather plays a significant role in constructing reality. Vast networks of background contexts and cultural signs create meaning in intersubjective communities. Any integral model naturally embraces the postmodern notion of contextualism.

Saussure’s great insight that “a meaningless element becomes meaningful only by virtue of the total structure” helps to mark the beginnings of a wider intellectual movement called “structuralism” (Wilber, 2000a, 191; Milner, 1994; Hollinger, 1994). Structuralist thinking spans a wide array of disciplines from sociology (Karl Marx) to psychology (Jean Piaget) to anthropology (Claude Levi-Strauss) to cultural history (Foucault) to linguistics (Saussure) (DeGeorge and DeGeorge, 1972). Despite their disciplinary specialties, structuralists agree that an intimate connection exists between the whole and the part, the individual and the collective, the upper quadrants and the lower quadrants. Whole and part are inexorably linked (one definition of holon).

Saussure himself said, “To determine the exact place of semiology is the task of the psychologist” (1959, p. 16). Turning then to the most influential cognitive psychologist of the 20th century, Jean Piaget wrote in his book *Structuralism* that far from being fixed and rigid, “structure” simply means a self-organizing holistic pattern that develops (Wilber, 1999c, p. 4). In Piaget’s own words, “The notion of structure is comprised of three key ideas: the idea of wholeness, the idea of transformation, and the idea of self-

regulation” (Piaget in Wilber, 1999c, p. 4). Used in this way, the terms “structure” and “holon” are virtually synonymous (Wilber, 1999c, p. 5). Each structure maintains its own autonomous independence or agency (its individual wholeness) while simultaneously participating in relationship or communion (its collective partness) (Wilber, 2000b). Viewing any structure as only an autonomous agent or only a relational link would deny its holonic nature. All structures—from cognition (Piaget) to linguistics (Saussure) to worldviews (Graves)—exist as developing holons. Developmental psychographics include the evolutionary context of psychological structures. Effective communication and hermeneutic understanding, in many ways, hinge on these developmental dynamics as the next sections will attempt to demonstrate.

### **Semiotics of Spiral Dialectic**

In their article “Message to Desired Action: A Communication Effectiveness Model” in the *Journal of Communication Management*, David Therkelsen and Christina Fiebich emphasize the common sense notion that the intended meaning of a communication must be understood for the communication to be effective (2001). “It makes little difference that a message was sent through the right channel to a willing receiver if it is not understood” (2001). To be understood, they continue, a message must be directly expressed in the “sign” language of the receiving public.

Being direct means considering both the connotative [signified] and denotative [dictionary definition] meanings of the words and framing the message in the imagery and language of the target public. The practitioner will accomplish this in part through application of semiotic theories, and in particular will construct meaning, signs and symbols in ways that promote understanding of the message. . . . Practitioners must both understand the connotative meanings of signs and symbols according to the target public and apply them appropriately in order to communicate a message effectively. (Therkelsen and Fiebich, 2001)



To deliver an effective message, the communicator must understand and predict the target public's connotation or signification of the communicated sign, which necessarily entails a developmental component. The effective communicator must know the developmental psychographics of those with whom she communicates.

Someone's developmental psychograph reveals both the communication possibilities and impossibilities in any given moment. Maslow offers similar insights as to how psychological development sets certain communication parameters:

My general thesis is that many of the communication difficulties between persons

Recall that in semiology all signs possess an external, material signifier and an interior, mental signified. Also remember that every worldspace has its own phenomenologically real referents. While all those who have reached linguistic competence can share signifiers, only those who coexist within the worldspace of the referent and have experienced the referent can share signifieds. Some examples might help. A virgin could hear the word “sex” (the signifier) on television, but would not share the same signified as a non-virgin because the virgin has not had the experience of sex. When someone says the word “envy,” only those who have experienced the phenomenal state of envy will share the signified. Any literate person can read the words “square root of a negative one,” but only those who have developed to a formal operational cognitive capacity and studied mathematics can share the signified (Wilber, 1997, p. 314). A child with concrete operational cognition can read the sentence, “It is as if I were elsewhere,” but cannot fully understand the message’s intended signified because the concrete operational level of cognitive development, by definition, cannot grasp “as-if” statements (Wilber, 2000b, p. 279). The “as-if” statement surpasses the cognitive capacity of the receiver, a situation Kegan calls “over the head” (Kegan, 1994).

The sender and receiver of a communication must both experience the referent in its worldspace to share signifieds—head to head as it were. The worldspace where a referent resides could be a quadrant, level, line, state, and/or type. Of these elements, levels and lines tend to be the most underrepresented in the communication literature, which is why they will receive the most attention here (although all five elements are important). A sender and receiver must share in the meaning structure of the signified and that necessarily has a developmental component. In Wilber’s words:

*All signs exist in a continuum of developmental referents and developmental signifieds. The referent of a sign is not just lying around in “the” world waiting for any and all to simply look at it; the referent exists only in a worldspace that is itself only disclosed in the process of development, and the signified exists only in the interior perception of those who have developed to that worldspace (which structures the background interpretive meaning that allows the signified to emerge). (2000b, p. 280).*

Maslow puts the point this way, “The meaning of a message clearly depends not alone on its content, but also on the extent to which the personality is able to respond to it. The “higher” meaning is perceptible only to the ‘higher’ person. The taller he is, the more he can see” (1971, p. 167). In other words, effective communication as mutual understanding can occur if and only if all participants share developmental signifieds. If a member of a hermeneutic circle has not yet developed to the group’s referential worldspace, he has not experienced the referent, and, therefore, will not share developmental signifieds (Wilber, 1997, p. 315-316; Wilber, 2000b, p. 626). The next two sections put this integral view of semiotics to use.

### **Worldview Translation**

An integral communication strategy means taking quadrants, levels, lines, states, and types into account when engaging in purposeful communicative action. However, an integral strategy does not necessitate using every aspect of all five elements in every communication. Rather, it means skillfully choosing which elements to use given the context of a situation. I will focus primarily on four levels in the values line (Blue, Orange, Green, Yellow), since value systems or worldviews intimately relate to attitudes and behaviors as discussed in Chapter 4.

Each worldview level interprets the same message or signifier differently, since each level constructs and experiences a qualitatively different reality. If a message is framed in the value language of any first-tier value level (Blue, Orange, Green) it will

probably offend the others, since all first-tier value systems, by definition, consider their worldview to be the only acceptable one. Such conflict happens routinely, since the legitimacy of the entire worldview spiral remains unacknowledged in first tier.

“Worldviews can conflict only if they compete as accounts of the same ‘world’”

(Marshall, Griffioen, and Mouw, 1989, p. 12). Disagreement and conflict is inevitable when first-tier deems its worldview the only correct one.

Elizabeth Behnke understood this communicative pitfall in her essay on Jean Gebser presented at the “Symposium in Phenomenology and Hermeneutics” hosted by Ohio State University:

The paradigmatic force of a life-world [or level of consciousness] unrecognized as such by those who dwell in it—those who simply maneuver in it as the reality tacitly assumed in everyday affairs—is such that alternatives may be literally inconceivable. Thus seemingly incomprehensible blocks to communication may arise when two life-worlds, each a genuine and complete ‘reality’ in its own right, clash. (1982, p. 106)

An integral communicator predicts and avoids such clashes by constructing messages in the specific value language spoken and understood within the receiver’s developmental “life-world” or worldspace. Each worldview has its own value language, and effective communication occurs when both sides speak the same language. Failure to communicate at the value level of the receiver creates the dangerous possibility that the receiver will either not comprehend the message, resist the message, or massively misinterpret its intended meaning, which could lead to a “total breakdown” in communication (Ellis and McClintock, 1990, p. 16).

Integral communicators display an awareness of the evolving value spiral, knowing first-tier will react adversely to communications outside their value spectrum. To overcome this hurdle, they rely on a strategy I call *worldview translation*. Translate

means “to render in another language; to put into simpler terms; to express in different words; to change from one form, function, or state to another” (American Heritage, 2000). Worldview translation involves articulating a message within the acceptable developmental value parameters of the target audience.

Constructing messages at the developmental depth of the receiver (worldview translation) deserves to be included in any strategy seeking to maximize communication effectiveness. Integral maps help the communicator avoid speaking “over the head” (or below the head) of the intended public. Beck and Cowan begin this work by suggesting elements of appropriate message design for each value structure as listed in appendix D (1996, p. 334-335). The sender must first recognize the developmental psychographics of the target public and then construct a message in the “language” of that particular level. Wilber, for example, explains integral methodological pluralism using first Orange and then Green language. Orange language: “Any sort of Integral Methodological Pluralism allows the creation of a multi-purpose toolkit for approaching today’s complex problems—individually, socially, and globally—with more comprehensive solutions that have a chance of actually making a difference.” Now the same idea in Green language: “An Integral Methodological Pluralism allows a richer diversity of interpretations of life’s text to stand forth in a clearing of mutual regard, thus marginalizing no interpretation in the process” (Wilber, 2002a). A good translator knows multiple languages.

Consider this simple, horizontal metaphor: two people enter a room and wish to have a meaningful conversation. The first person speaks only English (unilingual). The second person speaks English in addition to her native language—Chinese (bilingual).

Two options exist: First, the unilingual person could learn Chinese. Second, the bilingual person could choose to speak English. The former option would be possible, but quite difficult. Learning a foreign language usually takes years of intense practice. The conversation would have to wait until the unilingual person has attained proficiency in Chinese and becomes a bilingual speaker. The latter option, in contrast, would be much easier. If the bilingual person has equal access to both languages, then—knowing the unilingual status of her partner—she could simply choose to speak English. The conversation could commence immediately. The bilingual speaker chooses to translate her ideas from Chinese into a language form or meaning structure that the unilingual speaker could understand, namely English. The same goes for worldview translation. Integral communicators—through their awareness of the vertical spiral—have the ability to translate messages into multiple value languages.

Suppose two people sit on a park bench wearing colored glasses, one with orange lenses and the other with green lenses. Both have no idea they are even wearing the glasses. Along strolls a Florida panther. The person wearing orange glasses angrily shakes his fist at the panther, “These pests are pushing my housing development business behind schedule. They’re driving down property values and costing my firm money!” With a look of horror, the person wearing green glasses exclaims, “Don’t you see? This is a Florida panther, one of the most endangered species in the world. Your housing projects ruin its natural habitat and threaten the biodiversity of Gaia. Where’s your heart?”

The conversation degenerates into hostility. Each person attempts to persuade the other of the panther’s true value implications. Both fail to acknowledge and honor the

other's colored interpretation. Experiencing different value implications (Orange vs. Green) from the same fact (the Florida panther), they talk past each other. This dynamic results in ineffective communication. Despite such a simple metaphor, one can begin to see how communication among two or more worldviews can rapidly deteriorate into misinterpretation, talking past one another, unresolved debate, or constrained disdain (tolerance).

Each person sees the "fact" of the panther with eyes already value-laden. They both see a panther, but one experiences an "Orange" panther and the other a "Green" panther. The colored value interpretation (Left Hand) occurs simultaneously with the experienced fact (Right Hand) as one seamless territory. No fact carries an inherent value imperative apart from the interpretive structure already operating within the observing mind. "Oughts" change depending on one's internal worldview, not the external "facts."

A third person—this time wearing yellow glasses—sits on the bench. This person knows she wears yellow glasses and understands the orange and green glasses worn by the others from prior experience. Nevertheless, she distinctly sees the Florida panther as yellow. In contrast to the other two, however, this person has the ability to take on multiple value perspectives. She knows what an orange panther and a green panther look like. Informed by the ability to put herself in the others' shoes, she realizes that attempting to persuade the other two of the yellow panther would be a futile effort. Hence, she carefully refrains from articulating her experience in yellow terms. Instead, she communicates her experience in orange terms to one and green terms to the other—languages they can each understand: "You know," looking to the person with orange

glasses, “sustainable building practices could increase the value of your houses, boost your profits, and keep environmentalists off your back.” Turning to the person with green glasses, “Since people do need this housing space, we could introduce ‘green building’ principles to help housing contractors work in harmony with the Earth, facilitating an ecological balance with people, natural resources, and wild animals.” Heads nod in agreement. The result: effective communication. From this space, a constructive dialogue begins.

The woman wearing yellow glasses, the integral communicator, naturally facilitates effective communication. She creates a win-win-win situation by communicating in two separate value structures that matched the respective depth of her receivers. Using language they each could understand, she explained how sustainable building could meet both of their value concerns. Only with an intimate understanding of alternative worldviews can such a translation strategy succeed.

### **Flatland Assumptions**

When Rene Dubos first urged people to “think globally” and “act locally,” many ecologists quickly jumped on board and communicated the message with an urgent passion (Brown, 1993, p. 15). Ecologists endorsed the slogan because it wonderfully captured their Green worldview. For Green, taking a more international or worldcentric perspective allows people to see inequalities and injustices being committed against other human beings and the Earth. Such a global perspective would presumably influence many local behavioral choices, helping to rectify the inequalities and injustices. Written in Green value language, the slogan “Think Globally, Act Locally” communicates extremely effectively to a Green audience or higher.



Unfortunately, the message passes over the heads of the more than 200 million Americans. Without considering developmental psychographics, the message becomes powerless and impotent for the vast majority of people. Why? *Because meaning exists in people, not messages.* A message is completely meaningless without a mind to interpret it. And as Alfred North Whitehead said, “Our interpretations of experience determine the limits of what we can do with the world” (Whitehead, 1933, p. 99). Green ecological communicators want more than what most interpreting minds can offer.

The message “Think Globally, Act Locally” makes at least two faulty psychographic assumptions. First, it assumes the audience possesses at least a formal operational cognitive processing ability, a relatively high level of cognitive development (Piaget and Inhelder, 1969, p. 132). Only then would a person be able to take an authentically global perspective, cognitively able to take the position of a third world laborer or a rainforest. Second, it assumes the audience has a Green level of value development or higher. Just because a person cognitively is able to take a global perspective, does not mean he will regard international human rights and biosphere preservation as important. Only at Green does universal care for the powerless begin to bloom. In short, the message will only be effective for an audience with at least a formal operational cognition and a Green value system (among other factors not mentioned). “Anybody can say they are thinking ‘globally,’ but very few can actually take a worldcentric or postconventional perspective. . . . To *actually* live from a worldcentric or universal perspective requires five or six major interior stages of transformation and transcendence” (Wilber, 1996, p. 273). When Green ecological communicators deliver messages in their own value language, Blue and Orange publics—which make up over

70% of the American population—are largely immune, resulting in extremely minimal behavioral and lifestyle changes.

A worldview translation strategy would translate ecological messages into Blue and Orange value language. Environmental messages for Blue might appropriate the biblical metaphor of man as the Earth’s caretaker. Communicators could appeal to Blue’s sense of discipline, obedience to authority, and subservience to tradition as a means of upholding the “righteous” cause of man’s ecological responsibility. Position ecological devastation as a greater national security threat than terrorism. The environmental crisis endangers one’s immediate group. Communicate that the future rewards will outweigh any present self-sacrifices and bring honor onto those who follow the morally binding principles of environmental sustainability. Communicators could even seal in the message with intimations of guilt, fear, and neglect of social duty if environmentally friendly behaviors are not followed.

An Orange environmental message would look quite different. Any Orange appeal to sustainable action must offer participants a competitive advantage if adopted, a return on investment. An Orange communication promises or outlines a new, fresh, and innovative way that business and ecology can fit together so they both win. Those with an Orange worldview will practice sustainability as a superior strategy to win and advance. The strategy outlined in *Natural Capitalism* and similar works captures this Orange motivation (Hawken, Lovins, and Lovins, 1999; McDonough and Braungart, 2002; Frankel, 1998; Gordon, 2001). For instance, Pamela Gordon writes, “The truth is that some businesses are saving millions or even billions of dollars each year by taking

environmental steps and dispelling the myth that you have to choose between profit and environment” (Gordon 2001, xi).

Worldview translation—one worldview communicating through the value structure of another worldview—is not a silver bullet that can magically change attitudes and behaviors. Nevertheless, the likelihood of influencing attitudes and behaviors increases when a strategy is integrally informed. In fact, such an integral communication strategy is already being quietly practiced around the world. The next chapter documents one such example in California.

## CHAPTER 7 APPLICATION—SUSTAINABLE BUILDING

### **Sustainable Development in Alameda County**

Located on the eastern shore of California's San Francisco Bay, Alameda County encompasses fourteen cities. Over 500,000 housing units spread out over Alameda County's 738 square miles of land, giving shelter to its 1.5 million citizens (Alameda, 2003). The county's growing population demands thousands of new housing units to be built and remodeled each year. Such continuous urban development noticeably influences the county's solid waste management. Trash generation has paralleled, and sometimes outpaced, population growth (ISLR, 2002).

Each year the United States experiences \$100 billion in new construction and \$126 billion in renovations. In 1996, 136 million tons of building-related construction and demolition debris were generated during the building process. This construction and demolition debris consists of wasted materials such as wood, asphalt, drywall, roofing, and metals. Of this debris, building demolitions account for 48%, renovations account for 44%, and construction sites generate 8% (Davis, 2001). Alameda County is included in these statistics. Five years ago, nearly a quarter million tons of construction debris were needlessly discarded into Alameda County landfills every year (Sommer, 2003).

Formed in 1976, the Alameda County Waste Management Authority (ACWMA) became responsible for ensuring adequate landfill capacity for the county. Soon, the agency began to explore alternatives to landfilling such as recycling. Then in 1989, California passed the toughest state waste management law in the country—The

Integrated Waste Management Act (AB939). This new law threatened stiff penalties and fines if every city and county in California did not reduce or divert 25% of its waste stream from disposal by the year 1995 and 50% by 2000 (ILSR, 2002).

One year later, the Alameda County voters approved an initiative that went even further. The 1990 Alameda County Waste Reduction and Recycling Initiative Charter Amendment (Measure D) set a long term waste diversion goal of 75% by 2010. The measure specifically called for “the establishment of sustainable discarded materials management practices” (ILSR, 2002). By 2000, Alameda County had accomplished the 50% reduction required under California law. Nevertheless, the ambitious reduction goal now sat at 75% and to reach it they needed help.

### **A Spiral Wizard**

Spiral Dynamics integral refers to Red, Blue, Orange, and Green as “first-tier” value systems, since they interpret the world exclusively through their respective value lenses. Yellow marks the “momentous leap to second-tier consciousness,” which involves an intuitive understanding of the evolving value spiral. Beck and Cowan call second-tier change agents “Spiral Wizards.” Although every value stage has its leaders, second-tier leaders mark an entirely new breed.

Spiral Wizards instinctively roam over vast mindscapes seeing patterns and connections others do not notice . . . . The process links functions, people, and ideas into new, more natural flows that add precision, flexibility, rapid response, humanity, and fun to getting the work done. That is the power of Second Tier thinking: constantly survey the whole while tinkering expertly with the parts. (Beck and Cowan, 1996, p. 107)

Alameda County found its Spiral Wizard in David Johnston. The Alameda County Waste Management Authority first contacted Johnston in 1998, seeking his expertise to

meet their 75% reduction quota, which they

ecosystem. Through good design, wise material selection, environmental management systems and careful construction, buildings can be built that minimize those impacts while enhancing the quality of life for the inhabitants” (Johnston, 2003b). Implementing environmentally sustainable construction on a mass scale requires “buy-in” from the diverse group of actors that compose the building market. Reflecting on his career, Johnston comments, “I’ve always been in the market transformation business one way or another” (2003a).

Beck and Cowan give seven identifying marks of a spiral wizard (1996, p. 108-113). Spiral wizards . . .

1. think in *open* systems rather than *closed* final states.
2. live and work within natural flows and rhythms.
3. strive to keep the entire spiral healthy as an ultimate goal.
4. interact comfortably with many conceptual worlds.
5. possess a full complement of resources, strategies, and skills.
6. are systemic thinkers and integrative problem solvers.
7. possess a unique blend of personal beliefs and values.

David Johnston exemplifies these attributes through his efforts to transform the building market in Alameda County.

### **All Quadrant Communication**

Johnston seeks no less than a 100% market transformation from conventional building to sustainable building. To accomplish this, he says, “we took a Yellow strategy of how to transform the market.” The next sections narrate some of the steps he took.

All quotes without a citation come from a phone interview I conducted with Johnston on November 21, 2003.

When the Alameda County Waste Management Authority hired Johnston, their ultimate aim was “to make the county more sustainable and self-sufficient and to reduce the burden that the building industry puts on the environment.” Environmentalists

usually approach such a goal from a Green value orientation. From such a limited, first-tier perspective, many well-meaning environmentalists actually work against authentic market transformation. They assume everyone shares similar ecological values (Upper-Left Quadrant); they build their own isolated “straw bale house off the grid” and hope others will follow their example (Upper-Right quadrant); they push for regulations and codes that force sustainable building onto the construction industry (Lower-Right quadrant); and they develop “consensus” without including the full range of stakeholders within the construction industry (Lower-Left quadrant) (Johnston, 2003d).

The waste management authority had already attempted two of these failed approaches: First, they instigated a voluntary construction waste incentive-based recycling program. As it was set-up, choosing to recycle demolition debris would increase the cost of construction without any direct financial advantage to the builder. Not surprisingly, the voluntary program gained virtually no traction and soon became a county ordinance. This second, legally-mandated approach met with tremendous resistance from the construction industry who ardently fought against it. “The recycling ordinance,” Johnston notes, “created a burden that had no net benefit to the builder—besides, recycling by itself is sort of like rearranging the chairs on the Titanic.”

Since neither the voluntary program nor the ordinances worked, the waste management authority thought that “if they helped to foster sustainable building in the Bay Area residential market, they could create incentives beyond the financial and regulatory.” Johnston explains, “Doing more with less, building more efficiently, reducing the waste, building more durable houses that require less maintenance, energy and water conservation are all inherent messages in sustainable building. It made a lot of



sense to the waste management authority to dovetail into existing programs and to expand the market awareness of all of these issues in conjunction with recycling.” Already, the waste management authority valued public education and outreach. They communicated their sustainability messages using phone hotlines, radio, television, posters, billboards, and school programs (ILSR, 2002). Johnston wanted to extend these already commendable public outreach efforts and increase their effectiveness with an integral strategy.

He proposed a plan to influence market forces and drive the adoption of sustainable building through conventional channels (Johnston, 2003d). He was after market transformation to a sustainability paradigm, characterized by a new set of injunctive practices used by the construction industry. In Johnston’s words, “Only by applying an integral systems approach to the market can real transformation occur. The final result is that market forces take over from the intervention strategies so that competition from builders, architects, and remodelers drives the subsequent evolution of the market and public policy support and subsidies are no longer needed” (Johnston, 2001). The building market, like most economic markets, is complex. Internal and external factors interact in individual and collective dimensions. The integral approach offers a comprehensive map of the business market, helping change-agents uncover, organize, and understand the intricate dynamics influencing market transformation.

All stakeholders are interconnected in the market, each influencing the others. In sustainable building, market stakeholders include the waste management authority, realtors, remodelers, product suppliers, developers/contractors, builders, homebuyers, government officials, and more. As Johnston explains, market change requires a “pod of

intelligence” within each stakeholder group that meets that group’s specific value interests (Johnston, 2001). Ideally, a coordinated balance will occur between a high demand for sustainable building and the supply. Demand increases when consumers become more aware of sustainable building and remodeling options. To meet this new demand, the traditional supply side (architects, remodelers, etc.) needs further education and training. Market intelligence grows as supply increases to meet competition and the increased presence of actual sustainable buildings educates more of the buying public. Internal and external factors cyclically interpenetrate each other, creating quadratic market expansion. However, if either the demand or supply side falls out of balance, “consumers are frustrated and professionals find no market for their services” (Johnston, 2001).

Facilitating such a balanced coordination of market forces requires “all quadrant, all level” engagement (Johnston, 2001).

home building (Johnston, 2003c). In distributing this literature, Johnston sought “to create guidelines that the industry felt they had some ownership of and made sense to them from the standpoint of how they did business.” To create industry buy-in, he organized “development teams” composed of stakeholders representing the groups who would actually use the guidelines such as local developers, city planners, architects, builders, contractors, and government building inspectors. All these representatives had a small hand in shaping the guidelines, which created a sense of ownership. “We put their names in front of the booklet, hooked their Red, and made them mini heroes.” Johnston goes on to explain his strategy of “incremental ownership” in simple AQAL terms: “Getting their Left Hand buy-in was key to changing what they did on the Right Hand side.”

Johnston knew that the guidelines would be effective only if they were more than a mere Right Hand checklist of physical sustainability features as the waste management authority originally proposed. The finished guidelines consider both Hands. On the Right, it gives detailed how-to instructions that show exactly how sustainable building methods and materials can be applied. Subjects in this section include “exterior finish, plumbing, electrical, appliances, insulation, windows, renewable energy, roofing, indoor air quality, flooring, natural heating and cooling” (Johnston, 2003c). On the Left, it gives “the fundamental objectives and benefits of sustainable building” (Johnston, 2003c). Johnston regards this part as vital: “Benefits are key. Sustainable building is all about accumulating benefits for homebuyers in a tangible way so they can see their self-interest being served by paying a little more for a sustainable home. My intuition and my acumen is to identify where that self-interest lies as quickly as possible.”

There's even a chapter on how to sell sustainable homes through effective communication. Builders get the message that, "if they are successful in communicating the benefits to their buyers, then they will create a unique market niche that differentiates themselves from their competition." This section gives builders and realtors a variety of benefits and advantages that address a spectrum of value orientations.

The guidelines proved to be immensely popular. Thousands of guidelines were distributed across the county. While the waste management authority prided themselves on a job well done, Johnston argued that the job had only begun. He created an implementation strategy that would extend the momentum initiated by the guidelines. Johnston strategically identified every major group that influenced how the residential market delivered a home to a buyer, from initial permit acceptance through final building inspection.

Here's a simplified version of the implementation strategy—Upper-right quadrant (exterior-individual): "physically building, buying, and selling sustainable homes." Lower-right quadrant (exterior-collective): media publicity, marketing assistance, demonstration homes, technical support. Lower-left quadrant (interior-collective): group workshops, greening corporate culture, "hero making." Upper-left quadrant (interior-individual): speakers bureau, public presentations, professional training. The integral, all quadrant map proves essential in Johnston's market transformation strategy of communicative action.

### **All Level Communication**

The first vision statement of the Alameda County Waste Management Authority reads, "The Agency is a national leader in pursuing effective solutions that reduce the waste of material and other natural resources. Leadership requires innovative ideas,

advanced technology, proactive policy development, *effective communication* and heightened visibility for the Agency and its programs” (emphasis added) (ACWMA, 2003). Integral communication through worldview translation provides the approach that allows the waste management authority to reach and coordinate among numerous conflicting value systems. It gives them the necessary communication tools to lead effectively.

Communicating in an integrally informed manner brings a deeper awareness, understanding, and compassion to the interaction. For instance, since a Yellow awareness views all value stages as legitimate, it can freely move among them, engage them on their own terms, and speak to them in their own languages. Or as Beck and Cowan put it, “Yellow is ‘flexible’ in that it can enter the conceptual worlds of the first six systems and interact with them on their frequencies, speaking their psychological languages” (1996, p. 277).

According to Johnston, “we each hold a set of values or basic motivations that determine our behavior and decisions. If the benefits of sustainable building are translated into language that is understood by people holding different sets of values, the communication is more effective” (Johnston, 2001). Here Johnston describes worldview translation, the process of intentionally phrasing a core message within the acceptable value spectrum of the intended receiver. “Communication translation started from the beginning in defining how we speak to the various stakeholders groups.” Beck and Cowan give a short list of these languages in appendix D, which Johnston adapted into specific translation protocols for sustainable building:

- **Red**—personal expression, self-reliance (off the grid), straw bale construction

- **Blue**—our town, our company, our organization, sustainable building is the “right thing” to do, homes are more durable
- **Orange**—market differentiation, greater profits, real estate appreciation, status symbol
- **Green**—environmental health, saving old growth forests, recycled content products, supporting environmental companies
- **Yellow**—trim-tab effectiveness of programs and market transformation, voting for planetary health by being a sustainable consumer, providing for the future

Johnston created educational and training programs for each market stakeholder based on value orientation and “presents the same fundamental information but translates it differently based on the value orientation of the audience.” Johnston, like a good Spiral Wizard, “resists putting everybody through the same training and development ‘car wash’ since value [systems] exist in their own self-contained worlds requiring their own instructional packages” (Beck and Cowan, 1996, p. 111).

But how does one know the value orientation of a target audience? Practically speaking, an integral communicator will rarely have the time or resources to administer formal psychographic evaluations such as “The Values Test” (Beck, 2002c). In all likelihood, in-depth interviews or focus groups will also be out of the question. “Observing behaviors,” Johnston says, “certainly helps, but it doesn’t get to internal motivations.” An integral communicator, it seems, mostly relies on experience, strategic questions, and intuition to designate value groups. Johnston trusts his experience working within the building industry to tell him the general value orientations of the major stakeholders. At the beginning of his interactive presentations, he immediately feels out the audience by “finding out what kind of construction they do, why they do what they do, and how they do what they do.” Or the declarative tactic: “I make leading statements and watch who nods.” This method of psychographic segmentation requires

trusting subtle intuitions initiated by data from each quadrant. Of course, this process would prove extremely difficult for a communicator who has yet to reach at least a Yellow value awareness.

Johnston recounts numerous examples of integral communication from his work experiences. For instance, remodelers tend to be “the Red renegades of the construction industry.” Since they refuse to work for someone else, they each have their own small construction company where they call the shots. Working in a virtual vacuum with little collaboration, these remodelers enjoy being on their own and doing things their way. Yet Johnston also maintains that many remodelers simultaneously understand the Green, world-centric goals behind sustainable development. This “strange brew” of Red and Green nicely fits Wilber’s description of “Boomeritis” (Wilber, 2002b). Johnston sums up his Boomeritis strategy in a sentence, “We worked through the Blue of their trade association, giving them Orange tools for doing better business, in Red language so they could get it, and did all that by teaching them how to build Green.” Johnston teaches a sustainable remodeling certification class through a local chapter of The National Association of the Remodeling Industry (NARI), and has officially certified over one hundred remodelers.

Blue language works best when addressing building inspectors and most city officials. Johnston recommends messages that stress “why this is good for the city; why this is a health and safety issue; why this is fundamental to how buildings should be built in the community.” In short, address why sustainable building benefits the group by using the group’s own principles. Stress family values, stability, and security. Elected

officials will listen when sustainable building is presented as a win-win situation where the politician can score votes with constituents through promoting a healthier community.

New home builders exhibit Orange drives towards achievement. Financial success through selling homes acts as a prime motivator. An integral communicator discussing sustainable development with an Orange builder would want to emphasize these benefits (Bay, 2003a):

- *Meet consumer demand*—increase marketability and enhance the bottom line.
- *Keep up with the competition*—sustainable building continues to grow and the industry's early adopters will reap the most benefits.
- *Get media coverage and other publicity*—the public relations opportunities unique to sustainable building will help introduce your company to potential clients.
- *Save money*—reusing, deconstructing, or recycling demolition debris will result in lower disposal costs and tax savings.

Simply put, “we build the business case for Orange in very tangible, return-on-investment kinds of language.” Johnston cites an Orange magazine add that reads, “Pump Up Healthier Profits with Healthier Homes” (Johnston, 2003d). He often uses Orange's distaste for regulations and familiarity with competition as motivations for sustainable building. “I tell builders, ‘Do you really want the city telling you how to build houses? Get on the bandwagon now. You're used to competing; you're used to doing business your way. So adopt sustainable building in your company now. Position yourself as an industry leader and get ahead of the code so it won't bother you.’ They listen to that.”

The above examples of worldview translation feature audiences with clear value centers-of-gravity, but how should one address a rainbow audience that spans many value orientations? Don Beck suggests one handy technique called the “Five Ps,” a heuristic device that designates five value hit-points. Each “P” represents a worldview: *Power*



(Red), *Principle* (Blue), *Profit* (Orange), *People* (Green), *Planet* (Yellow). If a communicator hits these Five Ps in a presentation, she should resonate with the entire audience.

Johnston tells of a presentation he gave in September 2003. The meeting included all the major stakeholders—elected officials from eight cities and two counties, building and developer representatives, and a host of others. Most had never met each other, let alone worked together. Johnston describes it as “one of these make or break situations. We had to score with this meeting to move forward with our sustainability goals. We needed buy-in across counties and jurisdictions.” And he only had fifteen minutes to pull it off.

“The presentation,” Johnston recalls, “was the most intricately threaded integral communication I’ve ever given.” The room held all the major worldviews, from the egocentric, “Don’t tell me how to build my house damn it!” to the worldcentric, “How can construction practices best help the planet?” First, he quickly went around the room, asking strategic questions such as “who are you; what do you do; why are you here; why are you interested.” Then he spoke “very directly, eyeball to eyeball” to each value subset about sustainable building from their perspective until he received “an unconscious nod.” By the end of the meeting, he literally had 100% buy-in from the group. After the meeting participants commented, “Now I get it! Now our company/city really has a reason to move forward. We now see the value in doing this.” Johnston succeeded by using worldview translation and the Five Ps, two techniques of integral communication.

Marketing to new homebuyers also calls for these techniques. Homebuyers span a variety of value orientations, which requires a Five P marketing strategy. Consider the following marketing communication intended for potential homeowners (Bay, 2003b):

- *Financial Savings*—save up to 65% on electricity and water bills
- *More Comfort*—natural sun exposure, ambient temperature, aesthetic design
- *Healthier Living*—eliminate indoor air pollution and enhance indoor air quality
- *Less Maintenance and Higher Durability*—quality materials exceed building code requirements
- *Know You're Being Good to the Environment*—preserve natural resources, be socially responsible

Approaching the benefits of sustainable building with the Five Ps ensures that no critical buyer motivation will be left out. “If you can build a home that’s healthier for their children and their community, that requires less maintenance and saves them money every month, and kills no old growth trees, then sustainable building starts to make sense to buyers.”

### **“It’s Working Like a Champ”**

“The whole point is to work up and down the spiral in effective ways that help everybody see what’s in it for them in language and in ways that they can implement immediately. We’re translating the same information everyplace, over and over, back and forth, in whatever color the particular audience is at. If we can speak these value languages we’re going to be much more effective in accomplishing our bottom-right hand goals than if we just tell them they ought to be doing it.”

A program manager at the waste management authority refers to Johnston’s strategy as “that color thing you do.” Though initially skeptical, she can’t deny the results. After Johnston’s training, she finds audiences more receptive to her program messages and accomplishes her work goals more effectively. Johnston agrees, “the

integral strategy works so well that we've gotten more mileage in less time than any comparable program in the country. . . it's working like a champ."

Over 1,000 sustainable homes in Alameda County have been build using the guidelines that Johnston put together. The city of Livermore had the distinction of building the nation's first zero-energy home, which "puts as much energy into the electric grid as it takes out" (Tate, 2002). Johnston seized the opportunity to strike-up a healthy competition among cities. After lengthy discussions in a neighboring city, Pleasanton, Johnston obtained the reaction he was after, "Well, if they can do it in Livermore, then we can certainly do it in Pleasanton. Not only will we build zero-energy homes in our town, but we're going to make all buildings sustainable." *Now all building in Pleasanton follows the Waste Management Authority's Green Guidelines.* Currently four other cities in East Alameda County are poised to follow suite. A Tri-valley Commission meets regularly to coordinate sustainable building programs. Also, a new organization—Bay Area Build It Green—aims to apply Alameda County's strategy to the entire Bay Area.

In 2002, the Alameda County Waste Management Authority—along with Nike and Kinko's—received a stewardship award from the National Recycling Coalition (NRC). Kate Krebs, the NRC's executive director, praised the award recipients: "These honorees are established leaders in their fields and they are using their leadership positions to positively influence others. With innovation and attention to detail, they are using waste prevention and recycling to create sustainable communities and economies" (NRC, 2002). NRC specifically acknowledged the agency's leadership in "forging productive partnerships among elected officials, public agencies, recyclers, waste haulers, and the nonprofit sector" (NRC, 2002).

Although his name rarely appears in the public media, David Johnston has been quietly working behind the scenes to orchestrate a market transformation in the Golden State and beyond. The momentum continues to swing towards sustainability. He did it by combining the intuition of the spiral wizard with the integral operating system of AQAL. “The integral approach has been fundamental to what we’ve been doing out there. We’re using it on a day to day basis, audience after audience, so that each person hears a way that sustainable building can benefit him or her.”

## CHAPTER 8 TRANSFORMATION AND THE COMMUNICATOR

### **Trans-Disciplinary Discourse**

Picture three well-intentioned professionals sitting down to discuss their respective disciplines. Soon into the conversation the doctor refers to “keratoderma blennorrhagicum,” the artist mentions “dadaism,” and the business executive references “amortization.” The conversation rapidly turns stale. Cross-disciplinary learning ceases to move forward, and the accusation of incommensurability begins to appear palpable. Despite this caricature, the technical language inherent in academic disciplines often prevents a common workspace from emerging. To be healthy and effective, a hermeneutic circle needs a shared intersubjective space amidst individual differences, a unity-in-diversity.

Sharing a common map or framework can help create the internal-collective workspace necessary for a fruitful discursive community. More simply, when disciplines share the same map, they can communicate with greater ease. The problem with previous maps is their inability to encompass all areas of human inquiry. Consequently, not all disciplines could use them. The integral map would now like to have a shot.

A practitioner of discipline can be integrally informed. A politician, nurse, or professional communicator can all incorporate integral awareness. Likewise, integral methodological pluralism and the AQAL meta-model apply not only to communication. The various theories and methods of psychology, for example, can be linked in an

integral psychology (Wilber, 1999a), just as integral business brings together the many theories and methods of business (Paulson, 2002).

Sharing an integral framework promotes *cross-disciplinary* learning through *trans-disciplinary* discourse. In other words, disciplines can meaningfully learn from other disciplines by using a language beyond all disciplines. The vocabulary of AQAL (i.e., “lower-left quadrant,” “holon,” “the Big Three”) forms a new meta-language. Hence, AQAL language is trans-disciplinary or beyond any one particular area of study. Another way to say “AQAL language” could be “integral communication.”

Because [the integral framework] can be used by any discipline—from medicine to art to business to spirituality to politics to ecology—then we can, for the first time in history, begin an extensive and fruitful dialogue between all of these disciplines. A person using [the integral framework] in business can talk easily and effectively with a person using [the integral framework] in poetry, dance, or the arts, simply because they now have a common language . . . with which to communicate. (I-I, 2003)

When using integral communication, members of different disciplines create an intersubjective space for effective cross-disciplinary exchange to occur. With integral communication, a new order of hermeneutic circle emerges—an integral learning community.

Disciplines within an integral learning community not only seek out new integral applications in their own fields, but they also talk with and learn from one another. For example, they not only ask, “How can I effectively learn and practice Integral Ecology,” but also “what can Integral Ecology learn from Integral Psychology? And what can Integral Psychology learn from Integral Law? And what can Integral Law learn from Integral Art” (I-I, 2004)? The Integral Institute—home to the first integral learning community—reports on the importance of cross-disciplinary learning through integral communication: “In the first years of Integral Institute, we have been amazed at how

much of this type of [cross-disciplinary] learning occurs. Crucial principles of Integral Business have actually come from Integral Art; major breakthroughs in Integral Ecology have come from Integral Psychology” (I-I, 2004). Cross-disciplinary learning through trans-disciplinary or integral communication facilitates the growth of all participating disciplines. Through this dialogue, an integral communication theorist may come to realize that a worldview translation strategy is not enough given the gravity of problems facing contemporary civilization.

### **Language for Growth**

Within the integral learning community, integral ecology and other disciplines suggest the need not only for an integral communication strategy of worldview *translation*, but also one that catalyzes worldview *transformation*. Recall that “people are not born wanting to take care of Gaia [Earth]. That noble state of global care is the product of a long and laborious and difficult process of growth and transcendence” (Wilber, 1996, p. 320). As Chapter 5 expressed, value systems evolve from egocentric (preconventional) to ethnocentric (conventional) to worldcentric (postconventional), and only this third developmental level cares about the global commons.

It is only at a global, postconventional, worldcentric stance that individuals can recognize the actual dimensions of the environmental crisis, and, more importantly, possess the moral vision and moral fortitude to proceed on a global basis. Obviously, then, a significant number of individuals must reach a postconventional and worldcentric level of development in order to be a significant force in global care. (Wilber, 1996, p. 329)

In other words, collective internal development is vital to resolving ecological (and political and social) problems. While a worldview translation strategy creates messages at the depth level of the receiver, a worldview transformation strategy communicates with the intent of prompting internal development within the receiver.

Jean Piaget uses two terms that help explain the difference: assimilation and accommodation. The process of assimilation involves a “filtering or modification” of a new input so it fits into already-existing internal structures (Piaget and Barbel, 1969, p. 6). When a person assimilates a new phenomenon, she experiences and interprets it through her old, pre-existing internal lenses. She sees only what her internal structures allow her to understand. As Piaget puts it, assimilation “brings the new into the known and thus reduces the universe to its own terms” (1952, p. 6). Worldview translation works by Piaget’s assimilation principle. A communication is intentionally given in the value language of the target audience, thus easing the process of message assimilation by matching the audience’s current value structure. Worldview translation does not attempt to facilitate internal growth in people, but aims rather to meet and honor people exactly where they are developmentally.

In contrast to adapting a communication to fit pre-existing internal structures, accommodation implies “the modification of internal schemes” to fit a communication (Piaget and Barbel, 1969, p. 6). One’s internal structure changes, adjusts, or develops to accommodate an experience that cannot assimilate or fit into the previous structure. In a worldview transformation strategy, communication promotes structural accommodation. The strategy uses language for growth. Habermas also recognizes the relationship between communication and development. “Through reflection on the communication process, Habermas believes it is not only possible to circumvent temporary barriers to human interaction but to effect a permanent advance in human evolution” (Wuthnow, Hunter, Bergesen, 1984, p. 184). Indeed, language can act as “a tool, transforming a



customary mental or social arrangement into a form that increases the possibility of transformational learning” (Kegan and Lahey, 2001, p. 7).

Before embarking on any worldview accommodation strategy, the integral communicator must carefully gauge the potential for change in a designated receiver or audience. People cycle through many *states* of openness towards change. Thus, at any given moment “all people are not equally open to, capable of, or prepared for change” (Beck and Cowan, 1996, p. 76). Spiral Dynamics gives three primary states: Open, Arrested, and Closed. The more Open a person is, the greater potential she has for transforming towards deeper value level functioning. Someone in an Arrested state lacks insight into her psychological barriers and merely copes with the difficulties of the *status quo*. A person in a Closed state exhibits an inflexibility to other viewpoints, a frenzied defense of her value system, and a strong resistance to change. Discerning one’s state of Openness will save the integral communicator much time and energy. A worldview accommodation strategy will be worthwhile only if the intended receiver already exhibits an Open or at least an Arrested state. Or as Clare Graves sums it up, “If he purrs, continue; if he growls, back off” (Graves in Beck and Cowan, 1996, p. 103).

### **Worldview Accommodation Strategy**

Suppose one hears a purr. To see how such a worldview accommodation strategy might work, let’s follow the reasoning of Robert Kegan, who views developmental transformation as “the process by which the whole (‘how I am’) becomes gradually a part (‘how I was’) of a new whole (‘how I am now’)” (1994, p. 43). In other words, development occurs in a holarchy of wholes becoming parts of greater wholes, subjects becoming the objects of more expanded subjects. Authentic transformation changes not only “what” one thinks and “what” one values, but more importantly “how” one thinks

and “how” one values. The change is a structural growth. Referring to the cognitive line, Kegan says, “transforming our epistemologies, liberating ourselves from that in which we were embedded, making what was subject into object so that we can ‘have it’ rather than ‘be had’ by it—this is the most powerful way I know to conceptualize the growth of the mind” (1994, p. 34).

The first goal of a worldview transformation strategy, then, is to help the receiver—through communicative action—to see her current value structure. Articulating deeply held values of what is most important helps a person see her worldview as an object so she has it rather than it having her. Each level resists transformation by assimilating, interpreting, or rationalizing all “other level” messages. Kegan and Lahey call this a person’s “dynamic equilibrium” or “immune system” that maintains the *status quo* (2001, p. 59). Understanding how a current worldview manufactures nonchange helps increase the possibility for change. If successful, this first step begins “the movement of our meaning making from a place where we are its captive to a place where we can look at it, reexamine it, and possibly alter it” (Kegan and Lahey, 2001, p. 76).

The strategy does not end with helping someone see her current value system and dynamic equilibrium. Step two attempts to incite a critical examination and questioning of the current value system. The word “legitimacy” implies stability. Habermas uses the word in reference to advanced capitalist societies to mean that “there are good arguments for a political order’s claim to be recognized as right and just” (1979, p. 178). A “legitimation crisis,” in contrast, signals a break down in the system, an inability of the current order to justify its continuing dominance (Habermas, 1975). Only if exclusive identification with the current level dies, can identity with a new level be born.

Communication must disrupt a person's immune system and cause a mental emergency—a personal legitimization crisis. “To bring about real change,” say Kegan and Lahey, “we must disturb the balance, not merely look at it” (2001, p. 66). An integral communicator might instigate a personal legitimization crisis in the receiver by dialectically uncovering problems, contradictions, and uncertainties within the receiver's current value system. Ideally, this second step helps the receiver come to see fundamental shortcomings in her current value system.

After the receiver's value system becomes transparent (step one) and a worldview legitimization crisis begins (step two), the integral communicator prepares for step three: the bridge communication. At step three, the integral communicator offers a possible way out of the legitimization crisis. She skillfully articulates how the next value level might answer the problems and confusions uncovered in step two, thus prompting an accommodation to the higher level. Such a bridge communication must navigate a narrow linguistic space, neither under, at, nor too much over the head of the receiver.

Accommodation, and thus the attainment of [higher] more stable structures, is most apt to occur when the new information is only slightly discrepant from current structures. Information that exactly matches current structures can be assimilated into those structures, and information that is too different from what [one] already knows is likely to be either distorted or ignored. (Bjorklund, 2000, p. 79)

L.S. Vygotsky might put the point another way in saying that a successful bridge communication should occur within a person's “zone of proximal development,” the space between her developmental actuality and her immediate developmental potential (1935, p. 86).

A bridge communication links the inadequacies of the previous level with the benefits of the next level. Beck notes some general transitional factors that might be included in bridge communications at each level (2003):



communication strategy. A vast number of factors and influences coalesce to promote transformation in a human being (Wilber, 1999a). Communication is but one of these many factors. Nevertheless, the influence, however small, that communication exerts on a person or audience's development makes the strategy a worthwhile endeavor.

### **Pedagogical Reconstruction**

An educational curriculum might be thought of as a long-term plan, a feasible space for transformational learning. No educational program can produce integral communicators by horizontal or translational learning alone. Memorizing academic models, learning research methods, and reading about communication tactics—the norm for most university communication departments—focuses primarily on external techniques and ignores internal transformation. Only an educational curriculum that includes the internal psychological development of its students can truly “teach” integral communication.

To the disdain of communication academics, communication practitioners rely largely on their “seat-of-the-pants” intuition. One's intuition is governed, at least in part, by one's developmental psychograph. If a job is psychographically “over the head” of the communicator, then the number of models, theories, research methods, or tactics the communicator has memorized will make little difference and the communicator will not be effective at the job. To put the matter bluntly, a professional communicator relies just as much on *who she is* than on *what she knows*. The current educational curriculum focuses exclusively on the latter. An integral curriculum would include both.

Integral communication educators face a great responsibility. As previously expressed, developmental lines grow unevenly. A student's psychograph could indicate an extremely high cognitive development and an extremely low moral or value

development. If educators present integral communication strategies as reified IT objects, then such a student might cognitively grasp the conceptual strategies and use them for manipulative, egocentric ends. Any tool can be misused in this way. The twentieth century lends much evidence of high level, Right Hand artifacts abused by low level, Left Hand moral consciousness. To guard against such misuse, integral educators must open a space for the “what” *and* the “who” of their students to develop. As Wilber would put it, “We don’t just need a map; we need ways to change the mapmaker” (2000c, p. 55). To actualize the intentions of an integral communication strategy, the practitioner must actually embody a postconventional self-sense, a second-tier center-of-gravity, an integral value awareness. Only then can high cognitive understanding combine with high value intuition to produce authentic integral change-agents.

A transformational learning curriculum designed for integral communication would welcome some kind of “integral practice” (IP) (Murphy, 1992; Murphy and Leonard, 1995; Wilber, 2000c). An integral practice would give students a curricular vehicle for internal development. As the reader knows, “integral” means complete, whole, essential, full, comprehensive, covering all the bases. The integral vision pushes educators to consider all the areas in which students can grow. A “practice” entails some sort of habitual action, repeated custom, or regular exercise. Intention also is associated with a practice. A person engages a practice for a purpose—integral transformation in the case of IP.

Thus, an integral practice may be viewed as habitual activities that open a space for developmental growth in multiple areas simultaneously. Michael Murphy further points out that an IP must adapt to a person’s unique developmental psychograph.

The need for flexibility is especially pronounced if our aim is integral transformation. A multidimensional approach requires methods adapted to each of its practitioner's shortcomings, strengths, and stage of growth. For that reason there can be no single or 'right' kind of integral [practice] with a universally applicable and strictly specified set of techniques. (Murphy, 1992, p. 579).

I would add that each integral discipline (ecology, medicine, business, and so on) must also create an IP that suits its particular needs, a specific IP that enhances the developmental lines most relevant to that discipline. Doing so will be a task for all integral disciplines, including integral communication. Although the details of an IP designed specifically for integral communication will not be articulated here, it will be a necessary part of future pedagogical reconstruction.

Only an educational curriculum that embraces both the internal and external development of its students can hope to advance an integral awareness. An integral curriculum ("We") cares and cultivates *who* the student is ("I"), not merely *what* the student knows ("It"). In other words, the integral curriculum includes interior psychological learning in addition to exterior fact and research learning. Jean Gebser, the genius of reconstructive inner history, knew the importance of both.

The mutations [or worldview levels] are an awakening of consciousness, and their 'history' as we have presented it is a contribution toward the understanding of this awakening of consciousness. This history makes us aware of the vitality and plenitude with which these structures function. To live these structures together, commensurate with their respective degrees of conscious awareness, is to approach an integrated, integral life. And there can be no doubt that our knowledge of the particular structure from which a specific event, reaction, attitude, or judgement originates will be of aide in clarifying our lives. (Gebser, 1985, p. 272)

A second-tier or integral level of awareness (or higher) would allow students to enact the same paradigm as David Johnston through their own intuition. Yes, AQAL maps help. But without an integral consciousness to accompany them, they loose much of their effectiveness. The pedagogical goal, then, is for students to communicate naturally at an

integral level of competence. “A global map is one thing. A mapmaker capable of living up to it, quite another” (Wilber, 1996, p. 157).

Some critics might respond by saying that the expectations of an integral communication are too high: Academics must be equally proficient at every communication theory and research method. Practitioners must use every quadrant, level, line, state, and type in every message. Students must attain the highest levels in every developmental line. Such hyperbolic claims, of course, miss the point entirely. Integration allows academics to see and learn from the entire playing field while still specializing in a specific theory or method. AQAL expands the practitioner’s toolbox so she can better choose which communication techniques work best given a specific situation. An integral curriculum gives communication students the chance to strengthen the specific psychological lines most relevant to their future careers. The partial truth in this critique, however, recognizes that integral communication does indeed raise the bar. The integral project pushes all disciplines to evolve beyond their current status, knowing that growth invites higher order opportunities in addition to higher order problems.

### **The Basic Communicative Intuition**

A postmodern consciousness has infiltrated the university classroom more than the executive boardroom. The gap between theory and practice in professional communication is a developmental gap. Contemporary communication scholars tend to advocate Green strategies (i.e., James Grunig’s two-way symmetrical), while communication practitioners tend to rely on Orange strategies (i.e., one-way asymmetrical) (Grunig, 2001). As cultural worldviews continue to evolve, these trends will surely change with theory staying well ahead of mainstream practice.



Carl Frankel gives a brief history of the value systems behind professional communication practitioners (1994). Referring to the private sector, Frankel traces two dominate corporate personas in the context of shifting value structures. The first, he calls the “Generalissimo,” which dates back to the “robber baron” era of the late 19th and early 20th century. “Arrogant and willful, the Generalissimo lets power speak for itself. At most, he (and it most assuredly is a he!) gives only token explanations for his behavior. As befits a dictator, he dictates: why should a Generalissimo bother to negotiate or explain?” (Frankel, 1994, p. 24). Frankel’s Generalissimo closely parallels what Spiral Dynamics describes as the impulsive, egocentric, and exploitative value system of Red.

The other major corporate persona—the one that dominates most mainstream corporations today—Frankel names “John Wayne.” Although not as blatantly arrogant as the Generalissimo, John Wayne still exhibits macho tendencies like wanting to win and be the best. John Wayne corporations communicate the impression of being self-assured, self-contained, and stand-alone. The Duke lives in a cowboy worldview, “a frontier where it’s every man for himself,” an individualistic and competitive environment (Frankel, 1994, p. 24). Such organizations divulge very little to the public, placing high regard on privacy. “John Wayne may sometimes seem to show his cards but he never really does. John Wayne communications are typically respectful, couched in the rhetoric of fairness—and selfish in the sense that they flow from a narrowly defined concept of self-interest” (Frankel, 1994, p. 24). John Wayne, of course, embodies the Orange level of values development in Spiral Dynamics.

Frankel, sensing the ever-present Eros of cultural change, realizes that the modern era that bred John Wayne is passing. As he phrases it, “The Duke has mounted his horse

and is riding off into the sunset” (Frankel, 1998, p. 64). The definition of “self-interest” is expanding from egocentric to ethnocentric to worldcentric. Frankel declares:

A new model of virtue and integrity—call it Green-Person—is starting to take hold culturally. . . . The time has come for corporate communicators to bring their communications and the values and attitudes underlying them more into line with the times, they must push for a transition in their corporations’ personas from John Wayne [Orange] to Green-Person. (Frankel, 1994, p. 25)

According to Frankel, Green-Person communication places a heightened emphasis on collaboration, consensus building, openness, sharing, partnership, trust, and community. Although most corporations have yet to reach a Green center-of-gravity, the general direction, says Frankel, is unmistakable. He concludes by saying that communication practitioners of the John Wayne orientation must struggle to “break the frame” or to transform towards a Green orientation.

Just as postmodern ideas preceded widespread Green communication practices, so here do integral ideas precede widespread Yellow communication practices. As more communication practitioners shift to Green strategies, I predict an increasing number of communication theorists will leap ahead once again to begin work on the next major transition to Yellow. From the lens of second-tier, the Generalissimo is not wrong—that’s just how the Red level communicates. John Wayne is not wrong—that’s just how the Orange level communicates. The Green-Person is not wrong either—that’s just how the Green level communicates. An integral awareness acknowledges, respects, and honors the way every level communicates. Yellow understands that each level expresses its depth in the best way it can.

Following Wilber’s lead (2002b, p. 640), I would like to conclude by proposing that all levels of human growth follow a Basic Communicative Intuition (BCI):

*communicate the greatest depth to the greatest span.* Koestler originally defined “depth”

as the number of nested levels in a holon and “span” as the number of holons on any given level (1967). Every communicator speaks from a multitude of depth levels determined by his or her developmental lines (i.e., emotional depth, moral depth, cognitive depth, self-sense depth, value depth). When a communicator attempts to “communicate the greatest depth to the greatest span” she tries to convey the highest level in all her lines so the most people understand. Concerning value depth, for example, Blue might communicate to convert religious believers; Orange expresses the joys of free-market capitalism and scientific progress; and Green speaks out for diversity and equal rights. Although the messages are quite different, the Basic Communicative Intuition behind them is the same.

Second-tier communicators naturally use integral communication to fulfill the identical BCI. The integral communicator breaks out of the single-level value language that designates all first-tier communicators. Yellow, for the first time, can talk with the entire first-tier spiral in its own value languages. *The integral communicator opens up a semiotic space where greater depth action messages can penetrate lower depth value consciousness.* Integral communication allows the depth of second-tier consciousness and higher to touch the greatest span possible.

Finally, the BCI directly expresses itself in the Big Three. Every I communicates its depth to a We and that communication has some affect on the world (It). Behind every communication exists an intuition or desire to communicate the depth of I to the span of We in relation to an objective state of affairs (It). Each depth level communicates its unique sincerity (I), legitimacy (We), and truth (It). To end, Wilber beautifully articulates the Basic Communicative Intuition that exists within us all.

All of those for whom authentic transformation has deeply unseated their souls must, I believe, wrestle with the profound moral obligation to shout from the heart—perhaps quietly and gently, with tears of reluctance; perhaps with fierce fire and angry wisdom; perhaps with slow and careful analysis; perhaps by unshakable public example—but authenticity always and absolutely carries a demand and duty: you must speak out, to the best of your ability . . .

Alas, if you fail to do so, you are betraying your own authenticity. . . . Because, you see, the alarming fact is that any realization of depth carries a terrible burden: Those who are allowed to see are simultaneously saddled with the obligation to communicate that vision in no uncertain terms: that is the bargain. . . . Speak out with compassion, or speak out with angry wisdom, or speak out with skillful means, but speak out you must.

And this is truly a terrible burden, a horrible burden, because in any case there is no room for timidity. The fact that you might be wrong is simply no excuse: You might be right in your communication, and you might be wrong, but that doesn't matter. What does matter, as Kierkegaard so rudely reminded us, is that only by investing and speaking your vision with passion, can the truth, one way or another, finally penetrate the reluctance of the world. If you are right, or if you are wrong, it is only your passion that will force either to be discovered. It is your duty to promote that discovery and therefore it is your duty to speak your truth with whatever passion and courage you can find in your heart. (Wilber, 2000a, p. 311-312)

APPENDIX A  
THE SPIRAL DYNAMICS INTEGRAL MODEL  
“FOUR QUADRANTS, EIGHT LEVELS”

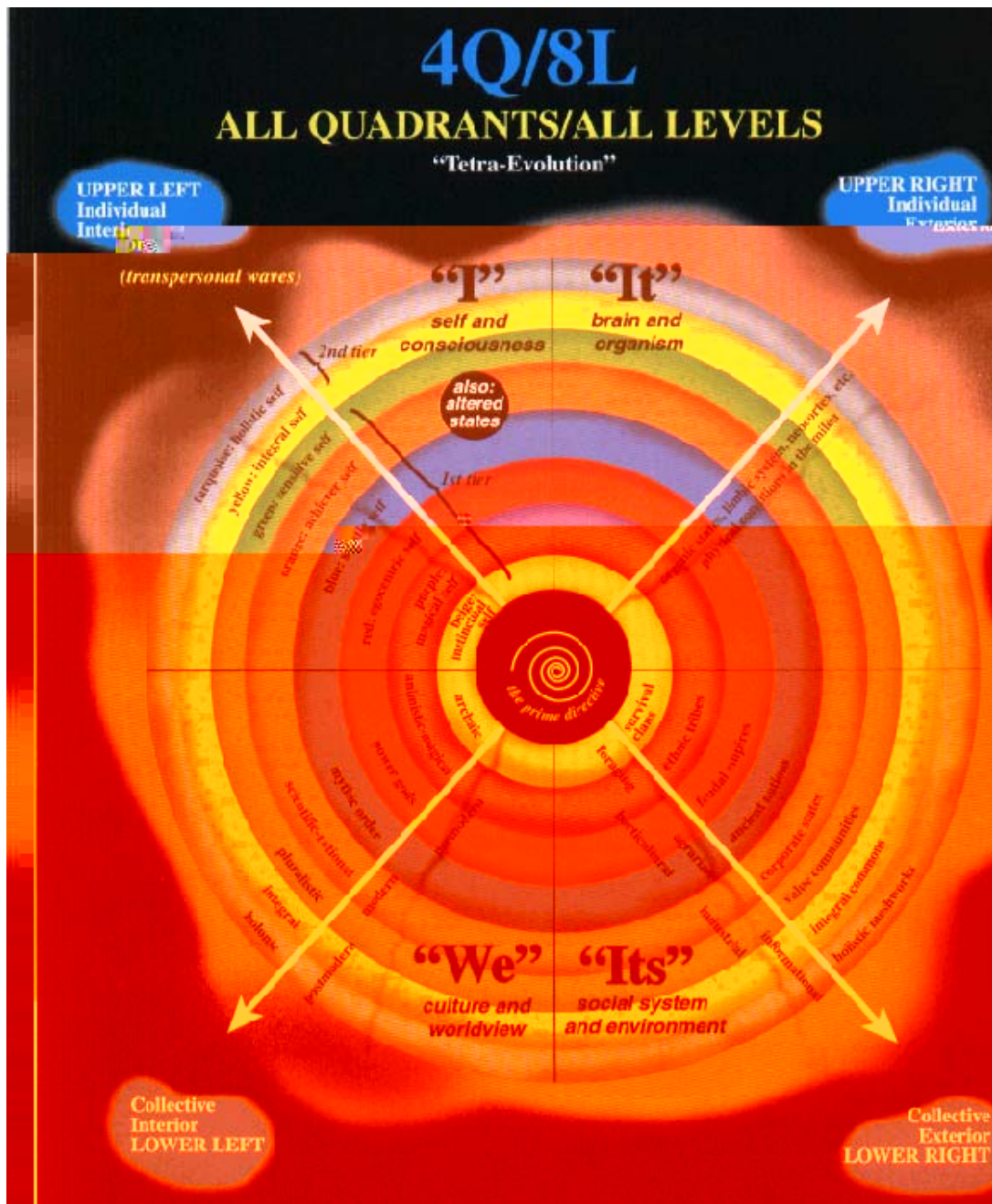


Figure A-1. Spiral Dynamics Integral Model

APPENDIX B  
THE EIGHT SPIRAL DYNAMICS LEVELS  
OF INDIVIDUAL, ORGANIZATIONAL, AND CULTURAL  
WORLDVIEW DEVELOPMENT

**BEIGE ‘Survivalistic’**

*Basic theme:* Do what you must just to stay alive.

Characteristic beliefs and actions:

- Uses instincts and habits just to survive
- Distinct self is barely awakened or sustained
- Food, Water, Warmth, Sex, and Safety have priority
- Forms into survival bands to perpetuate life

Approximately 0.1 percent of the world population, 0 percent of the power

**PURPLE ‘Magical’**

*Basic theme:* Keep the spirits happy and the ‘tribe’s’ nest warm and safe.

Characteristic beliefs and actions:

- Obey the desires of spirit beings and mystical signs
- Show allegiance to chief, elders, ancestors, and the clan
- Preserve sacred objects, places, events, and memories
- Observe rites of passage, seasonal cycles, and tribal customs

Approximately 10 percent of the world population, 1 percent of the power

**RED ‘Impulsive’**

*Basic theme:* Be what you are and do what you want, regardless.

Characteristic beliefs and actions:

- The world is a jungle full of threats and predators
- Breaks free from any domination or constraint to please self as self desires
- Stands tall, expects attention, demands respect, and calls the shots
- Enjoys self to the fullest right now without guilt or remorse

- Conquers, out-foxes, and dominates other aggressive characters

Approximately 20 percent of the world population, 5 percent of the power

### **BLUE ‘Purposeful’**

*Basic theme:* Life has meaning, direction, and purpose with predetermined outcomes.

Characteristic beliefs and actions:

- One sacrifices self to the transcendent Cause, Truth, or righteous Pathway
- The Order enforces a code of conduct based on eternal, absolute principles
- Righteous living produces stability now and guarantees future reward
- Impulsivity is controlled through guilt; everybody has their proper place
- Laws, regulations, and discipline build character and moral fiber

Approximately 40 percent of the world population, 30 percent of the power

### **ORANGE ‘Achievist’**

*Basic theme:* Act in your own self-interest by playing the game to win.

Characteristic beliefs and actions:

- Change and advancement are inherent within the scheme of things
- Progress by learning nature’s secrets and seeking out best solutions
- Manipulate Earth’s resources to create and spread the abundant good life
- Optimistic, risk-taking, and self-reliant people deserve their success
- Societies prosper through strategy, technology, and competitiveness

Approximately 30 percent of the world population, 50 percent of the power

### **GREEN ‘Communitarian’**

*Basic theme:* Seek peace within the inner self and explore, with others, the caring dimensions of community.

Characteristic beliefs and actions:

- The human spirit must be freed from greed, dogma, and divisiveness
- Feelings, sensitivity, and caring supersede cold rationality
- Spread the Earth’s resources and opportunities equally among all
- Reach decisions through reconciliation and consensus processes
- Refresh spirituality, bring harmony, and enrich human development

Approximately 10 percent of the world population, 15 percent of the power

### **YELLOW ‘Integrative’**

*Basic theme:* Live fully and responsibly as what you are and learn to become.

Characteristic beliefs and actions:

- Life is a kaleidoscope of natural hierarchies, systems, and forms
- The magnificence of existence is valued over material possessions
- Flexibility, spontaneity, and functionality have the highest priority
- Knowledge and competency should supersede rank, power, status
- Differences can be integrated into interdependent, natural flows

Approximately 1 percent of the world population, 5 percent of the power

### **Turquoise ‘Holistic’**

*Basic theme:* Experiences the wholeness of existence through mind and spirit.

Characteristic beliefs and actions:

- The world is a single, dynamic organism with its own collective mind
- Self is both distinct and a blended part of a larger, compassionate whole
- Everything connects to everything else in ecological alignments
- Energy and information permeate the Earth’s total environment
- Holistic, intuitive thinking and cooperative actions are to be expected

Approximately 0.1 percent of the world population, 1 percent of the power



APPENDIX C  
COMMON ATTITUDES OF FOUR VALUE SYSTEMS

**Attitudes of the Blue Worldview  
From the 1990-1991 and 1995-1998  
World Values Surveys**

- God is very important in respondent's life.
- It is more important for a child to learn obedience and religious faith than independence and determination.
- Abortion is never justifiable.
- Respondent has strong sense of national pride.
- Respondent favors more respect for authority.
- Religion is very important in respondent's life.
- Respondent believes in Heaven.
- One of respondent's main goals in life has been to make his/her parents proud.
- Respondent believes in Hell.
- Respondent attends church regularly.
- Respondent has a great deal of confidence in the country's churches.
- Respondent gets comfort and strength from religion.
- Respondent describes self as 'a religious person.'
- Euthanasia is never justifiable.
- Work is very important in respondent's life.
- There should be stricter limits on selling foreign goods here.
- Suicide is never justifiable.

- Parents' duty is to do their best for their

x

**Attitudes of the Orange Worldview  
(Ray and Anderson, 2000, 27-28)**

- Making or having a lot of money
- Climbing the ladder of success with measurable steps towards one's goals
- Looking good or being stylish
- When the going gets tough, the tough go shopping
- Having lots of choices (as a consumer, as a voter, or on the job)
- Being on top of the latest trends, styles, and innovations (as consumer or on the job)
- Supporting economic and technological progress at the national level
- Rejecting the values and concerns of native peoples, rural people, Traditionals, New Agers, religious mystics
- It's flaky to be concerned about your inner or spiritual life
- You have a right to be entertained by the media
- Your body is pretty much like a machine
- Most organizations lend themselves to machine analogies
- Either big business knows best, or big government knows best
- Bigger is better
- Time is money
- What gets measured gets done
- Setting goals is very important and effective, and so are measures of goal attainment
- Analyzing things into their parts is the best way to solve problems
- Science and engineering are the models for truth
- Being "in control" is a top priority at work
- Efficiency and speed are top priorities
- The mainstream media's awe for and sense of importance of the very

**Attitudes of the Green Worldview  
(Ray and Anderson, 2000, p. 29)**

- Want to rebuild neighborhoods/communities
- Fear violence against women and children
- Like what is foreign and exotic
- See nature as sacred
- Hold general pro-environmental values
- Believe in ecological sustainability
- Believe in voluntary simplicity
- Believe relationships are important
- Believes [financial] success is not a high priority
- Are profeminist in work
- Are not concerned about job prospects
- Are altruistic (help others, volunteer)
- Are idealistic
- Believe in religious mysteries
- Are self-actualizing
- Are not financially materialistic
- What to be an activist
- Do not have financial problems
- Combine spiritual and psychological development
- Are not cynical about politics
- Are optimistic about future
- Want more creative time for themselves
- Believe in holistic health

**Attitudes of the Yellow Worldview  
(Beck and Cowan, 1996, p. 281-182)**

A person with a Yellow worldview . . .

- is disinclined to spend much energy on perfunctory niceties unless they are important to others present
- will not waste time on interpersonal gamesmanship or pointless interpretations or contrived layers of meaning or semantic trivia
- values good content, clean information, open channels for finding out more on their own terms, and an attitude of open questioning and discovery
- favors appropriate technology, minimal consumption, and a deliberate effort to avoid waste and clutter
- has no need for status, exhibitionism, or displays of power unless power is demanded by the life conditions
- enjoys human appetites but does not become a compulsive slave to any of them
- is concerned with the long run of time rather than his or her own life span or those of other humans
- fully expresses anger, or even hostility, but the emotions are intellectually used rather than emotionally driven or manipulatively applied
- sees life as an up-and-down journey from problem to solution, so both chaos and order are accepted as normal
- replaces anything artificial or contrived with spontaneity, simplicity, and ethics that 'make sense'
- seeks after a variety of interests and will elect to do what he or she likes whether or not it is trendy, popular, or valued by others
- cannot be coerced, bribed, or intimidated since there is no compulsion to control or desire to be controlled by others
- will run the gamut of being gentle or ruthless, a conformist or nonconformist, based on the factors involved in a circumstance and the overall interests of life itself
- locates his or her core motivational and evaluative systems within his- or herself, thus becoming relatively immune to external pressure or judgment

APPENDIX D  
WORLDVIEW TRANSLATION WITH SPIRAL DYNAMICS

**Message Construction for Beige**

- Biologic senses—touch, taste, smell, see, hear
- Physical contact rather than symbols

**Message Construction for Purple**

- Traditional rites, rituals, ceremonies
- Includes mystical elements and superstitions
- Appeals to extended family, harmony and safety
- Recognizes blood-bonds, the folk, group
- Familiar metaphors, drawings, and emblems

**Message Construction for Red**

- Demonstrate ‘What’s in it for me, now?’
- Offer ‘Immediate gratification if . . .’
- Challenges and appeals to machismo/strength
- Heroic status and legendary potential
- Flashy, to-the-point, unambiguous, strong
- Simple language and fiery images/graphics

**Message Construction for Blue**

- Duty, honor, country images of discipline
- Self-sacrifice for higher cause and purpose
- Appeal to traditions and established norms
- Use class-consciousness and knowing one’s place
- Propriety, righteousness, and responsibilities
- Insure future rewards and delayed gratification
- Assuage guilt with correct consequences

### **Message Construction for Orange**

- Appeal to competitive advantage and leverage
- Success motivations and achieving abundance
- Bigger, better, newer, faster, more popular
- Citations of experts and selected authorities
- Experimental data and tried-and-true experience
- Profit, productivity, quality, results, win
- Demonstrate as best of several options

### **Message Construction for Green**

- Enhance belonging, sharing, harmony of groups
- Sensitive to human issues and care for others
- Expand awareness and understanding of inner self
- Symbols of equity, humanity, and bonding
- Gentle language along with nature imagery
- Build trust, openness, exploration, passages
- Real people and authentic emotional displays

### **Message Construction for Yellow**

- Interactive, relevant media, self-accessible
- Functional 'lean' information without fluff
- The facts, the feelings, and the instincts
- Big picture, total systems, integration
- Connect data across fields for holistic view
- Adapt, mesh, blend, access, sense, gather
- Self-connecting to systems and others usefully

### **Message Construction for Turquoise**

- Multidimensional chunks of insight
- Use multi-tiered consciousness to access
- Renewed spirituality and sacrifice to whole
- Ecological interdependency and interconnections
- Macro (global) solutions to macro problems
- Community beyond nationalities or partisanship
- High-tech and high-touch for experiential knowing

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Adam Leonard was born in Madison, Wisconsin in 1978. He graduated from Dr. Phillips High School in Orlando, Florida in 1997. He then moved to Washington, D.C. to earn a Bachelor of Science degree in foreign service from Georgetown University in 2001. During Adam's undergraduate years, he also studied abroad at the University of Edinburgh Scotland; and the University of London.

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