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The Critical Factors of Coaching Practice Leading to Successful Coaching Outcomes

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DEDICATION

This dissertation is dedicated to my parents, Marjorie and George Solander and to my children, Lance and Katie Marshall.

Dad, thank you for leading the way for me in a "life well lived". You have always been and continue to be a beacon of light for me as I journey on my path.

Mom, thank you for your continued support of all my endeavors. Your persistence, your tenacity, and your spirit of hope helped me to prevail on those days when I wanted to give up.

Katie and Lance, you are the lights of my life. Thank you for the endless joy that you bring to my life. May all your journeys be as richly rewarding as this one has been for me.

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Abstract

The purpose of this study was to identify the critical aspects in coaching outcomes as

perceived by experienced coaches in the United States in both business and life coaching

settings. Nineteen coaches provided a total of 109 critical incidents that led the client to the

coaching process. Six dimensions of coaching emerged from the coding process; personal

philosophies of coaching, coach functions, the coaching process, breakdown and success factors,

precipitating factors and outcomes of coaching. A model was constructed to depict the

relationship of the dimensions to one another. The personal philosophy of the coach influenced

every other dimension. The coach functions were separated from the coaching process as they

were interwoven throughout the coaching process and influenced the coaching process along

with personal philosophies. The coaching process influenced factors of breakdown and success

as did personal philosophies and coach functions. Factors that led to unsuccessful outcomes or

breakdowns in coaching were therapeutic issues, coach/client mismatch, a lack of a willingness

or ability to take action and make commitments, unrealistic expectations, lack of depth and flow

in the coaching process, and negative mindsets that could not be shifted. Conversely, factors

that led to successful coaching outcomes were the client connection, unconditional positive

regard, the coach selection process, establishing a strong connection between coach and client,

client accountability, openness and motivation. The tacit knowledge of the coach became an

integral component of the study as coaches related the incidents of success and lack of success as

coaches engaged in a coaching process that reflected their personal theories and perspectives.

These theories could often be related back to foundational theories of coaching such as client-

centered therapy, transformational learning, systems theory, and adult development theories and

had become a source of tacit knowledge for study participants. The unplanned or unexpected

outcomes revealed the impact of coaching on the whole person or system. Coaches reported that

as clients gained successes in one area of their lives, improvement in other areas was also

experienced. The electronic version of the dissertation is accessible at the Ohiolink ETD center

http://www.ohiolink.edu/etd/.

CHAPTER ONE: INTRODUCTION

Coaching as a professional field of practice continues to expand and increase in popularity with both organizations and the general public. The reasons for the recent rapid growth vary. "People come to coaching because they want a better quality of life; more fulfillment, better balance, or a different process for accomplishing their life desires" (Whitworth et al., 2003, p 1). For some, coaching provides an exploration towards a deeper sense of purpose and meaning in their lives. "The goal of coaching is not in fixing what is broken, but in discovering new talents and new ways to use old talents that lead to far greater effectiveness" (Goldsmith et al., 2000). Still others want an authentic partnership with an individual who is willing to provide an honest appraisal of their life experiences so that they can maximize current abilities and develop new capabilities. Crane (2002) suggests that "A coach acts as a guide by challenging and supporting people in achieving their personal and organizational performance objectives" (p. 31). Tobias (1996) maintains that coaching is more aligned with the activities of personal training: "the coach helps the individual maintain a consistent, confident focus on tuning up strengths and managing shortcomings" (p. 87) Edwards (2003) provides one of the most comprehensive summaries of the purpose of coaching: it facilitates learning rather than teaching, provides a conduit for and places emphasis on unlocking potential and maximizing performance and assigns ownership of outcomes to the client. This dissertation is about the incidents which lead people to choose coaching as a process for change. It also examines the coaching process from the perspective of expert practitioners in the field so that factors leading to successful outcomes can be described.

History of Coaching

The professional practice of coaching is a fairly new field with roots that can be traced back through the psychological, management, sport and education literature. In the literature, organizational consulting and coaching have the strongest historical connection to one another. (Flaherty, 1999; Garmen et al., 1999; Hall et al., 1999; Hudson, 1999; Kilburg, 2000; Zeus et al., 2002). Tobias (1996) suggests that coaching began to emerge in the workplace around the late 1980's and was driven by the need to intervene in problem behaviors without using terminology that appeared to link the consultation with counseling and/or therapy. Grant (2002) notes that research on coaching can be traced back to 1958 when it was discussed with respect to psychological consultations aimed at improving the performance of executives. Harris (1999) separates coaching into 3 periods: early stage (1950-1979) represented by a few coaches blending organizational development and psychological practices; the middle period (1980-1994) that ushered in efforts of standardization and professionalism as psychologists began to explore ways to expand their practices when faced with restrictions of managed care; and recent times (1995-present) that are marked by an explosion of publications and the founding of professional coaching organizations.

The Definition of Coaching

Despite a plethora of publications on coaching from "how to manuals" to theoretical models, there is no unified theory or model to guide the training or practice of practitioners. Several groups have attempted to define coaching in efforts to bring some common understanding to the field. Kilburg's (2000) definition reflects his background and primary alignment with executive coaching. He defines coaching as:

> A helping relationship formed between a client who has managerial authority and
> responsibility in an organization and a consultant who uses a variety of behavioral

techniques and methods to assist the client achieve a mutually identified set of goals to improve his or her professional performance and persona satisfaction and consequently to improve the effectiveness of the client's organization within a formally defined coaching agreement. (p. 65)

Continuing to focus on defining executive coaching, Stern (2004) has proposed the following

definition:

Executive coaching is an experiential, individualized, leadership development process that builds a leader's capability to achieve short and long-term organizational goals. It is conducted through one-on-one interactions, driven by data from multiple perspectives, and based on mutual trust and respect. The organization, an executive, and the executive coach work in partnership to achieve maximum learning and impact. (p.19)

The International Coach Federation (ICF 2005) has attempted to be more inclusive of the

complex coaching world defining coaching as follows:

Coaching is an interactive process that helps individuals and organizations to develop more rapidly and produce more satisfying results. Coaches work with clients in all areas including business, career, finances, health and relationships. As a result of coaching, clients set better goals, take more action, make better decisions, and more fully use their natural strengths.

Finally, Grant (2002) suggests that a comprehensive definition for life coaching is:

Personal or life coaching is a collaborative solution-focused, results-oriented systematic process, used with normal, non-clinical populations, in which the coach facilitates the enhancement of the client's life experience and performance in various domains (as determined by the client), and fosters the self-directed learning and personal growth of the client. (p. 20)

Common threads that run through all of the definitions include: relationship, process, one-on-

one, learning, setting goals, taking action and enhancing experiences and/or performance. Use of

a common agreed-upon language and a definition that encompasses the complexity of the

coaching process yet honors the flexibility in achieving coaching results are critical to the

progression of the field. (Stober and Grant, 2006)

Coaching Foundation Theories

Coaches come to coaching from a variety of backgrounds including psychology, business, education, law, social work, and ministry: this results in a "melting pot" of theories that underpin the coaching process and practice. The sheer number of these theories and their varying perspectives creates an emerging field that is difficult to define, ungrounded in the empirical development of competencies and coaching practices, and sporadic in evaluative outcomes. While practitioners want to maintain autonomy with regard to how they practice the art and science of coaching (ICF, 2003), the field is striving for an agreed-upon set of practices from which to build theory and the competencies.

A critical element in discussion of theory is the recognition that coaching is generally practiced in alignment with the theory that undergirds a person's educational or employment background prior to becoming a coach. Given the multiple disciplines that inform coaching practices, it is logical that varying competencies also emerge from these differing perspectives. Adding to the diversity in backgrounds is the perspective of the individual coach training program, some presenting their own theoretical foundations while others do not. A coach generally approaches practice from the perspective of lineage or tradition in their specific coach training program.   For example, the Flaherty (1999) model is based upon Wilbur's integral psychology (the integration of all fields of psychology) work and does not align with a specific coaching technique. Thomas Leonard (1998), the founder of Coach U, suggests strategies and practical actions to improve one's life that would be more connected with a behavioralistic approach. Therefore practices will vary, especially at the language level, and are based upon the theory informed by one's background. The issue of one's foundational theory and practices that are derived from that theory contribute heavily to the complexity of the field of coaching. It is

also one of the key issues that will have to be resolved as the field unites towards

"professionalizing" because it is the very thing that creates tension among coaches, coach

training programs, certifying bodies, and researchers.

   Consistent practices aligned with theoretical frameworks serve to legitimize professions.

Because the field of coaching borrows from a number of traditions to inform the practice of

coaching, the field could benefit from a distillation and integration of theory development

aligned with practice. In order to understand the theoretical frameworks that undergird the

coaching profession, Table 1 illustrates many of those frameworks currently in use by coaches,

providing the framework and theorist. A discussion of each theory and some of their relevant

approaches follows Table 1.

Table 1.

*Theories Informing Current Coaching Practice*_____

Theory	Theorist
Adult Learning	Knowles
Transformational Learning	Mezirow
Psychodynamic	Freud
Behavioral	Skinner
Social	Lewin
Constructive Developmental	Kegan
Humanistic	Rogers
Theory of Change	Prochaska, et al.
Intended Change Theory	Boyatzis
Motivational Change	Miller and Rollnick

Organizational Development and Learning	Senge
Process Change	Schein
Chaos Theory	Wheatley
Complex Adaptive Systems	Stacey
Integral Psychology	Wilbur

Adult Learning

Knowledge of adult learning tenets is foundational to coaching because learning is an important component of the coaching process. Adults learn differently from children, yet due to expediency and cost, adult learning most frequently occurs in a classroom setting, mirroring the experience of children. Merriam (2001) and Cranton (1994) maintain that adult learning is distinguished by building upon an independent self-concept that allows for direction of learning. Adults also accumulate and respond to a plethora of life experiences that inform and provide resources for learning. In addition adults associate learning needs with changing social roles and they have a problem-centered focus and an interest in immediate application of learning. Adults are internally rather than externally motivated and prefer voluntary and participatory learning experiences.   Knowing these distinctions is a prerequisite for understanding how to work with adults. Coaches need to be able to build upon the self-directed nature and the problem-centered focus of the adult learner. Adults have to be able to integrate what has been assimilated in discussions with the coach and to experiment away from coaching sessions, then return to sessions to discuss results. Effective coaching strategies and coaching assignments that respect the client as bringing his or her own resources and experiences to the process for joint work between the coach and client can produce dramatic results. If lacking a basic understanding of

the premises that guide the adult learner, a coach may choose strategies that are ineffective in or may even thwart client change processes.

Transformational Learning

Many coaches and clients find the coaching experience to be transformational (Bush, 2003; Gonzalez, 2004; Hurd, 2004). Advanced by Mezirow (1991), transformational learning theory asserts the following about learning: leads to empowerment; is not something outside of the individual but rather is created from interpretations and reinterpretations of new experiences; learning is a process that includes reflection and "reflective discourse"; and learning enables adults to make meaning from life's experiences (Merriam, 2001; Mezirow, 1991, 2000). Mezirow suggests that a component of the transformative learning experience is that of the "disorienting dilemma." When one experiences an event that causes a reflection about and then a choice between two separate deeply owned values, one has a dilemma. Values clarification processes are frequently used in coaching practices. Coaches who are able to identify these dilemmas can be instrumental in assisting clients in the exploration of value systems and the beliefs associated with those systems in order to design actions that resolve the conflict. Boyatzis and McKee (2005) call these dilemmas "wake-up calls"- subtle or big changes unplanned in the individual's life. A coach's ability to recognize these events as integrated into the fabric of their clients' lives combined with acknowledgement of their contribution to decision making is paramount in helping move the client towards a goal.

Psychological Theories

Psychological theories from behaviorism to psychoanalysis and from moral development to adult development inform the practices of many coaches. Many psychological theories embrace the perspectives that coaches should seek to do the following: identify the unconscious forces

that guides one's life; assimilate archetypes into everyday coaching practices; use mental practices to change thinking and perspectives; apply a humanistic choice-centered approach to coaching practices; identifying the level of consciousness being expressed; structure strategies based upon stage of development, and embrace the clients self-actualization needs.

Behavioral psychology emphasizes interest in environmental influences on behavior. Coaches with this background and experiences hold the view that behavioral modifications are most effective in producing change ; therefore they often use positive reinforcement, conditioning, biofeedback, extinction procedures and modeling in their coaching practices. These strategies can be extremely useful when the client is attempting to change a health behavior or overcome behavioral issues but can also be limiting if they exclude a consideration of the whole person thus eliminating a host of factors that can influence individual behaviors.

Constructive-developmental psychology is also relevant to adult learning, interpersonal relationship and transformation (e.g. Kegan's (1994) work in adult development). This theory suggests that individuals make meaning about their world, understand their world, and interact with their world based upon specific stages of adult development. Specific strategies for coaching can be more or less successful depending upon the individual's stage of development. A full understanding of adult development provides the coach with a foundational knowledge that results in matching strategies with stages of development and honors the client's capability to take actions.

Positive change strategies can be found in both humanistic psychology and positive psychology. Stober (2006) offers that coaching and humanistic psychology share similar paradigms regarding the self-actualization of the individual with coaching focusing on strategies that move the client towards choice and growth. An additional link can be found around

collaboration as both coaching and humanistic psychology have collaboration as foundational to their respective processes. Happiness is important to human beings and many clients choose coaching as a pathway to finding more life satisfaction or fulfillment. Building on the work of Peterson and Seligman (2004) and Csikszentmihalyi (1997), Kauffman (2006) outlines the direct connection between positive psychology and coaching honoring the fundamental belief in the possibility that humans can develop, improve and grow. Coaches who engage the principals of positive psychology envision strategies for affirming these principles and assist clients to create more fulfilling and empowered lives.

Many of the coaching competencies identified later in this chapter such as building trust and intimacy, active listening, asking powerful questions, and creating awareness, are based upon psychological theories and psychological approaches to guiding the client back to psychological health. As each coach chooses strategies based upon an understanding of the principles that guide their choices combined with resonance to the specific psychological paradigm and best suited for the client, outcomes can be more readily achieved.

Theories of Change

Understanding how people navigate through change is central to the coaching process. Three theorists, Prochaska (1994), Boyatzis (2005) and Miller and Rollnick (2002), contribute an in-depth view of individual change that can be applied within the coaching relationship. Prochaska's theory of change has been used in several coaching studies (Grant, 2003; Moore & Highstein, 2004). For Prochaska, behavior change includes the variables of the stage of change an individual is in, the decisional balance index, the ability for self-efficacy (including a relapse-prevention plan), and the processes of change. Strategies for application of coaching process are dependent upon the stage of change the client currently inhabits. For example a person in a pre-

contemplative stage might need to explore resources and more information regarding the

anticipated change while a person who is in the action stage would be setting goals to achieve

change.

   Suggesting that personal transformation can be directed through a series of "discoveries,"

Boyatzis and MeKee (2005) identified a cycle for change based upon their research. The cycle

involves the following phases: a) exploring your ideal self or your personal vision: b) identifying

your real self in how you are seen by others: c) building a learning agenda that capitalizes on

strengths: d) practicing new habits and developing and practices: e) maintaining resonant

relationships that reinforce this intended change. Boyatzis's "intended change theory" maintains

that individuals who manage their own development intentionally are positioned to make better

choices and create strategies to live more effective and satisfied lives. As with Prochaska's

(1994) model, assessing the client's position within this cycle creates distinctions for strategy

selection for maximal impact of the coaching process.

   Motivational interviewing developed by Miller and Rollnick (2002) is a collaborative,

evocative and self-directed process that emphasizes the client as ultimately responsible for

making and sustaining change. It involves the application of four basic principals, expressing

empathy, developing discrepancy, rolling with resistance, and supporting self-efficacy. The

authors contend that motivational interviewing is most effectively applied when it is interwoven

into the change process by the coach after having assessed where the client is on the continuum

of change. Although these three authors discussed to this point build upon other areas of

psychological theory, they specifically target the change efforts of clients- which is one of the

main reasons individuals hire coaches: to help with a behavior change.

No discussion of change theory would be complete without a review of Lewin's Three-Step Model of Change (Burnes, 2004). The essence of the model is that both individuals and groups proceed through three different stages in making change: unfreezing, moving and refreezing. In the first stage, unfreezing, behavior is believed to be maintained in equilibrium within the individual or group through driving and restraining forces. Acting upon one of the forces would result in unfreezing. Schein (1996) contends that three processes occur in this stage: disconfirmation or frustration with one's life circumstances, feelings of survival anxiety and the creating of psychological safety, the latter of these shifting the individual or group into the second stage. In the movement stage, individuals and groups identify new behaviors that are more acceptable than the ones currently in use. Reinforcement of the new behaviors is the key to sustained change. In the third and final stage, the behavior change reaches a new level of quasi-equilibrium and can be maintained as long as the behavior is congruent with the personality, environment and other behaviors of the individuals. Building coaching practices that integrate Lewin's theory requires focused attention on identifying all of the restraining forces preventing adoption of the change and/or new behaviors. It also requires a thorough discussion of the impact that the environment plays in reinforcing or extinguishing new behaviors.

Organizational Development

Organizations are in a naturally dynamic state. A prerequisite to affect change is an understanding of systems theory, organizational learning theory, organizational behavior theories, theories of leading change or a combination of these four. Due to the historical connection between organizational consulting and coaching, it is imperative that coaches working within an organizational setting have a grounded understanding of organizational change theories.

Senge et al. (1999) propose that organizational learning is fundamental to the success of an organization, thus requiring organizations to develop learning capabilities in the context of group relationships and business goals. This theory suggests that team learning produces exponentially greater results than when one learns individually. The individual contributes personally to the team in the form of consistent results and commitment to learning. From this perspective change is relational in that individual learning can lead to organizational change and vice versa. In an earlier work, Senge (1990) highlighted the need for organizations to develop self-discipline around the examination of their deeply-ingrained assumptions. New growth and learning occur when learning and self-discipline processes unite to produce creative tension. Coaches can use the understanding of individual and collective learning by encouraging clients to develop skills for personal success while, at the same time, holding the vision of the organization so that both can operate in concert with one another.

A second organizational theorist, Schein (1999), compares expert consultation models (the selling and telling) with doctor patient models (diagnosis and prescribing) and suggests that everything you do with an organization is the intervention - from assessment to completion of the consultation cycle. Therefore an assessment or evaluation can contribute as much to the process as do the strategies. Several of the core principles for process consultants (always be helpful, always deal with what is, clarify understandings, and move with the flow) seem to be taken directly from a coaching 101 textbook. Recognizing that the process of coaching includes asking the evocative questions, noticing, and direct communication can be a valuable insight for a results-driven coach because these are the processes that lead the client of what needs to change rather than simply to the targeting of goals.

Quinn (2000) concurs with Schein (1999) in maintaining that transformational strategies that move away from the outdated models of forcing change in organizations while moving towards participation and emerging realities are the framework for successful organizations of the future. This is potentially one of the most difficult tenets to understand in organizational coaching because our coaching models have typically been athletic coaches who order and direct behavior. A concern for authoritarian personalities is the integration of the management of individual behavior into a coaching framework without losing control of the situation. Being able to step back into guiding and advising roles can be a difficult movement for some coaches who subscribe to a results-driven mindset. At its best, coaching, most particularly in organizations, that respects the roles that learning, culture and context play in affecting change and recognizes the impact that environment has on individual and collective change can facilitate a coaching process that guides rather than forces change.

Systems Theory

Organizational change theory and systems theory share a common holistic view of the organization. This theory contends that characteristics of the parts when combined do not explain the whole, rather it is what emerges when the parts are combined together that defines the system- resulting in systems that are complex and unpredictable. Wheatley (1999) concurs and adds that our present ways of organizing are outmoded. Organizations are living systems in which individuals interact with their environments in adaptive ways. Challenging organizations to view stability, equilibrium and balance as temporary states, Wheatley uses the analogy of the of clouds to describe the self-organization process because clouds are self-organizing in that they take on new shapes as weather patterns shift and change. Human beings are also capable of this self-organization process. Stacey (2000) offers a somewhat similar yet distinct view of complex

adaptive systems. In defining self-organization as "agents interacting locally according to their own principles, or 'intentions', in the absence of an overall blueprint for the system (p. 106)," he suggests that organizational change is unpredictable and emergent based on the interactions of the agents. One needs to focus on the individual participant because that is where transformative change begins-individuals having conversations as they act upon the unknown. Wilbur (2000), another author and foundational theorist for coach training programs, suggests that it is time to integrate of all fields of psychology; behavioral, psychoanalytic, existential, developmental, and cognitive into one view of human consciousness. Expanding upon the work of Clare Graves, Wilbur asserts that the more we exercise all aspects of our being, taking in the multiple perspectives of an experience, the more likely it is that we will have transformative experiences. Wilbur encourages the building of practices that honor the dimensions of the physical, emotional, spiritual, and mental activities within the self, culture and nature.

   Coaches who use systems theory to underpin their coaching practice focus on uniting the various aspects of the self through daily practices that reinforce the integration of the multiple aspects of self into a future that is both continuous and transformative. Cavanaugh (2006) adds that in order for transformation to occur coaches need to have an understanding of the tension between openness and closure. He contends that clients have to navigate between polar opposites in order to embrace change without being consumed and overcome by it.   Finally, coaches who can bring an understanding of the fluidity of change at a systems level can guide their clients through a process that identifies a frame of reference along with an understanding of how that frame of reference interacts with life's complexities and polarities.

Review of Approaches

Garnering an understanding of one's own theories and perspectives while honoring those of other coaching practitioners can contribute to a depth of coaching practice and serve to increase the potency of the field. Thus, the previous discussion of theory is not simply a futile exercise of tracing theories that contribute to coaching practice. The discussion is germane to one of the looming issues facing the field of coaching. The blending of theories into a guiding framework along with the resulting variety of coaching approaches and practices, has yet to be empirically researched, leaving the field open to limitless possibilities yet without guiding principles and criteria. Sherman and Feas (2004) contend that the coaching field can be compared to the wild west of yesteryear stating that "the frontier is chaotic, largely unexplored, and fraught with risk, yet immensely promising" (p.1). In order for the field of coaching to evolve into this promise, empirically-tested practices that transcend the politics of discipline to reflect emergent theory will have to become embedded in coaching practice.

Coaching Models

Models are important to the coaching process. (Appendix D) Lacking an empirically-validated coaching process, many practitioners utilize models proposed by coach training programs and other authors to facilitate their own coaching practice. Early attempts to develop a framework for defining the process of coaching have resulted in a wide variety of models that are used to achieve outcomes in coaching (Auerbach, 2001; Crane, 2002; Flaherty, 1999; Hargrove, 1999; Goldsmith et al., 2002; Kilburg, 2000; Whitworth et al., 2003). Additionally, many of the training schools certified by the International Coach Federation have distinct models for coaching that guide their curriculum. However only one author, Hudson (1999) delineates a clear connection between a model and theory by aligning his model with both psychological and

social theories of adult development. Two other authors (Kleinberg, 2003; Wilkins, 2003) have proposed models linking theory and coaching practice but these models, discussed in Chapter 2, remain theoretical frameworks awaiting empirical evaluation.

Focusing predominantly on the organizational setting, Goldsmith et al. (2002) contend that executive coaches should go beyond being implementers of someone else's coaching model, creating customized solutions for high impact leaders, thus Goldsmith's et al. model serves only a initiating framework for the coaching process. Auerbach (2001) asserts that executive coaching, while similar to personal and life coaching, makes different demands on the coach requiring a focus on work-related effectiveness and career fulfillment issues. Kilburg (1997) offers that many of the proposed models for executive coaching reflect the experiences of the authors and do not address adherence to interventions or evaluation of outcomes. Therefore, he places heavy emphasis on these two steps in delineating his process.

Other authors have proposed models for life and organizational coaching, (Crane, 2002; Flaherty, 1999; Hargrove, 1999; Whitworth et al., 2003), each with their own perspective yet also with some overlap. Flaherty's model is rooted in philosophy and based upon the work of Heidegger (1962), Habermas (1984), and Wilbur (2000). His model builds on five principles. First, relationships include mutual trust, respect and freedom of expression. Second, he emphasizes pragmatism, citing practical outcomes that replace theoretical constructs. The third principle is that both client and coach are engaged in the learning process. Fourth, he emphasizes an understanding that adults are already in the middle of their own process. Finally he asserts that coaching is a process not a technique. These principles are built into the coaching process that Flaherty names "the flow of coaching." When one is coaching in the flow, one moves through five distinct phases; building relationship; recognizing the opening for coaching

and making an offer to coach; assessing the client's competency levels, interpretations of client and practices that make up the life of the client; determining intended outcomes; coaching conversation. Although he produces a model, Flaherty dismisses the value of techniques to the coaching process, emphasizing instead the relationship, language and practices that result in the maintenance of behavior change.

Crane (2002) maintains that coaches have a job description that includes investing time in building relationships, understanding the roles and challenges of clients, setting clear expectations, observing a client's work closely enough to have relevant and substantive feedback provided in a timely manner, stimulating learning, facilitating growth and performance through questioning, and supporting and empowering clients. Similar to the model proposed by Flaherty (1999), Crane focuses on the relationship while providing consistent performance feedback.

In Co-Active Coaching, a model proposed by Whitworth, et al., (2003), the focus is on four cornerstones. Those cornerstones are as follows: the client is naturally creative, resourceful and whole; co-active coaching addresses the client's whole life; the agenda comes from the client; and the relationship between coach and client is a designed alliance. The authors contend that coaching is a process of action and learning and a product of the work upon which the coach and client to together collaboratively. Concurring with Crane (2002), the authors believe that the action step in coaching is essential to goal achievement. Emphasis is placed on learning rather than goal achievement because learning generates new resourcefulness, expanded possibilities, and stronger muscles for change. The coaching model, positioned on a five pointed star, is comprised of listening, intuition, curiosity, action/learning and self-management of the coach's agenda. This is a client-centered process in which the coach's role is to create the environment for the fulfillment of the client's agenda.

Hargrove (1999) also maintains that coaching occurs in conversation and that coaching is about transformation. As a coach who works predominantly with leaders, he offers that there are four roles for masterful coaches: leaders developing other leaders, performance maximizer, thinking partner; and collaboration architect. Hargrove suggests that the ideal coaching process involves triple-loop learning that moves beyond the identification of mental models that drive behavior into reflection upon the history and background that shapes every individual.

Models inform the base of novice coaching practice and exist in books. In addition they are often the core of coach training programs.   Fortunately, for the field of coaching there are some commonalities in these models including, a transformational process that forwards the action, coaching positioned as learning and as a conversational process, the fostering and maintenance of relationships, and feedback as essential to the coaching process. These commonalities provide a starting point for research designs that examine how coaching is practiced and what outcomes are produced given that it is practiced in that manner.

Statement of the Problem

Driven by an accumulation of coaching experiences combined with an increasing number of professionals with diverse backgrounds entering the industry, the service industry of coaching is maturing (Grant & Cavanaugh, 2004).   Also factored in is the level of sophistication of consumers of coaching services, most particularly in the organizational setting, that has greatly expanded as clients are able to differentiate between the range of coaching services and their applicability to business environments. This maturation is leading coaching to a decision point about whether it will remain an industry built upon proprietary systems rather than empirical knowledge or whether it will ground itself in evidence-based practices (Stober et al., 2005, Stober & Grant, 2006). The coaching industry must also grapple with whether it will remain an

industry with no significant barriers to entry or formal university level qualifications, and one that lacks any enforceable code of ethics. According to Garman et al. (2000), "Because there are no recognized standards, currently the only real entry criterion for the profession is a practitioner's ability to solicit clients" (p. 201).

To address these concerns, Grant and Cavanaugh (2004) propose a repositioning of coaching in the scientist-practitioner model much like that of other behavioral sciences. What the profession would gain is an explicit identification of the theoretical and empirical foundations of the field combined with improved critical thinking skills in its apprentices. An added benefit is that, in using sound research methodologies, students would become the consumers and, potentially, the producers of the foundational research.

Stober, Wildflower, and Drake (2005) also extend the challenge with their contention that it is time for the field to explore coaching from an evidence-based perspective integrating research into coaching practice. Citing this approach as "having the potential to raise the standards of practice and training, increase the credibility of coaching as an intervention and stretch the individual coach's thinking and practice" (p.1), the authors outline three major characteristics of evidenced-based practice: the use of the best available knowledge from both theory and research, the integration of this information into practice knowledge (expert knowledge), and the recognition of the unique needs and worldview of each client. Supporting an integrated view of research that honors all traditions informing the practice of coaching, including both qualitative and quantitative studies, the authors contend that each discipline can contribute to evidence regarding interventions and the practices derived from those interventions. "The term 'evidence-based' is not just trendy educational jargon, rather it is an approach that claims that practice should be capable of being justified in terms of sound evidence" (Cox, 2003, p.1).

Even though there is a dearth of empirical evidence, a lack of consensus on a common operational definition of coaching, myriad theories that underpin coaching and a vast number of proposed proprietary models, the field has coalesced around an agreed-upon of set competencies and practices needed for coaching effectiveness. Several authors have proposed competencies (Brotman, et al., 1998; Douglas & Morley, 2000; O'Neil, 2002; Peltier, 2001; Zeus & Skiffington, 2002), all sharing similar categories of the necessary components of solid coaching practice.

Positive steps towards credentialing and certification have been undertaken by two professional associations, the International Coach Federation and the International Association of Coaches. Both of these organizations provide a credentialing forum to its members and both have identified the competencies or proficiencies needed to for effective coaching practice. The International Coach Federation developed a competency list using a panel of "experts" (Auerbach, 2005). The expert panel determined that competencies can be found in four categories of coaching processes: setting the foundation, co-creating the relationship, communicating effectively, and facilitating learning and results. The competencies within each category include meeting ethical guidelines and professional standards, establishing the coaching agreement, establishing trust and intimacy with the client, coaching presence, active listening, powerful questioning, direct communication, creating awareness, designing actions, planning and goal setting, and managing progress and accountability.

Learning the competencies at a certified coach training program, practicing the competencies with clients, and demonstrating these competencies in taped coaching session will lead to credentialing as a certified coach in one of three levels, associate, professional, or master certified coach. Kleinburg (2003) maintains that the proliferation of coach training programs in

the mid-90s has resulted in scrutiny of the curriculum, faculty and practicum. Yet, without

empirically-tested practices resulting in relevant outcome measures, this scrutiny can become

quickly politicized and lack any real insight. This is evident in the fact that the only oversight, in

both of the credentialing processes, into how a coach practices is captured in the two one-hour

tapes provided as evidence of demonstrated coaching skills. Increasing the standard slightly, the

ICF requires additional letters of reference from experienced coaches for its two highest levels of

certification.

   A competing credentialing body, The International Association of Coaches, requires a coach

seeking certification to demonstrate all fifteen proficiencies during two taped coaching sessions

and pass a lengthy examination on the application of the proficiencies.   At the website

(www.certifiedcoach.org), the proficiencies are provided in a straightforward format along with

an expanded discussion of each proficiency for the purposes of learning, applying and

demonstrating that proficiency. According to IAC (www.certifiedcoach.org), the proficiencies

were developed over a period of 20 years with input from hundreds of coaches. No

identification of the methodology used to generate the proficiencies or any information regarding

empirical testing of the proficiencies is provided. The proficiencies required for certification

through the International Association of Coaches include the following: engaging in provocative

conversations, revealing the client to themselves, eliciting greatness, enjoying the client

immensely, expanding the client's best efforts, navigating via curiosity, recognizing perfection in

every situation, honing in on what is most important, communicating cleanly, sharing what is

there, championing the client, entering new territories, relishing truth, designing supportive

environments, and respecting the client's humanity. Currently, there are no requirements for

maintaining certification once the coach is certified.

One final area that requires addressing is that of coach certification. Although the pathway to becoming a credentialed coach has been clearly delineated by the aforementioned international bodies as well as experts practicing in the field, guidelines become less specific for determining the criteria to become a certified coach. Coach training programs were developed to address a need for those individuals who wanted to become certified as a coach. The programs continue to grow in number as the demand for coaching remains high. One can earn a certificate from a given school in general coaching or in a specialty area such as executive, relationship, Attention Deficit with Hyperactivity Disorder (ADHD); and yet there is no common set of coaching practices that guide this training.

An additional twist is the emergence of coach certification within a university-based program. Some coach training programs are aligning with universities to provide either a certificate in coaching or an emphasis in coaching within a business degree program. Despite the academic focus, these institutions also lack empirical data to guide the development of coaches thereby resulting in the emphasis of academic rigor in understanding competencies over application and supervision of coaching practices.

The most important point in the discussion of competencies is not simply whether there is empirical evidence to support them. There is wide agreement that the ability to practice a competency is necessary to coach effectively as demonstrated by the similarities in competencies adopted by the ICF and the proficiencies identified by the IAC. However, although the ability to practice a competency is necessary, it is not sufficient. Additionally, a rigid application of competencies and an over-reliance on any specific competency guidelines in coaching practice could actually produce unintended negative effects because coaching competencies are unique to the context of the coaching situation, vary depending on the needs of the client, and manifest

differently in each coaching scenario (Auerbach, 2005). Stober et al. (2006) add that knowing

the limits of one's scope of practice and flexibly applying one's depth and breadth of knowledge

to unique client situations is also necessary to demonstrate excellence. The field is in need of an

"understanding of what coaches do in order to be effective in building coaching relationships,

engaging in coaching conversations, and achieving coaching results" (Stober et al., 2005, p.4).

This study explored how experienced coaches viewed their own practice of coaching. It also

examined which factors led to successful and unsuccessful outcomes in coaching. Subsequently,

the interview data provided rich details about both of these phenomena.

<div align="center">Rationale for Study and Research Question</div>

The present study proposed one major research question:

RQ1: From the perspective of experienced coaches, what are the critical factors in

coaching that lead to effective coaching outcomes?

This question was studied using the Critical Incident Technique, which allowed for practical

experiences of coaches to emerge from a qualitative interviewing process. These incidents, as

described by study participants, assisted in the identification of factors in coaching practice that

either led to or inhibited successful coaching outcomes from expert coaches' perspectives.

<div align="center">Significance of Study</div>

Page and Stein (2006) suggest that there are "five conversations being held currently

regarding the development of a body of knowledge for the field of coaching studies" (p.1).

These conversations are as follows: administrative questions regarding accreditation, the

development of a "common" body of knowledge (theories and research), identifying best

coaching skills and practices, conducting academic and professional training and education, and

generating knowledge through various venues. The goal of the present study was to contribute to

these conversations by assessing the practice wisdom of top-performing coaches. The study was designed to uncover the assumptions held about coaching practice and the principles believed to inform that practice. The practices identified and contextualized by the participants provided rich detail of the personal theories that coaches use to make meaning of their practice events. This information contributes to the "common" body of knowledge about coaching and serves to inform the foundational development of best practices and skills. The words and language of practice that emerged from the real experiences of practitioners creates a meaningful bridge between theoretical principles of practice and the knowing of practice that comes from experience.

<div align="center">Summary</div>

This chapter provided an overview of one of the major issues facing the field of coaching, namely the lack of empirical evidence to guide its practice. Using borrowed theories and proprietary models to guide practice, the field also lacks an understanding of the very practices that lead to effective outcomes. Certification programs have been established based upon a set of competencies and proficiencies that are believed to be successful in helping clients to make and sustain change, yet neither set of competencies has been empirically tested in the literature. This problem also leaves the field of coaching open for any entrepreneur who wants to establish a certification program. Without an agreed upon set of competencies and standards of practice, there are no enforceable measures which ensure that the best possible practices of coaching are being delivered.

This dissertation addressed these concerns by examining the practices of expert coaches in an empirical framework. It begins to provide the field with a deeper understanding about which practices lead to successful coaching outcomes and which do not.   The remainder of the

dissertation will review the current literature, discuss the method used, review the findings and draw conclusions based upon the findings.

CHAPTER 2: LITERATURE REVIEW

Introduction

Despite coaching's rapid rise in popularity, the empirical research on coaching is just now

beginning to emerge as the field continues to grapple with the issues of competencies, standards

of practice, and outcome measures. Kilburg (1996) asserts that, despite the development and use

of theories and methods for executive coaching, "the scientific basis for these applications is

extremely limited" (p.136). He also asserts that "there is a significant, ongoing problem of lack

of empirical research on the actual work of senior practitioners in the field" (p. 135). In other

words, Kilburg's assertion illustrates the need for continued research in this field.

Although the field has drawn considerable interest from some scholars, the majority of the

articles to date are descriptions of specific methods, proposed models, or business development

ideas. Research articles can be found dating back to the late 1950's and early 1960's (Grant,

2003), but the majority of empirical studies on coaching began appearing in the mid to late

1990's. Recent introduction of other publications, *The International Journal of Coaching in*

Organizations, The Journal of Evidenced Based Coaching, and The Evidenced Based Coaching

Handbook, which specifically target coaching research, have recently been introduced into the

scholarship marketplace and demonstrate the thirst for empirically-based literature. In addition,

in 2005 over 50 dissertations were conducted in the broad topic of coaching. All of these recent

developments are promising for the field of coaching practice; yet, there are still considerable

obstacles to evidenced-based coaching research.

Grant (2003) suggests that, although true experimental studies may be seen as the ultimate

goal of research, they have been difficult to produce in coaching research for a number of

reasons. The first is that outcome variables are not always clear. It is difficult to enter into a

coaching situation, especially a personal coaching situation, and be able to determine and control the variables from the outset. The outside influences that impact the validity of the study are extensive. In the same vein, experimental populations are difficult to identify. Even in organizations that permit researchers to use their data, the number of participants can sometimes be too low to establish significance with an experimental design. Also, random assignment is often impractical, if not impossible, to orchestrate both within organizations and in life coaching settings. Finally, a causal relationship between coaching practice and successful client outcomes is often very difficult to establish (Kilburg, 2000).

Another complication resulting from the lack of literature base is the majority of articles currently available in the literature are practice articles veiled as research since many of these articles more self-promotional than honoring a strong research base   (Morgan et al., 2003). Kampa-Kokesch (2001) provides support for this assessment, citing that case studies in the coaching literature (Kralj, 2001; Peterson, 1996; Tobias, 1996) are based more descriptive analysis rather than predicated upon sound principles of research inquiry. However, the field of coaching is not alone in the obstacles, since these issues occur in any practice-based discipline.

In order to develop a foundational research base, it is critical to garner solid quantitative and qualitative research to advance the understanding of the coaching process and coaching effectiveness while providing rich details about the phenomenon (Morgan et al., 2003; Stober et al., 2005).

The remainder of this section provides a thorough review of the extant literature in the field of coaching. The review is broken down into four broad sections: the coach, the client, the coaching process, and measurements for success. Due to the number of articles that focus on the topic of executive and organizational coaching, the literature reviews appears to be skewed in

that direction; however, this is due only to the difficulty in locating empirical studies in the life or personal coaching arenas.

The Coach

What do we know about the people who coach? In assessing the backgrounds of current coaches in the field of executive coaching, Judge and Crowell (1997) found that the backgrounds of coaches vary from drama to psychology, with 90 percent of respondent coaches having earned Master's degrees concentrating in business and social sciences. Similarly, Zackon and Grant (2004) found that the majority of coaches largely reported a prior career in the business sector, while only about 20% reported a clinical profession as their background. Fifteen percent of Zackon and Grant's respondents identified education as their previous occupation. These results were consistent with another web-based survey conducted by Gale, Liljenstrand, Pardieu, and Nebeker (2002) who found that 33% of their respondents held degrees in the social sciences, 27% held business degrees, and 11% held degrees in education. By far, the majority of the coaches, 85% percent, held college degrees with 45% reporting a graduate degree and another 11% have attained a doctoral degree. Once again, these numbers are consistent with the Gale, Liljenstrand, Pardieu and Nebeker (2002) survey in which ten percent of respondents had achieved a doctoral degree and 43% of respondents possessed a master's degree.

Despite the newness of the field, research suggests that professionalism is important to coaches. Judge and Crowell (1997) found that many coaches belonged to aligned professional associations with coaching such as the Society for Human Resource Management (SHRM), The American Society of Training and Development (ASTD), and the Organization and Development Network. Gale, Liljenstrand, Pardieu, and Nebeker (2002) added the American Psychological Association (APA) to the list of organizations to which coaches often belong.

Coaches have also created and joined their own professional organizations including the

International Coach Federation, the International Association of Coaches, the Professional

Coaches and Mentors Association, and the Worldwide Association of Business Coaches. An

important factor considered for membership with the International Coach Federation is

attainment of the ICF professional credential. Zackon and Grant (2004) found that one-fourth of

respondents held an ICF credential while another fifty percent indicated that they were working

towards being ICF-credentialed. Additionally, they found that an overwhelming number of

respondents had been through a coach training program and a majority had engaged in some

form of coach-specific training within the twelve months prior to the survey. Gale, Liljenstrand,

Pardieu, and Nebeker (2002) added that coaches also considered career experiences, life

experiences, and mentoring by other coaches as having contributed to their development as a

coach, despite the difficulty in measuring these experiences relative to their impact on the

development of coaching competence.

   Typically, coaches tend to enter into coaching after having established themselves in a career

area relevant to their coaching practice. The professional background of a coach and the years of

work experience she or he has in the field becomes an important factor for clients when choosing

a coach. Many business executives want a coach with a background in business management or

other business areas of interest to them. Further, age can be an important selection factor – less

than two percent of respondents in the Gale, et al. (2003) survey were under the age of 35.

Approximately 80 % of respondents in the Judge and Crowell (1997) survey were between the

ages of 35 and 55 with an average of 24 years of work experience.

    Coaches typically segment themselves into specialties associated with their specific

background and skills. Zackon and Grant (2004) found that the types of coaching tend to cluster

in the following areas: career coaching, personal/life coaching, small business coaching,

corporate executive coaching, and non-profit organizational coaching. Other authors have

contributed additional types or categories of coaching such as targeted, intensive, feedback, in-

depth developmental, developmental, content, performance, relationship, legacy, succession,

team, and coaching for specific skills (Peterson, 1996; Stern, 2004; Thach & Heinselman, 1999).

The implication for the coaching field is that each subcategory of coaching could require

different coaching practices and different strategies and competencies to achieve results.

Research supports the assertion that multiple areas within the broader coaching field could

require different practices, strategies, and competencies. Zackon and Grant (2004) found that

there was a distinct difference between business coaching and executive coaching from the

perspective of business development. The small business coaches reported targeting sales,

marketing of products and customer relationships as the focus of the coaching. Comparatively,

organizational/executive coaches focused on leadership development, change management, and

team building. This division of activities suggests that different foci require different strategies,

skills, and methodologies.

The Executive Coach

Most of the coaching literature focuses on executive coaching, connecting coaching with new

learning-based models and less hierarchical forms of leadership while also building coaching

skills within leaders (Flaherty, 1999; Hargrove, 1995; Hudson, 1999; Morgan et al., 2003;

O'Neill, 2000). Smith and Sandstom (1999) assert that the demand for executive coaches

requires distinguishing the capabilities and parameters of executive coaching. They assembled

the first Executive Coach Summit convened by the International Coach Federation in 1999. The

group of 35, well-known coaches who were considered leaders in the field of executive

coaching, defined executive coaching in 1999 and then expanded it two years later (Henderson, 2001) as:

> those working with senior level executives who have fiduciary responsibility to multiple stakeholders; stewardship of human, financial, intellectual, capital and social resources; and economic, social and environmental well-being of entire communities. The Executive Coach…serves as a strategic partner to the executive and his/her team. The Executive Coach's skills include business acumen and financial management, leadership and organizational skills, analytic and innovative thinking as an ability to inspire trust and commitment to action. (p.4)

As a result of this meeting, the group found similar basic competencies in both executive and other types of coaching (i.e., listening skills, creating an environment for change, facilitating self-awareness and capability to focus on the issues that are most important to the client). However, they expanded the competencies of the executive coach to include the following: an understanding of the world of leaders, proficiency in systems and organizational behavior, an understanding of leadership development, in-depth knowledge of adult development, well-developed proficiency in communication skills that allows for operation at an executive level, and advanced coaching skills. Stern (2004) added managing confidentiality, the ability to offer assessment activities, having a results orientation, possessing partnering capabilities, the ability to transition to long-term development, and possessing integrity and judgment to the list.

Executive coaches are teachers and are concerned with issues such as how an executive leader learns, the process used to facilitate learning, and the context within which learning takes place (Conger & Benjamin, 1999). Since leaders almost never have the opportunity for formal learning in the development of leadership skills, executive coaches provide the necessary "real-time" learning around the issues they face, the roles they play, the results they want and need, and the competency development needed for increased levels of performance. When working with executives, a suggested learning practice is to provide structure and opportunity for

meaningful conversations which leads to new insights by the executive (Goldsmith et al., 2000).

Coaches can use themselves as a barometer for where the executive is in thought processes. The

coach asks questions to draw out deeper, more meaningful conversations while encouraging the

leader to safely use both cognitive and emotional expressions within the conversational context.

Hudson (1999) proposes that coaches facilitate professional growth in clients by

demonstrating mastery in professional areas that executives are seeking to develop themselves.

Kilburg (2000), a prominent author in the area of executive coaching, also contributes that

executive coaches are required to foster the development of the entire range of leadership

behaviors matching the development to the presenting needs of the executive.

Choosing a Coach

The Morgan, Harkins, and Goldsmith (2003) survey found that the top four factors impacting

the decision-making process when selecting a coach are coaching experience, fit between coach

and client, area of expertise, and reputation. Wasylyshyn's (2003) survey added that executives

choose coaches who have graduate level training in psychology, experience in business/general

management, coaching experience and positive reputation, experience in client's

industry/knowledge of company culture, and a combination of other factors (sufficient flexibility

to accommodate to executive's schedule, good communication skills, and common sense).

Once the basic competency criteria have been met, the coaching style and relationship with

the client emerge as factors to successful outcomes. With regard to coaching style, Judge and

Crowell (1997) reported that executive coaches focused more on combining the process of

coaching with a results focus and accommodation of the executive's need for outcomes. In

addition, the coaches in the study believed that the factors that contributed most to effective

coaching include a personal connection, the ability to reflect back to the client the client's own

perspective, a caring attitude, demonstrating honesty and integrity, the coach/client fit, and challenging the client when necessary. Gegner (1997) concurred with Judge and Crowell, adding that the coach's personality and skills were seen as very important to the coaching process in her study.

The perception of others, in particular the media, has an impact on the selection of a coach. Garman, Whiston, and Zlatopher (2000) conducted two separate database searches yielding 72 articles on executive coaching to determine the media's perception of coaching. They defined coaching as a one-on-one consultation provided by nonsupervisors on individual performance occurring in an organizational context. Five criteria were used in the content analysis of the articles chosen: relevance to the externally provided coaching services; whether the general tenor was favorable, unfavorable, or mixed; whether the article specifically mentioned psychologists in executive coaching roles; whether the specifically mentioned psychologists were seen as a distinct group; and if that distinction was favorable, unfavorable, or neutral.

The vast majority of the articles presented coaching favorably, and less than one-third of the articles mentioned individuals with psychological training or the discipline of psychology specifically. Indeed, while the actual numbers of articles about coaching steadily increased from 1991 to 1998, the mentioning of psychologists and psychological training steadily decreased, demonstrating a broadening view and acceptance of the multi-faceted backgrounds of coaches. It was also noted that being able to establish and foster the relationship with a client was more important than the background of the coach.

External versus Internal Coaches

Coaches can either be employees of the corporation and internal to the organization or contract employees from outside of the organization. Two studies investigated the advantages

and disadvantages of internal versus external coaches. Reporting on the advantages and

disadvantages of external and internal coaches, Hall, Otazo, and Hollenbeck (1999) stated that

the advantages of the external coach center on issues of trust and confidentiality. Because of the

nature of the coaching relationship and the distance that external coaches provide, the authors

contend that other benefits include variety in business backgrounds, expertise in political

nuances, wider range of ideas, less likelihood to judge and evaluate, and better positioning to

"speak the unspeakable." The list of advantages for the internal coach is considerably smaller

and includes knowledge of the corporation and cultural environments, availability, and help with

focus on highest priorities.

   Wasylyshyn (2003) also asked respondents to identify the pros and cons of using an external

coach versus an internal coach. The structured responses included in the pros included

objectivity, confidentiality, breadth of experience, psychological expertise (better trained), lack

of political agenda, and trust and integrity. The respondents indicated a favorable response to

external coaching while providing a slightly negative response to internal coaching. While

respondents preferred external coaches, there were a few concerns about external coaches

presented such as insufficient knowledge of the company, quick accessibility, and cost.

Manager as Coach

   As corporations recognize the need to retain good employees, the ability to develop coaching

skills in managers becomes a necessity (Ellinger, Ellinger, & Keller, 2003; Hunt & Weintraub,

2002; Goleman, Boyatzis, & McKee, 2002). Three empirical studies have explored the role of a

coaching manager in an organizational setting. Using critical incident analysis to determine

triggers and outcomes for coaching, Ellinger (1999) explored these incidents with managers

within a learning organization to assess the overall impact of coaching as a performance

improvement strategy. The data were organized around two categories: catalysts or triggers for coaching and outcomes of coaching. Managers reported coaching employees most frequently when recognizing gaps or discrepancies in the employee's own behaviors and when the employee sought out managerial expertise. Managers also engaged in a coaching process when behaviors were considered to have high negative consequence to the organization or to the employee as well as when developmental opportunities arose, in the assignment of tasks and projects, and during employee transitions. The author contends that the results of this study suggest that coaching can be an effective empowerment technique for helping people learn within an organizational setting and that it can lead to performance improvement, both in remedial and proactive contexts.

In a field research study also exploring the role of manager as coach, Seifert (1994) examined the perception of managerial coaching from both the manager and subordinate perspectives and attempted to identify any components missing in the coaching relationship. To conduct this study, Siefert used two researcher-developed instruments that were validated via a panel of authorities. The instruments consisted of ninety-two questions relating to six coaching components: non-threatening work environment, desire to be coached, communication, feedback, problem solving, and performance improvement. Sixty-six study participants were evenly split in number between two manufacturing facilities. The study results concluded that managers in both facilities perceived themselves to be engaged in the process of coaching, with managers at one facility perceiving themselves to be coaching at higher levels than the second facility. There was no difference in the subordinate group; they perceived their managers to be coaching at about the equal levels. A major distinction occurred between the manager and subordinate groups, as managers rated themselves higher in coaching behaviors than their

subordinates. Finally, both managers and subordinates were in agreement that all coaching behaviors identified on the survey were present during interactions. Although subordinates in both facilities wanted an increase in the number of feedback sessions on performance, they wanted the sessions to occur in peer coaching sessions rather than in managerial feedback sessions. This finding suggests that coaching was valued as a developmental process; however, in alignment with adult learning principles, subordinates preferred receiving the information from peers.

In a follow-up to an earlier study, Ellinger, Ellinger, and Keller, (2003) used the findings from a critical incident study to develop a taxonomy for exploring exemplary managerial coaching behaviors. Eight coaching behaviors were identified: providing feedback, using analogies and examples as learning tools, soliciting feedback from employees, broadening perspectives of the bigger picture, removing obstacles, question framing as a method of working through issues, setting and communicating expectations, and helping employees to see alternative points of view. The authors sought to explore the association between supervisory coaching behaviors and employee performance, the association between supervisory coaching behaviors and employee job satisfaction, and the amount of supervisory coaching behaviors occurring in an industrial context. Consistent with the Siefert (1994) study, the findings revealed that supervisors believed that they were providing relatively high levels of coaching in contrast to the employees, who assessed the coaching as low to moderate.

Ellinger, Ellinger, and Keller (2003) also found a gap between the extent to which supervisors were engaged in developmental activity and the extent to which both supervisors and subordinates perceived coaching should be occurring. A promising finding was that coaching had a high impact on employee job satisfaction and employee warehouse performance.

Although the study found that supervisors recognized the importance of the coaching role, the authors recommended more efforts toward developing coaching skills in managers.

In another field study conducted in an organizational setting, Luthans and Peterson (2003) examined the impact of coaching combined with 360 degree feedback on managerial self-awareness. The authors constructed a 360 degree managerial feedback profile (MFP) using existing theory and research relating to intersections in managerial functions and performance, managerial effectiveness, managerial importance of self-regulatory mechanisms, and personal responsibility dimensions. Participants were asked to rate their job satisfaction, organizational commitment and turnover intentions using a standardized measure.

The coaching process utilized for the study was completely confidential and was structured identically for each manager, involving the interpretation of the 360 degree assessment results and the attitude scale data. Managers were coached around the discrepancies between self and other ratings on both instruments for the purpose of increasing self-awareness of managers. Once the gaps had been identified, managers were asked to reflect upon the causes of the gaps and coached to develop behavioral plan to address the gaps.

Differing from the previous two studies, managers rated themselves lower than subordinates on all three factors of personal responsibility, interpersonal competency and behavioral competency. However, after the coaching feedback sessions, there was little difference between the two groups indicating a growth in self-awareness on the part of the managers. It was found that the narrowing of the gap between the managers' self perceptions and those of their raters was due to an increased positive perception on the part of the managers rather than a lowering of ratings by the subordinate. Finally, for both groups the work attitudes significantly improved following the coaching feedback.

The Client

Client aspects of the coaching process have been explored from a number of vantage points including how and why the coach is selected. When self-selected, Judge and Crowell (1997) found that executives enlist the assistance of a coach for a variety of reasons and in descending order included modifying interaction styles; building trust in relationships; dealing better with change; improving listening skills; improving public speaking; balancing work and personal life; clarifying and pursuing goals; strengthening delegation skills; improving technical skills; handling stress better; improving writing skills; and maintaining long term focus. When executives were asked to predict what coaching issues might surface in the future, respondents slightly altered the list by identifying as the top three issues dealing better with change, modifying interaction style, and maintaining long term focus, as the top three issues. The only real difference in the two lists was the movement of maintaining long term focus from almost last on the original list to third on the anticipated list of future coaching issues. This re-ordering suggests that executives are recognizing a greater need for coping with the complexities of change and that coaching can provide assistance as they navigate through the changes.

With regards to the focus of the coaching engagement, the Wasylyshyn (2003) survey found that clients reported the reasons for hiring a coach were for personal behavior change, enhancing leadership effectiveness, fostering stronger relationships, personal development, and work-family integration were the reasons that clients hired a coach. Dunn's study (2003) of currently coached executives added additional client rationale for hiring a coach. The clients wanted to become more effective at setting and reaching career goals, creating and experiencing a more fulfilling life and experiencing of greater personal growth. Executive described their growth from coaching and found four common experiences of being coached; an increased ability to

handle problems that occurred both in and out of work; a deeper sense of self-awareness and an increased sense of self-efficacy; a positive relationship that encouraged personal growth; and an increased feeling of satisfaction with life.

The Boston University's Executive Development Roundtable's Executive Coaching Study, Hall, Otazo, and Hollenbeck (1999) presented a different view of the decision making process by dividing executive coaching issues into four "progressive" tiers. Issues covered in tier 1, which on a continuum would most directly impact leadership included; managing up, listening skills, relationships with external partners, implementing layoffs and verifying voice. The continuum extends to tier 4 which might be considered more mundane issues such as assessing staff needs, setting priorities, and writing skills. The sample included 75 executives from six Fortune 500 companies including, Allied Signal, ARCO, Blue Cross/Blue Shield of Massachusetts, Avery Dennison, Levi-Strauss, and Motorola.

When exploring the process of coaching to determine effectiveness of process, Hall, Otazo, and Hollenbeck (1999) found that executives tend to focus on outcomes and want honest challenging feedback, action ideas and pointers, objectivity, and competence. In the majority of situations, the executives are receptive, enthusiastic and positive about initiating the coaching process (Gegner, 1997). For the executives, the greatest obstacle to the coaching process was time followed closely by obstacles within the organizational culture.

Three qualitative studies focusing on the client were conducted by Hurd (2003), Bush (2004) and Creane (2005). Taking a phenomenological perspective, Hurd's (2003) study validated a number of the reasons that clients chose the coaching process for making changes. Investigating the impact of coaching on the life of the executive from a holistic perspective, Hurd used the intersection of adult development, relational psychology, organizational development,

developmental and organizational psychology, adult learning theory, brain research and new science as parameters for designing the study. From that intersection a series of questions were designed to engage the participants in discussing their experience of being coached. Exploring the support of adults in learning and growth directed towards achieving goals, Hurd conducted interviews within organizations that met three criteria; the coaching process had to be fully funded and supported by the organization, there had to be no restriction on participants with regard to job title or reason being coached, and the participants had to be employed by the organization.

Explicit themes which arose from the interviews included; concrete feedback to make specific changes; better use of feedback from others; more self-aware and self-accepting; understanding how my actions impact others; new ways to think about and approach situations; ability to make a positive difference in how the organization works; experienced changes in my personal life and the coaching process itself was beneficial. There were also several implicit themes uncovered as a result of the interviews which included; feeling that one is OK-acceptance of self that starts with coach; a sense of discovery-coach provides mirror adventure in trying out new approaches; a safe place to express thoughts, doubts; concerns and joys without judgment; a freeing-sense of relief in confronting one's issues; a willingness to explore consciousness; reflectivity-stopping and reflecting before taking action; and a longing for well-being with a reaching towards self-authorizing.

The implications drawn from the study include participants recognized the value of feedback as integral factor in the promotion of individual self-awareness and self-management, the benefits of coaching impact all areas of one's life and does not occur in a vacuum, behavior change requires on-going feedback and practice. Skills of organizational coaches identified as

important to the client in this study included; an emphasis on helping the relationship

representing a high level of listening and validating skills, a collaboration with client that values

differing perspectives, a deep respect for the knowledge that emerges, and an emphasis on

assisting clients identify and develop a personal style for ongoing problem solving and work

performance that is congruent with the individual's values and beliefs. The author concluded

with the assertion that organizational coaches also need to have; a broad base of life and work

experiences to draw upon, an understanding of adult development and learning, an appreciation

of realities of organization environment, an ability to balance performance organizational

expectations with life coaching, a trust in the unlimited potential and inner wisdom of human

beings and a willingness to be a partner, not just the expert, on the journey.

Bush (2004) also explored the phenomenon of being coached from the perspective of the

executive. Using a network sampling method to identify study participants, the author applied

two criteria for inclusion in the study. Subjects had to have held executive level positions or

been enrolled in a corporate sponsored executive development program and the coach had to be

external consultant to the organization. The six themes that emerged from the data regarding the

effectiveness of executive coaching were; results that benefit the client; commitment of the

client; rapport and relationship with the coach; a structured development process; the

contribution of the coach; and including others in the process. Commitment not only presented

as a theme but was interwoven as a thread throughout the entire process as the client has to be

motivated and committed to the coaching process, the organization has to demonstrate

commitment in building a conducive environment to coaching and provide financial support of

coaching for the executive. Finally the coach contributes a level of commitment to the coaching

process through the building of rapport and utilization of resources and tools that lead the

effective outcomes. The author concludes with the following assessment of coaching effectiveness; "Executive coaching is effective when a client, who is ready for coaching and committed to the coaching process, works with a coach whose background, experience, role(s), and personal qualities promote rapport with the client, and they engage in a structured process that is focused on development, a process which includes others, and leads to business and/or personal results that benefit the client" (p.30).

Choosing the life coaching phenomenon, Creane (2005) conducted in-depth interviews to explore the nature and the impact of life coaching from the perspective of the client. Participants were referred to the study via experienced coaches trained at the Coach Training Institute. Using a purposeful sampling method to identify study participants, ten participants were identified who met the criteria of having been coached for a minimum of six months. Coaches were excluded as participants for the study.

Dominant themes were identified in three key areas; the coaching process, the impact of coaching and the coach's role. Participants believed setting goals to the most robust theme in the area of the coaching process, followed by discovering what's important at a deep level, the posing of profound questions combined with practical examination of goals. Participants valued the opportunity to be completely authentic and felt cared about by their coach. Many named the changing of their mental view of issues and challenges, focusing on present and future, and the promotion of self-responsibility and accountability as additional significant themes in the coaching process.

Key coaching skills identified by participants revolved around listening and asking thought provoking questions. Additional coach's role major themes included the validation of who the client was along with celebration of achievements, and being reminded of strengths and

unwavering belief in abilities to make change. Participants verbalized that the impact of

coaching included learning and self-discovery, a deeper understanding of self and impact on

others, stronger connection with their "intuition", and goal achievement. The author concluded

with the assertion that the findings demonstrate that coaching fills an unmet need not currently

addressed by other helping relationships.

The perspective of the client has been explored with more rigor and depth in the relevant

literature than the coach's perspective. Studies presented in this section used survey methods to

determine the rationale for engaging the services of a coach from the client's perspective and an

exploration of the phenomenon of being coached. Conducting phenomenological studies, both

Bush (2004) and Hurd (2003) found consistent client needs in the coaching process which

centered on structured development processes that provided concrete feedback and the trust and

rapport between the coach and client that is created during the coaching process.

<div align="center">The Process</div>

Model Development

The field of coaching is not lacking in models for coaching practice as discussed in the

Chapter One. However, consistent with the assertions of Kampa-Kokesch (2001) that the

majority of the coaching literature is practiced based and not empirically tested, none of the

discussed models have been thoroughly evaluated in a research setting.

Not content with the depth or empirical nature of current models, several authors have built

theoretical models to integrate alternative aspects of coaching practice or to combine a different

mix of proven strategies borrowed from other disciplines. Using a grounded theory

methodology, Wilkins (2004) sought to clarify and define the coaching process and to also

identify the skills and strategies used by coaches during the coaching process. Semi-structured

phone interviews with questions relating to all areas of coaching practice were developed by the researcher and posed to 22 experienced coaches. A three part model evolved consisting of purpose, process and relationship. In the model, the purpose of coaching is to discover the motivation of the client, which is typically driven by dissatisfaction with life. Once the motivations have been identified then the client sets achievable goals which focus on tasks, balance, and self-actualization. In the second phase of the model, the process, coaching skills of listening, questioning, conversing, connecting and intuition are utilized. Also included in the process is designing effective strategies to achieve goals and along with the alignment of support and challenge activities. The relationship area or third phase is focused on the development, building and maintenance of the coach-client relationship as well as the roles, characteristics, and cultural dynamics that are part of the relationship. As a result of the research, Wilkins (2004) developed the following definition of coaching as a result of the research: "Coaching is a relationship where a coach supports, collaborates with, and facilitates client learning by helping a client to identify and achieve future goals through assessment, discovery, reflection, goal setting, and strategic action" (p.71).

Wilkins (2004) links coaching outcomes to transformational learning and suggests that coaching can transform an individual's internal schematic, paradigm, perspective, and behavior. This learning can appear with a single dramatic event as in Mezirow's (2000) "disorienting dilemma" or can occur over longer periods of time but it is usually driven by feelings of discontent or cognitive dissonance. The author contends that by connecting coaching with transformational learning, the capacity for coaching in multiple contexts is expanded and also potentially bridges the on-going debate regarding which disciplines is best suited to provide coaching services

Alternately, Kleinberg (2003) reviewed six theories which underpin coaching and interwove them into a model. The theories included; Knowles's adult learning theory, Roger's person/client-centered therapy, Mezirow's transformational learning, Miller and Rollnick's motivational interviewing, Gallwey's motivational theory and Vygotsky's perspective on development psychology.

Driven by the state of coach training schools' inability to answer questions regarding their own use models, processes, and evaluation of coaching, Kleinberg's (2003) model was an attempt to help researchers, practitioners, and coach training organizations better understand the process of coaching. Kleinberg found an overlapping of theoretical foundations upon which coaches base their coaching interventions. From this overlap, Kleinberg proposed a concise overview of why coaches are sought out, several potential outcomes of coaching, and a brief delineation of theories being used. In alignment with earlier research discussed in this chapter, the author contends that executives seek coaches to increase self-awareness and balance, change behaviors both interpersonal and intrapersonal, help with setting and achieving goals, relieve stress and build organizational teams. Coaching outcomes include increased individual and team performance, personal and professional development, achievement of tasks and functions, increased effectiveness and productivity and organizational change. In addition to the six theories identified in the author's first model, linguistics and systems theory were added to improve upon the model.

Bricklin (2002) also proposed a model based upon the integration of a four-phase model of executive coaching developed by Peterson (1996) and a four-phase model for developing emotional intelligence in organizations delineated by Cherniss and Goleman (2001). The author indicated that the purpose for designing the model was to create a structure that integrated

emotional intelligence, executive coaching, organizational dynamics, assessment and prevention into one framework. The RAPPORT model is an acronym for the seven phases the author identified as key to the coaching process: 1) rapport and building relationship, 2) assessment, 3) providing feedback, 4) planning for action, 5) organizing change, 6) reviewing progress, and 7) thinking ahead. The author's motivation in designing the model was to present a forum for interweaving the constructs of emotional intelligence and executive coaching while at the same time acknowledging and integrating the impact of individual and organizational dynamics in the change process.

Moore and Highstein (2004) in lamenting an inadequate foundation for coaching practice, a lack of a replicable coaching approach and the inability to measure outcomes for behavior change-- most particularly in the health and wellness field, proposed a model for coaching that includes an integration of four psychological models: Solution-oriented Psychotherapy, Motivational Interviewing, Choice Theory/Reality Therapy, and the Transtheoretical Model. The authors contend that there has been a deficiency in integrating evidence based behavior change strategies and that the assessments, methodologies and skills taught by coach training institutions have little connection to the psychology literature.

Focusing on developing coaches with a replicable skill set, the model proposed by Moore and Highstein (2004) includes assessment, building rapport and relationships, formalizing goals into a contract, engaging the self-change process and measuring outcomes. In a pilot test of the model, eighty percent of the clients coached using the model were able to complete the minimum of three months participation and of those who completed the process, between seventy and eighty percent were able to maintain their three month goals. Coaches who were asked to

complete an email feedback survey responded that wellness coaching was significantly more

effective that other means of delivering behavior change efforts.

All of the authors of the proposed models recommend an empirical evaluation of the models.

Exploration of coaching strategies, outlined in the models, linked with empirically evaluated

coaching practices will serve to provide a foundation for the evaluation of coaching outcomes.

Coaching Assessments

Gale, Liljenstrand, Pardieu and Nebeker (2002) asked specifically about Emotional

Intelligence, Interest Inventories, Cognitive Abilities, and Group Interpersonal and found that

that the majority of coaches in their survey did not use assessment tools. However, they did find

that coaches use Multi-Source (360 degree) often cited as used in coaching engagements by other

authors (Morgan, et al., 2003; McCauley and Moxley 1996; McGarvey and Smith, 1993) Many

coaches, most particularly in leadership and organizational coaching do use 360 degree

instruments as a tool to assess clients. The 360 degree instrument draws information from the

leader, the leader's supervisor or board of directors, peers, and direct reports and can provide a

range of benefits to both leaders and organizations. First it provides a new perspective to the

leader to better understand behaviors, abilities, performance and skills as it creates a more

comprehensive view of these factors and eliminates some of the problems associated with top-

down evaluations. (McCauley and Moxley 1996; McGarvey and Smith, 1993) Second, the

assessment allows the participants to rate themselves, giving them a view of how their individual

perspectives can affect not only their own team, but the entire organization. Both Day (2002)

and Goleman, et al., (2002) have identified self-awareness as a critical component of leadership

development and the self rating process provides this to the leader. Third, when the leader is

preparing a self-development plan, organizational values and strategies can be reinforced

(Smither and London, 1995). Finally, if leader behaviors are not aligned with the direction of the organization, they can be redirected during this feedback process.

Four factors impact the success of the 360 degree feedback processes. First, executive buy-in is critical as executives frequently suffer from "CEO disease" (Goleman, et.al., 2002) which prevents them from being able to access important feedback about their performance due to reluctance and fear of reprisal on the part of individuals who can provide this vital information. A second factor is that in having experienced success in the past, many times executives feel no real need to make changes in a "if it's not broken, don't fix it" construct. Third, finding the right instrument and the most effective process for disseminating the results of the instrument can either lead to successful outcomes or the demise of the process. Yukl and Lepsinger (1995) propose that the instrument should: be well researched with items and scales directly linked to the effectiveness of the rate: provide for specific and observable behaviors measured and described in positive words: provide items constructed to pertain directly to ratee: specify relationship of rater to ratee. Finally, administration of 360 degree feedback has to become embedded as a part of the organizational culture in that it is an on-going event and can help the executive to enhance and improve leadership behaviors.

Other assessments used frequently by coaches in organizations and with individuals include the Myers-Briggs Type Indicator (MBTI) and the DISC both of which are four quadrant behavioral personality profile tests that provide a better understanding of people through awareness of temperament and behavioral styles. Both of the instruments can be used for self-development of the individual as well as provide base for a team building process. In addition, career transition coaches offer the MAPP (Motivational Appraisal of Personal Potential) and/or the Strong Interest Inventory to guide clients in making vocational and career decisions, which

best fit their own motivational profile, and help individuals pinpoint their choices so that they are

compatible with their natural motivations.

Finally, Smith and Sandstrom (1999) reported that executive coaches use gap analysis as a

tool for working with individuals and organizations. Additionally, scorecards for

accountabilities, shadow coaching, role playing and the use of metaphors and stories were tools

that could be used by coaches.

Delivery of Coaching Services

Judge and Crowell (1997) reported that coaching takes place mostly in the client's office or at

the office of the coach. The remaining options for the place coaching occurs were split between

other physical locations, the telephone and other electronics. Morgan, Harkins, and Goldsmith

(2003) also found coaching to be delivered predominantly in person, closely followed by phone

and email. The most frequent timeframes for coaching engagements were sessions held weekly

or bi-weekly. It appears that executive and team coaching most frequently takes place in person.

This is a distinction as Zackon and Grant's (2004) survey of coaches found marked differences

in that coaching typically occurs over the phone. This finding was connected to coaches

identifying themselves as regional, national and international coaches. The delivery of services

is important to the discussion of coaching process as it impacts the time required for sessions and

costs.

In testing an alternative delivery mechanism for coaching services, Pfeifer (2004) explored

whether a telecoach-based training delivery method would yield higher levels in knowledge and

skill acquisition, transfer of training, and intrinsic motivation towards training content. The

instructor-led workshop involved interactive, small group and individualized learning exercises

while the experimental group received emailed training content followed by one hour of

telecoaching per skill.

   Using three self-report surveys participants were rated on a scale of weak transfer to

conscious maintenance. The study found no significant differences between knowledge or skill

acquisition but did find a statistically significant difference in transfer of training. Additionally,

the experimental group had an increased level of intrinsic motivation towards the training

content. The study also suggested that coaching has a positive effective on transfer of training

and intrinsic motivation regardless of delivery method.

Developmental versus Remedial Coaching Processes

   In exploring coaching trends, Morgan, Harkins, and Goldsmith (2003) conducted a survey for

Linkage which reported on the best practices in coaching in 2003. The authors sent

questionnaires to thousands of organizations throughout the world in order to obtain information

about coaching trends. Respondents indicated that coaching was most frequently used for

development of leaders during times of career transition and organizational change. The most

significant developmental coaching needs included leadership coaching for behavioral change,

career transition and succession coaching, performance and employee development, and

communication and interpersonal skills. One major reason for choosing coaching over other

developmental methods is that coaching can be customized, is flexible, provides an outside

perspective, promotes personal privacy and is relatively cost-effective. When exploring

developmental versus remedial coaching processes, Judge and Crowell (1997) found that typical

remedial coaching interventions include assessments, followed by coaching sessions with

specific goals identified for the executives. Typically, the remedial coaching sessions are

conducted more frequently with supervisors receiving more communication regarding progress

from the coach. Judge and Crowell supported this assertion in finding that other forms of

executive coaching, i.e., developmental and succession planning, differed from remedial

coaching in that sessions typically occurred monthly and were shorter in terms of number of

sessions.

This section explored the coaching process and the factors which contribute to that process.

Many authors propose models for coaching practice, yet few have been empirically tested in the

literature. In a pilot study using feedback surveys, Moore and Highstein (2004) have begun to

test their theory in a practice setting. Coaching tools, with the exception of the use of validated

assessments have recognition regarding their efficacy. One glaring issue with assessments is the

lack of standardized tools for coaching practice which could lead coaches to using less reliable

more subjective methods of assessing clients. (Gale, Liljenstrand, Pardieu and Nebeker, 2002)

As with the coaching model discussion, assessments in coaching have also evolved from

proprietary sources which lack oversight in the application of the instrument to the coaching

process. The field can benefit from an intensive review and scrutiny of assessments used.

Finally, while authors propose that remedial coaching requires different coaching practices, there

has not been a validation of that proposition.

<center>Measurements for Success</center>

One of the best mechanisms for determining outcomes is to provide for pre and post

assessment measures. Executive coaches conduct more assessment work than most other

coaches. There is a wide range of test batteries that can be used, including climate surveys,

emotional intelligence competence inventories, the balanced scorecard and style differentiation.

The most common assessment is 360 feedback, discussed in depth in the last section.

Regarding business coaching and life coaching, Zackon and Grant (2004) found that the evaluation of coaching practice was largely ignored with only 30 percent of respondents in their study conducting customer satisfaction surveys with the majority reporting that they relied upon the client to relate outcome successes. Yet, understanding measurements and putting measurements in place as a part of the executive coaching relationship are critical to a coach's success. Gegner (1997) also found evaluation to be lacking as over 40% of clients began the coaching experience with no baseline measurements while only 25% participated in a 360 degree processes. The remainder of the group was evaluated with goals and personal values serving as baseline measures. In terms of evaluating the success of a coaching engagement, Morgan, Harkins, and Goldsmith (2003) reported that 78% of companies base success upon whether agreed-to changes and objectives were achieved which was followed closely by the satisfaction of the executive.

Utilizing results achieved in previous engagements is a key part of marketing for an executive coach. Participants at the 2001 Executive Coaching Summit (Henderson, 2001) identified the following as objective success measurements; organizational success; change in organizational climate; improvement in emotional intelligence; specific and customizable benchmarks; baseline assessments (measuring pre- and post-engagement factors); and satisfaction (employee, executive, customer). There is an agreement that efforts have to be made to quantify a return on investment in the organizational settings, however, the variety and subject nature of measurements continue to make it difficult to assert success in outcomes.

The field of coaching, while still emerging, has begun to demonstrate effectiveness in leadership development programs. Return on investment measures are being refined and subjected to specific evaluative criteria. However, managing its' growth, while maintaining

adherence to competencies, proven models, evaluative criteria and client expectations will be one

of the biggest challenges for the field of coaching.

Coaching Outcome Studies

Several researchers have initiated projects to demonstrate successful outcomes in coaching.

Hernez-Broome (2004) explored whether coaching following participation in a leadership

program made a difference and if so, the manner in which it made a difference. The coaching

process consisted of three follow up one hour phone calls over a period of three months. The

coaches were all adjunct faculty from CCL, had attended a CCL certification process and were

typically the same coach who had worked with the leader during the initial training program.

The researchers conducted two semi-structured interviews to determine what specific job

related behavioral objectives they wanted to achieve and how they would measure progress

towards the goals. The post interviews were based on four parameters; the extent to which

objectives had been met; changes in job related behaviors; specific aspects of the coaching

process that had assisted with meeting objectives; and what the coach did that was helpful or not

helpful.

The coached group reported more focused behavior change clustering in three areas;

coaching, relationships, and empowerment. The control group's reports of behavior changes

were scattered among 12 different areas with no predominant area surfacing. Second, the

behavior changes in the coached group were more significantly related to leadership while the

control group reported changes in work-life balance. And third, the participants who were

coached believed that they had achieved their behavioral objectives to a significantly greater

extent.

In quantifying the responses to a questionnaire on coaching effectiveness, Dunn (2003) found

that 83% of respondents agreed or strongly agreed that their overall problem solving abilities had improved, 78% believed that their coaches helped them to be more consistent at examining their feelings to gain additional insight into complex problems, 75% believed that they had become significantly better at generating creative solutions to complex problems, 74% believed that they hade experienced a significant improvement in their abilities to uncover mistakes made in a particular problem solving approach when the strategy has failed, 73% agreed or strongly agreed that they had significantly improved their ability to gather enough information needed to solve complex problems as a result of being coached, and 63% believed that their coaches had helped them to become more persistent at turning vague ideas and feelings into concrete or specific terms.

With regards to self-efficacy as operationalized by how comfortable and/or confident an individual was with his or her ability to execute a particular course of action required to attain a desired goal, 83% believed that they had become more confident in their overall abilities to accomplish goals as a result of being coached, 83% believed that they had become more self-reliant and more capable of dealing with their problems in general, 78% believed that they were better at handling most of the problems that they faced in their lives, 75% claimed to be more comfortable with themselves when their first efforts to solve a complex problem fails, and 67% believed that they were less afraid of learning new things that initially look difficult to them.

Finally, Dunn (2003) reported that respondents indicated that they; were happier with the decisions that they have been making since starting coaching, believed that their lives had become more satisfying as a direct result of coaching, believed that their lives have moved closer to ideal, felt genuinely happier with their lives and believed that conditions of their lives have significantly improved.

Evaluating the advantages and benefits of a directive coaching process, Olivero, Bane and Kopelman (1997) also found evident for successful outcomes in a coaching study. Emphasizing collaborative goal setting, practice, feedback, supervisory involvement, evaluation of end-results, and public presentation as part of the coaching process, the authors conducted weekly one-on-one coaching sessions which provided the opportunity to practice behaviors around information that had been communicated in the training program. Performance issues that managers were coached on included project planning, implementation of changes, exploring long and short term impacts of actions on personal performance, performance of their units and general personal issues.

The coaching process occurred over an eight week time frame with executive coaches conducting a real work project that would address one of the performance issues around which they were trained in a three day interactive workshop. Each coach met weekly with their "client" in one hour sessions to provide feedback regarding the process of enacting new managerial skills.

The authors found that coaching when augmenting a training program increased productivity by 80%. This finding supports the contentions made by Conger and Benjamin (1999) and Goleman, et al. (2002) that training alone is ineffective in sustaining behavior change. While there were a number of potential explanations for the dramatic change in productivity, the authors contend that two coaching aspects contributed the most to the change- goal setting and public presentation. The coaches supported clients in setting goals that were challenging, measurable, assignable, realistic, and time-bound. There was also a feedback loop for providing guidance to behaviors that were addressed in the training. Finally, the authors differentiated between training that provided abstract principles and coaching that provided concrete ways of

changing behaviors and performing new behaviors finding that concretization led to more effective behaviors.

Using the experience of burnout in a differing cultural context as a way to evaluate coaching outcomes, Mondejar-Dy (2004) conducted a pilot study to explore the effects of a group executive coaching intervention in reducing executive burnout levels and in increasing organizational commitment in a Filipino context. The results of the pilot showed moderate decreases in burnout along with moderate levels of increases in commitment which allowed for a full study to be conducted. The Maslach Burnout Inventory was used as both the pretest and posttest to assess levels of emotional exhaustion. The group executive coaching intervention included clarification of the complex and challenging nature of the accountabilities of top executives, respect for the sensitivities of the position held, acknowledgment of high risk and high profile lifestyles, and provided an avenue for customized professional help that required minimal physical effort and work load.

Upon analysis, the burnout questionnaire showed significant reductions in the frequency and intensity levels of the emotional exhaustion subscale. However, there were no significant changes in levels of depersonalization and personal accomplishment subscale, which that author suggested could have been related to the culture. One major finding related to the coaching process in that loneliness at the top was reduced in ranking from a third place ranking during the pilot ranking to a fifth place location at the end of the study.

McCready (2004) examined the link between a coach-approached management style and employee engagement and the ability of the organization to create aligned accountability to strategic goals. The major themes from the survey included: " coaching helps me accomplish my work goals; my development as a leader and person is increasing as a result of coaching;

coaching creates a supportive environment; and coaching alone does not guarantee success."

Respondents were asked to identify their own level of engagement with the coaching process

resulting in positive replies between seventy and eighty percent. The highest rated question was

the alignment of coaching with personal values which received an 83.2% positive response. In

identifying an ideal coaching culture the themes which emerged were the desire to grow and

contribute, being fearless and courageous, and living the vision of the company through the

coaching process. These themes are consistent with the findings of Hurd (2003).

Using an action research design, Thach's (2002) three year study investigated participants in a

leadership development process who met the criteria of working in their current position for at

least six months and holding the title of vice-president, director or targeted for development via

succession planning data. The two goals of the project were to increase in the percentage of

overall leadership effectiveness on a post 360 degree assessment and to increase in the number of

succession planning candidates from one to two leaders who were able to step into leadership

role immediately. The goals linked a 360 degree feedback model to business needs and

integrated buy-in from top management. Two separate implementation phases followed the pilot

and the coaching sessions occurred at the following intervals; debriefing immediately following

the compilation of the results of the 360 degree assessment, at two months, at five months, and

ten months. In some cases the executives and coaches exchanged emails, telephone calls, and

voice mails in between coaching sessions despite agreeing to an initial four sessions for the

coaching process.

At the debriefing, the coach and executive agreed upon goals and actions designed to address

one to three developmental issues. Executives were also instructed to follow up with those

individuals who completed the 360 degree assessment for the executive in order to demonstrate

appreciation for their efforts and to elicit their support in designing developmental action plans.

The executive participation rates were higher than expected with drop out rates of 13% in phase two and 7% in phase three and were mostly associated with transfers or resignations. Leadership effectiveness increased 55% with phase two executives and 60% with phase three executives. Finally, coaching had the greatest impact with executives who experienced all of the coaching sessions. The themes which emerged regarding the benefits of coaching included candid feedback coming from an outsider's perspective, honest and direct input and support. These results are consistent with the findings in the surveys conducted by Hall, Otazo, and Hollenbeck (1999) and Morgan, Harkins, and Goldsmith (2003) regarding the benefits of coaching.

In a mixed method study using a cross-sectional survey design and an interview of executives who had been or were currently being coached, Gegner (1997) sought to measure the effectiveness of the coaching process. The independent variables were goal setting, feedback, rewards, self-efficacy, communication style, and interpersonal skills. The dependent variables were awareness and responsibility. Questionnaires were mailed to executives achieving a response rate of 32%. Follow-up interviews were conducted with 58% of those who had responded to the questionnaire. A greater sense of mastery and competence for the executive, i.e., self-efficacy when combined with the communication style of the coach indicated that increased awareness and responsibility results from the coaching process. This was supported in the interviews as executives reported becoming become more aware of self and others as they began taking more responsibility for their actions through the coaching process.

Lew, et al., (2003) investigated the outcomes of a twelve month one-to-one coaching project with a group of executives from the non-profit sector. Designed as a mixed method study, the

researchers asked participants for a self-evaluation at six month intervals as well as conducting

semi-structured telephone interviews and completing case studies for the research group.

Attempting to address diversity in training, background, and ethnicity, twelve coaches were

selected to work with the executives from a pool of thirty applicants. Executives chose a coach

based upon background information and after an interview process. Learning contracts,

delineated goals, key issues, and indicators of progress were signed by each executive.   In

addition to forty hours of coaching, the researchers held three peer learning structured

roundtables, lasting four hours each. Statistically significant findings included improvements

between baseline and final post-test surveys measuring leadership abilities and interaction with

staff, improvement in clarity of their organizational vision as well as increase alignment with the

vision by the staff and board of directors, and increases in effectiveness with balance between

work and family. In addition, while not statistically significant, some executives made a decision

to extend their tenure with their non-profit organization while others chose to leave, which were

both goals of the project in that coaching was expected to help executives assess fit with their

organization.

   The overall satisfaction on the part of executives with their coaching process was 4.6 out of

five with five meaning very satisfied and one representing not at all satisfied. Several important

factors relating to sustainability of the results after the project was completed were; participants

were using the process of reflection and introspection on an on-going basis, participants were

associating their increased levels of awareness, insight, and self-acceptance with continued

influence on their own leadership abilities, participants expected their increased levels of self-

esteem to impact their efforts well into the future, and participants reported integrating

techniques learned and resources utilized during the project into daily activities. Finally,

executives indicated a moderate interest in building coaching practices within the framework of their own organizations.

Life Coaching

While the majority of the empirical studies in coaching have been performed in organizational settings, a few researchers have focused on the life coaching arena. Grant (2003) designed a coaching intervention using the principles of cognitive-behavioral clinical and counseling psychology, brief solution-focused therapy, and models of self-regulated learning. Twenty participants used the *Coach Yourself* program, designed by the author and a co-author, to explore main areas of their lives and then develop three measurable, tangible, and specific goals they wanted to achieve over a 13 week period of time. Participants were facilitated by a coach in a group setting, meeting for ten sessions which lasted 50 minutes each. Four pre and posttest measures were used; the Goal Attainment Scale; the Depression Anxiety and Stress Scale; the Quality of Life Inventory; and the Self-Reflection and Insight Scale. Participation in the program was positively associated with goal attainment. In addition, levels of depression, anxiety and stress were significantly reduced along with the quality of life being significantly enhanced. Insight also increased after participation in the program. The author asserts that the positive results of the life coaching program demonstrates that coaching can have an impact on goal attainment, improved mental health and enhanced quality of life.

The coach in the empirical literature has been explored through the use of surveys, critical incident studies, field studies and a literature review. Focusing more on the demographics about the coach and how these demographics impact the hiring decisions made by clients and corporations, glaringly absent from the discussion is the issue of competent coaching. Yet, when the focus of the coach changes to the executive coaching, several groups maintain there is a

distinction between a coach and an executive coach which requires a set of abilities unique to the

executive coaching experience. The list includes the knowledge and abilities necessary to guide

a client at highest level of an organization. However, all of these suggested competencies and

capabilities remain propositions as they have not undergone rigorous scrutiny in a research

process.

While broad evaluation of outcome data does not appear to be incorporated into practice by

the majority of coaches, several studies have been conducted to determine the overall impact of

coaching practices on both the individual and the organizations they represent. Surveys and

semi-structured interviews represent the frequently used methods for assessing outcome

measures. Clients in the studies discussed in this section believed that coaching had increased

their ability to reach goals, had led to greater problem solving ability, leadership ability and

productivity, and had increased their overall satisfaction with life. An additional finding was the

integration of coaching practices into daily activities resulting in the coaching of others.

Recognizing that the field of coaching is an emerging field, it is critical that efforts are focused

on outcomes measures in both individual practice and organizational settings for the

sustainability of the field.

<div align="center">Summary</div>

As the field of coaching continues to grow and expand into a profession, researchers are

called upon to address a myriad of issues including effectiveness, consistency of practices,

outcome measurements, ancillary factors that affect outcomes and return on investment. Stober

(2005) asserts that as a young profession coaching research is often more exploratory based,

which is true for the majority of the articles in this literature review. Individuals and teams are

exploring coaching from the client's perspective (Bush, 2004; Hurd, 2003; Morgan, et al., 2004)

from the perspective of the coach (Wasylyshyn, 2003) and from the perspective of the

organization or system (Olivero, Bane and Kopelman, 1997; Thach, 2002). Surveys have been

conducted to determine utilization of coaching, coach demographics, and to begin to explore best

practices (Hall, et al., 1999; Judge & Cowell, 1997; Morgan, et al., 2003).

Other researchers have proposed theoretical models from which to build a foundation for

coaching and provide for common language and competencies in the coaching field. (Brotman,

et al., 1998; Kleinburg, 2001; Kilburg, 2001; Wilkins, 2004) Yet other researchers have

attempted to design quasi-experimental studies (Hernez-Broome, 2004; Smither, et.al., 2003) to

demonstrate coaching effectiveness.

Primarily through surveys and semi-structured interviews, we have learned more about the

client's experience of being coached and the rationale for choosing a coach, have reviewed

models and tools selected to support the coaching process, and have begun to quantify outcomes

which can be achieved from the coaching process. What is missing from the literature is an

empirical evaluation of the coach's experience from which to identify practices that lead to

successful outcomes and provide a framework for theory and model building.

<div align="center">Implications for Research</div>

In her study, Wilkins (2004) concludes with several recommendations regarding coaching

research in her study: challenge the coaching research: ensure that the coaching process and

models are linked to theory; engage in rigorous debate and dialogue about coaching; subject the

coach training programs to rigorous evaluation; avoid the contextualization of coaching as

coaches need to understand the coaching process regardless of context; and raise the standard for

entry and continuation in the profession of coaching.

As a result of their survey, Morgan et al., (2003) would like to see additional questions

answered in a research format including what are the factors which might influence improved performance other than coaching, when is the best time for executive coaching, what is the actual performance impact of executive coaching and when can that impact be anticipated in relationship the coaching event, and how can we better differentiate between customer satisfaction and improved performance?

Stern (2004) also has a list of questions about executive coaching that is quite extensive. Their questions cluster in six predominant areas, some of which mirror those posed by Morgan, et al, (2003) while also expanding upon the list. The six broad categories on which they recommend focusing outcome research include: the executive (or client), the coach, the relationship between the coach and client, the executive coaching process, the organizational context of executive coaching, and coaching outcomes.

As with the majority of research articles, it is rare to read one that doesn't have implications for future research. However, because coaching research is in its infancy several pressing research areas will have to be addressed in order for the field to move forward. First is the issue of identifying distinct differences, if any, between organizational and life coaching processes as this issue will permeate all of the remaining issues. Next is the issue of outcome research. Stober (2005) contends that the majority of outcome based studies to date have been forced to compromise evaluation of cause and effect relationships due to the participant pools: it is difficult, if not impossible, to obtain sample sizes large enough to provide for random assignment and comparison groups. A second factor affecting organizational outcome research is that of fast pace and change which makes it virtually impossible to produce long-term studies as individuals leave corporate positions through attrition, being fired or just moving on. Likewise, outcome research in the life coaching arena is even more difficult to obtain for similar reasons but with

the addition of the issue of baseline data. The majority of life coaches do not employ

assessments to collect baseline data from which to compare changes over time.

   Once the issues of research design regarding outcome research have been resolved, the next

issue is that of competencies. Is there a set of coaching competencies that lead to effective

coaching outcomes? Several authors and organizations have proposed a list of competencies that

contribute to effective coaching but to date there are no research studies which substantiate the

list. As the list of competencies is empirically tested over time, the coaching process can be

designed integrating those factors that lead to effective coaching outcomes. Another factor to be

explored is that of readiness to change on the part of the client. Are clients who come

voluntarily and ready to make improvements in their life circumstances more likely to succeed

during the coaching engagement?   Bush (2004) addresses this factor in depth in her discussion

of the role of commitment in coaching outcomes. Finally, the field needs to know the impact of

the coaching relationship on outcomes. Several authors have positioned this factor as critical to

the coaching process, yet it has yet to be explored in the research setting.

   As with all emerging fields, growing beyond assumptions and unfounded beliefs is always a

challenge and the coaching field is no exception. However, for coaching to be more than a fad or

a trend, the research agenda needs to be robust and expanded with regards to contexts, outcomes

and processes. What is promising is that in the years between Kampa-Kokesch's (2001) review

of the literature and this review, over 100 dissertations have been conducted, two new journals

have been established, and an international research symposium has been held allowing for the

presentation of the newest research findings in the field of coaching.

CHAPTER 3: METHODOLOGY

Coaching continues to be an elusive construct despite the abundance of interest in the topic by businesses, individuals, and academic institutions. Although coaching is an emerging professional field, its roots can be traced back through the psychological, management, education, philosophical, and sport literature. These disciplines lent the coaching practice various strategies and methods for practice, yet the end result is a field without a theoretically coherent or validated set of competencies to inform the delivery of its services. The purpose of this study was to identify and elucidate a set of factors for coaching that experienced practitioners perceived to be critical for successful coaching outcomes. The question that guided this study was "What are the critical factors that lead to successful coaching outcomes as perceived by expert coaches?"

The critical incident technique was chosen as the method to explore the critical aspects that led to successful coaching outcomes because it allowed for theories and concepts to emerge from practitioner description of critical events (Woolsey, 1986).   The critical incident technique offered several other advantages as a methodology for the question under study. First, the context was developed from the participant's own perspective using his or her own language which could easily be communicated back to the field under study (Chell, 1998; Edvardsson, 1992). The critical incident technique also allowed for the respondents to determine which incident had the greatest relevance to their own coaching practice, thus eliminating any preconceived or idiosyncratic determination of importance to the participant (Chell, 1998; Gremler, 2004). The technique produced concrete and explicit information about the complete coaching process because it did not limit observations to a specific set of variables or activities; rather, it allowed for what emerged during conversations with practitioners (Gremler, 2004). The

methodology provided insight into both single-case and across-case analysis, allowing for comparison of results within and across interviews. Finally, it was determined to be the best technique for understanding the practice of experienced coaches as it provided an ability to discover both universal and contingent behaviors throughout the interviewing process (Ellinger, 1997).

Because the coaching practice has little documentation and lacks a grounding theory, the critical incident technique was a good match for the guiding question (Bitner, Booms, & Tetreault, 1990; Edvardsson, 1992; Grove & Fisk, 1997). The field of coaching is in need of a deeper understanding and articulation of the events and processes that comprise its practice. The critical incident technique, as a methodology developed for the analysis of practical phenomena, had the potential to uncover critical processes experienced by coaches in the field.

<div align="center">The Critical Incident Technique</div>

In the seminal work on the critical incident technique, Flanagan (1954) argued that people have been observing others for centuries, providing results of the observations in great detail. Flanagan recognized the missing element of a systematic guideline for analyzing and synthesizing the results of these observations which then could be compared with other observations under controlled conditions. He responded to this need with the development of the critical incident technique.

The critical incident technique is essentially a procedure for gathering pertinent facts concerning behavior in defined situations. It does not consist of a single rigid set of rules governing data collection; rather, it is a flexible set of principles that must be modified and adapted to meet the specific situation at hand.

Chell and Pittaway (1998) added their own description of the critical incident technique method:

> The critical incident technique is a qualitative interview procedure which facilitates the investigation of significant occurrences (events, incidents, processes, or issues) identified by the respondent, the way they are managed, and the outcomes in terms of perceived effects. The objective is to gain understanding of the incident from the perspective of the individual, taking into account cognitive, affective and behavioral elements. (p.26)

The critical incident technique is a powerful exploratory and investigative tool that generates practical and relevant data from which actionable improvements can be suggested (Chell & Pittaway, 1998). The critical incident methodology is distinguished by its emphasis on identifying solutions to practical problems rather than describing a phenomenon in a naturalistic setting (Kemppainen, 2000).

In addition to the aforementioned aspects, the technique has the flexibility and adaptability to allow for both quantitative and qualitative analysis. Chell and Pittaway (1998) suggested that:

> used quantitatively it can asses the type, nature, and frequency of incidents discussed when linked with other variables…can provide insight into general relationships. Used qualitatively the critical incident technique provides more discursive data which can be subjected to narrative analysis and coded and categorized according to the principles of grounded theory. (p. 26)

Flexibility was important to the design of this study. Flanagan (1954) contended that the critical incident technique's flexibility was readily observable in a wide range of studies including those that explore helping and hindering factors, examine successes and failures, study effective and ineffective methods of doing something, and identify the characteristics critical to an activity.

The use of the critical incident technique has been most frequently associated with early studies conducted by the Aviation Psychology Program of the United States Army for the purpose of identifying specific reasons for failure to learn how to fly. Later, in applying the

technique to non-military settings, the critical incident technique was used to identify critical requirements for job performance in an industrial setting and the profession of dentistry.

The early literature cites numerous dissertations and studies – all of which were supervised by Flanagan – aimed at determining the critical requirements for a specific activity or occupational group. These studies explored occupations including dentists, insurance agency heads, manufacturing foremen, bookkeepers, sales clerks, and general psychology instructors (Flanagan, 1954). More recently, the critical incident technique has been widely used in the service industry (Bitner, Booms, & Tetrault, 1990; Edvardsson, 1992; Gremler, 2004), nursing (Keatinge, 2002; Kemppainen, 2000), counseling research (Bedi, Davis, & Williams, 2005; Butterfield & Borgen, 2005), management research in organizations (Blenkinsopp & Zdunczyk, 2005; Ellinger, 1997; Mallak et al., 2003).

The critical incident technique has been extensively reviewed. Fivars (1980) compiled a bibliography listing over 700 citations using the methodology. Gremler (2004) critiqued 141 critical incident technique studies, which appeared in the service research literature, in order to examine methodological decisions and suggest guidelines for appropriate use of the methodology. Butterfield et al., (2005) critiqued the use of the method for the past fifty years, making suggestions for consistency of the application of the method. In addition, the critical incident technique has increasingly been used in the nursing arena to identify and evaluate patient opinions in health care settings. Kemppainen (2000) cited eleven studies, recently conducted over an eleven year period (1987-1998), that applied the methodology to health care quality. Finally, more than 200 dissertations have used the methodology in the past ten years.

The Critical Incident

Flanagan (1954) defined an incident as "an observable human activity that is sufficiently complete in itself to permit inferences and predictions to be made about a person performing the act" (p.1). He operationalized "critical" as an event that may occur in a situation where the purpose or intent of the act seems fairly clear to the observer and where its consequences are sufficiently definite so as to leave little doubt concerning its effects. Bitner, Booms, and Tetreault (1990) described a critical incident as one that makes a significant contribution, either positively or negatively, to a phenomenon or activity. In their study, an incident was defined as a "specific interaction between customers and service firm employees that are especially satisfying or dissatisfying." Other definitions of a critical incident include "doing something or experiencing something that strengthened a bond" (Woolsey, 1986, p 5), "any event, combination of events or series of events between the customer and one or more service firms that caused the customer to switch service providers" (Keaveney, 1995, p. 67), and a "learning episode between a manager and his employees in which he/she believed that he/she facilitated the employee(s) learning" (Ellinger, 1997, p. 32). This study utilized the critical incident as the unit of analysis and defined it as any event or combination of events that led to positive or negative successful coaching outcomes (Bitner, Brooms, and Tetrenault, 1990).

With regard to determining whether a reported incident could be considered factual, Flanagan contended that the self-report of an incident could be considered to be factual if the detail provided about the incident included fullness, clarity and enough detail to make it credible (as cited in Butterfield et al., 2005). Flanagan also suggested, however, that collecting incidents that occurred more recently would improve the reliability of the recall of the participant. Using

Flanagan's suggestion, this study asked its participants for incidents that occurred within the last six months.

The Critical Incident Technique Phases

Five phases to the critical incident technique dictate the use of the method: state the aim of the activity, design the study, collect data, analyze data, and interpret data and report results (Flanagan, 1964; Gremler, 2004; Woolsey, 1986). These five phases, along with plans for implementation, are thoroughly discussed in the following sections.

Phase 1: State the Aim of the Activity and/or the Problem Definition.

Flanagan (1954) suggested that the aim or purpose of an activity should be provided to the participants as a brief statement that identifies, in simple terms, the problem and the objectives for the study, possibly identifying a phrase or catchword that those being interviewed would recognize. The rationale for stating the aim in a simple and clear form was to increase the potential for agreement and understanding by respondents. Woolsey (1986) also cautioned about the importance of wording to a study, suggesting that simple, everyday language conveys an obvious meaning. Butterfield et al. (2005) suggested that experts be engaged to assist with this step in order to identify the aim or purpose of the activity, which could be agreed upon prior to initiation of the study.

For the purpose of this study, the aim of coaching was generated through the dissection of the definitions provided in chapter one followed by the solicitation of definitions from current coach practitioners who did not participate in the study. Thus, the aim or purpose of coaching was defined as making and sustaining change.

Phase 2: Study Design

Flanagan (1954) encouraged the researcher to specify which aspects of a given behavior were believed to be crucial to the formulation of a functional description of the activity. The appropriateness of respondent sample was included in this phase along with precise instructions for respondents with regards to the nature of the questions being asked. Flanagan emphasized that persons making the observations or self-reports should have sufficient familiarity with the activity and its impact, upon which the results of the study can be generalized. The participant sample size was determined by the number of critical incidents needed to reach saturation or exhaustiveness. Flanagan suggested that an effective study could require as few as 100 incidents as long as fewer than 2 or 3 new categories per 100 incidents were emerging during additional interviews. In a meta-analysis of the critical incident technique by Gremler (2004), the number of participants ranged from 9 to 3,852. Gremler reported that the number of incidents provided by a participant is not limited as about half of the studies reported multiple incident responses from participants. Ellinger (1997) reported an average of 4.6 incidents per participant.

Participants. In anticipation of eliciting a minimum of 100 incidents, the target number of participants was determined to be 18-20 with each participant being asked to provide six incidents, both positive and negative.

The purposeful sampling process for the study was a combination of group nominal process and snowballing. A team of twelve coaches representing various coaching organizations (e.g., the International Coach Federation, the International Association of Coaches, the Professional Coaches and Mentoring Association, the Worldwide Business Coaches), representatives of academic programs, and coaching researchers was convened via a conference call to nominate participants. A wide net was cast in order to identify the broadest respondent group possible.

The nomination panel was given the option of attending personally or selecting a representative of their organization to attend the conference call; this generated a list of experienced coaches for the study. An experienced coach for the purpose of this study was defined as someone who had provided a minimum of 1000 coaching hours to clients, had coached a minimum of 25 clients on a one-to-one basis, and had been active in a coaching practice for a minimum of three years. Panel members who were unable to attend the conference call were given the opportunity to participate through the Survey Monkey program via the internet.

   The team generated a list of 100 coaches. Upon completion of the nomination process, a random selection process was engaged to rank order the experienced coaches from one to 100. Initially, the first fifty nominees were sent an invitation via the internet to solicit their participation in the study. The initial response from those 50 invitations produced twelve participants. The email invitation was repeated, asking the nominated coach to either participate or name someone else they knew who would meet the interview requirements. Four more coaches agreed to be interviewed and 10 alternate coaches were suggested. An email was sent to the remaining 10 coaches; six of these coaches agreed to be interviewed. A total of 19 coaches were interviewed. The twentieth coach was contacted, scheduled three times for the interview and subsequently cancelled the interview appointment. Once exhaustiveness was determined, there was no need to interview the last coach; therefore, her interview was not rescheduled. The informed consent form and information about the study were sent to each participant via email. Coaches who participated returned the informed consent prior to participation.

   The beginning of the interview consisted of asking the coaches demographic questions about former background before coaching, certifications held, membership in associations, and

coaching training program attended. The primary researcher constructed a table that represented

the detailed descriptions of the participants. This information is presented in the findings.

Incidents. Flanagan (1954) asserted that certain conditions should be placed upon the data

collection process including identifying representative samples of incidents, using well qualified

judges, and ensuring that reflections are well defined and detailed. The issue of representative

samples was addressed in the former section. An incident for the purpose of this study was

defined as the precipitating factor that brought the client to the coaching process.

Panel of judges. A panel of judges consisting of members of the nomination group, coaching

researchers, or experienced coaches was convened at the beginning of the interview process.

The purpose of the panel was three-fold. First they reviewed the initial critical incidents for

appropriateness and applicability to the field of coaching. Second, they reviewed the initial

categories established by the coding committee to ensure that the categories were relative to the

field of coaching. Finally, they corroborated any and all coaching-related aspects found in the

thematic analysis.

Phase 3: Data Collection

Once the study design was complete, interviewing was chosen as the method for collecting

data, and criteria for including or excluding critical incident information were determined. The

process of interviewing provides the researcher entry into the other's perspective. Patton (2002)

maintains that "We interview people to find out from them those things we cannot directly

observe" (p. 340). Seidman (1998) adds that in-depth interviewing is an attempt to understand

the experience of other people and the meaning they make from that experience. Gubrium &

Holstein (2001) concur, suggesting that the purpose of interviewing is to derive interpretations

and meanings from participants, not to establish laws and facts. Finally, Rubin and Rubin (2005)

propose that the interview method allows for concept clarification and exploration around the meaning of shared terms within a community of people who share a common history or vocabulary. The critical incident interview was undertaken to accomplish all of these purposes: the identification of multiple perspectives about coaching practice, understanding coaching practice from the experience of the coach, obtaining the meaning of those experiences through the iterative conversations, and using a community in which some history and vocabulary are shared.

Finally, Gubrium & Holstein (2001) assert that researchers often choose qualitative interviews when the topic of interest does not center on a setting but rather upon establishing common patterns or themes between particular types of participants, which describes the context of this study. Interviewing often combines the use of investigative interviewing with narrowly focusing to learn what happened in a specific instance (Patton, 2002). Both of these perspectives on interviewing allowed for a richer understanding of coaching practice in this study.

Interview Process. An unstructured interview approach was initiated using the aim of coaching: "making and sustaining change." Prior to beginning the interviews, participants were given the opportunity to ask questions about the study and were asked to provide basic demographic information. All interviews took place over the phone at agreed upon times convenient to the participant and were taped via voice recorder. The original consent form had garnered their permission for the taping and for outside transcription. At the conclusion of the interview, participants had one more opportunity to ask questions and were provided with the details for the follow-up process.

Participants were asked to relate critical incidents that they felt illustrated both positive and negative coaching experiences. All interview questions attempted to draw out the meaning of

successful coaching as constructed by each participant by focusing on the incident, precipitating factors, and consequences,. The first interview question was, "Can you describe a time in the last six months when you were coaching that you were successful at helping a client make or sustain change?" Participants were not provided with the initial question prior to the interview. Follow-up questions were conversational (Patton, 2002) and asked for more detail about events prior to making change and the outcomes – both planned and unplanned – as a result of the change. Initially, participants were asked for three positive incidents. Then the direction of the questioning was repositioned and participants were asked for three incidents in which they were unable to help clients to make and sustain change. As with the first series of questions, respondents were asked for antecedents and consequences to the incidents.

Kvale (1996) maintains that the quality of the interview is interwoven throughout the interviewing process due to the effect it has on the analysis, the verification, and the reporting of results. Following his guidance and corresponding with the direction of Flanagan (1954), including continual follow-up and clarification of meanings, these interviews garnered rich, spontaneous, specific, and relevant information. Questions were brief, allowing participants to elaborate upon their responses.

Per the recommendations of Butterfield et al. (2005) and to minimize researcher bias in leading the respondent, the initial five interviews were submitted for review to an experienced researcher with expertise in the interview method to ensure respondents were not led to respond in a given manner. All interviews were transcribed by a transcriptionist outside the research team. Upon receipt of the transcripts, the transcripts were edited by the primary researcher, who reviewed the recording in its entirety and completed any missing words and phrases. The study participants received a copy of the transcript to confirm that the statements were correctly

reported and to provide participants with the opportunity to change or modify their responses. Upon receipt of the changes, the interviews were entered into a NVIVO software program for review by the coding team.

Phase 4: Data Analysis

Flanagan (1954) emphasized that the goal of the analysis is to increase the usefulness of the information collected while, at the same time, maintaining comprehensiveness, specificity and validity. The primary problems to be resolved include the determination of a frame of reference, the inductive development of categories and sub-categories, and the determination of the most appropriate level of specificity-generality to use when reporting the data. This phase identified and detailed coding decisions and issues relative to content analysis processes. "Control is a key issue for analysis of large amounts of complex information" (Kvale, 1996, p. 207) and, as such, relevant controls were built into this study.

Coding of Interviews. A coding team was composed of the primary researcher, two graduate students who had been trained in an emergent coding process, and a seasoned researcher and coach. This team also provided input into the determination of which events met the definition of a critical incident and provided sufficient detail to be included in the results.

Following the process delineated by Boyatzis (1999), the interviews were analyzed by a) giving the theme (code) a label; b) providing a definition of the code; c) describing the code with enough clarity to ensure understanding of placement by research team; and d) identifying qualifications and exclusions of the codes.

Using the credibility checks proposed by Butterfield et al., (2005), the research team coded the first two interviews as a team to identify categories and sub-categories. As an additional check, experienced coaches not participating in the study reviewed the categories and sub-

categories for relevance to coaching and confirmed the template. The next six interviews were

coded conjointly by two members of the coding team using the same qualitative research

software program. The research team was reminded that any aspect that did not match

established categories could be identified as an emerging code. One new code emerged during

this phase of the coding process.

Throughout the coding process, the primary researcher kept a running log of incidents to

determine the point of saturation or exhaustiveness. Once the coding had reached a saturation

point where no new codes emerged, the primary researcher conferred with the research team for

consensus on exhaustiveness. The remaining interviews were coded by the primary researcher

and four of these interviews were sent to members of the research team to review the primary

research's coding. This was done not to ensure consensus but rather to make sure that any

unidentified codes were unearthed. No new codes emerged during the final review process. A

total of 12 interviews were either coded as a team or reviewed by the research team.

The incidents were coded as presenting issues and were subject to further examination. Upon

completion of the coding process, the primary researcher clustered the incidents into categories.

These categories were sent to the three judge panel. One judge reviewed the entire coding

category for the incident category to ensure that all clusters had been identified. The remaining

panel members revived the incident clusters. The panel reached consensus on the incident

clusters.

Thematic Analysis of the Interviews. Using the process of inductive analysis (Patton, 2002),

the transcripts were analyzed inductively for core dimensions that emerged from the patterns and

themes. To identify what pieces fit together, Patton recommends exploring the data to unearth

recurring regularities in the data, building categories that are internally homogenous (i.e., hold

together in a meaningful way) and externally heterogeneous (i.e., differences are strikingly

clear). Boyatzis (1998) proposes that the analysis of themes served a multi-purpose function.

This analysis allows the researcher to view the data, make sense out of seemingly unrelated

information, analyze qualitative data and systematically observe people, interactions, situations,

organizations, or cultures.

   Kvale (1996) offers five main approaches to the analysis of meaning: condensation,

categorization, narrative structuring, interpretation and ad hoc methodologies. This study

employed some aspects of all five, including the use of a software program to aid in the analysis,

although the interpretation approach represented the closest intent of critical incident interview

study. Kvale (1996) contends that interpretation "recontextualizes the statements within broader

frames of references" (p. 193). The purpose of the interview was to provide an expansion of the

text, allowing for the incidents to inform the dimensions of effective coaching practice.

Phase 5: Interpreting and Reporting

   Flanagan (1954) cautioned that limitations and biases contained within the participant group

must be identified and discussed in terms of their application to the study along and their

potential impact on the first four steps of the process. Secondly, he maintained that researchers

have an obligation to point out the degree of credibility of the study and its contributive value to

the field being researched. In this final phase, the unit of analysis, category development, and

reliability statistics can be reported for other researchers to judge the credibility of the study.

Gremler (2004) laments the lack of framework for reporting results of critical incident studies

and recommends that reports, at a minimum, include the study focus and research question, data

collection procedures, study population demographics and characteristics, data characteristics,

data quality, data analysis procedures and classification of incidents, and results.

Framework for Reporting. The findings are reported in chapter 4 to reflect the demographic

characteristics, characteristics of the incidents, and the established categories and themes. Data

analysis procedures and data quality were reviewed in this chapter.

Credibility and Validity

As reported earlier, the critical incident technique can be used in either quantitative or

qualitative paradigms, requiring the researcher to examine assumptions in order to place the

research study on the positivist to postmodern paradigm (Chell, 1998). Patton (2002) suggests

that one's paradigm is "built upon implicit assumptions, accepted definitions, comfortable habits,

values defended as truths, and beliefs projected as reality" (p. 572).   At issue is the degree of

credibility checks the researcher conducts to maintain the integrity of the study. Patton (2002)

proposes the following about credibility:

> the thread that runs through the discussion of credibility is the importance of intellectual
> rigor, professional integrity and methodological competence, with the researcher
> returning to the data over and again to see if the constructs, categories, explanations
> and interpretations make sense. (p.570)

The coding team used Patton's guidelines in constructing categories, coding the interviews, and

analyzing the categories for themes.

Creswell (2003) asserts that the term validity is not interchangeable between quantitative and

qualitative studies nor is it a companion to reliability or generalizability. He offers that validity

can be used to determine the accuracy of the findings from the perspective of the participant,

researcher and reader. Creswell recommends accuracy strategies such as triangulation, member-

checking, use of thick descriptions when communicating findings, clarification of researcher

bias, presenting negative and discrepant findings, debriefing with peers about the study, and the

use of an external auditor to review the project. Butterfield et al., (2005) counter that it is time

for researchers to use a set of credibility and trustworthiness checks that provide a consistency of

methodology for the critical incident technique and recommend a high level of credibility checks that appear to be a return to the method's post-positivistic roots.

In an attempt to move toward this consistency and replicability of the method, Butterfield et al. recommend the following: a) independent extraction of critical incidents; b) participant cross-checks; c) placement of incidents into categories by an independent judge; d) saturation or exhaustiveness; e) expert review of categories; f) calculation of participation rate; g) theoretical agreement; h) descriptive validity; and i) interview fidelity.

Integrating the views of Butterfield et.al. (2005), Chell (1998), Creswell (2003), Kvale (1996), and Patton (2002), the study included the following credibility and accuracy checks: a) saturation; b) member checking; c) triangulation in the coding process through independent placement of incidents into categories by research team; d) peer review of categories identified and discussion of entire project; e) interview fidelity conducted by qualitative researcher ensuring that the questions are not leading; f) presentation of discrepant findings; g) identification of research bias; and h) external review in the form of an external reader for the dissertation study, which is the policy of Antioch University. These checks are in addition to the credibility built into the study through the design process, which was discussed earlier.

CHAPTER IV: FINDINGS

Introduction

The purpose of this study was to identify the success factors of coaching as perceived by expert coaches through the identification of incidents in which the coaching process was either successful or unsuccessful. Two basic questions guided the study. The first question asked participants, "Can you describe an incident when you were successful at helping an individual make and sustain change?" The second question asked, "Can you describe an incident when you were not successful at helping an individual make or sustain change?" The critical incident as identified by the nineteen coaches was the event that initiated the coaching engagement.

The study used the Critical Incident Technique (Flanagan, 1964; Butterfield, et al., 2005). The researcher identified nineteen expert coaches for participation in the study through both social network and snowball sampling processes. The coaches were geographically dispersed and represented life, corporate, and executive coaching specialties. All interviews were conducted over the telephone, recorded and transcribed. Categories and sub-categories were determined using a thematic coding and content analysis process (Boyatzis, 1998).

This chapter is divided into three sections: individual portraits of each coach who participated in the study, a review of the incident type with descriptive detail and an analysis of the dimensions, categories and themes that arose during the coding and analysis of the interviews. A number, based on the alphabetical listing of the coaches, was assigned to each coach.

Portrait of the Sample Population

The coaches in this study were identified by a panel of leaders from various coaching associations along with a group of fellow coaching researchers. Only coaches with a minimum of five years of coaching experience were included in the study. The range of coaching

experience for all participants was from five to 20 years with an average number of 10 years

coaching experience.

Table 2 lists each coach by years of coaching, prior background or legacy field (a common

term used in the coaching literature to refer to the professional background prior to establishing a

coaching practice), certifications related to coaching, memberships in coaching associations, and

coaching training program attended.

Table 2.

Summary of Coach Demographics

Coach	Years Coaching	Legacy Field	Certifications	Memberships	Coach Training Program Attended
1	19	Human Resources and Training	Master Certified Coach (MCC)	ICF* Coachville	
2	10	Social Work (LISW)	MCC	ICF	New Venture's West; Newfield Network
3	11	Senior Management		ICF; IAC;** EMCC ***	Coach University
4	5	National Sales Manger	Certified Professional Coach	ICF	Academy for Coach Training
5	5	Financial Services Consultant		IAC	Coach University
6	10	Business Consultant; Teaching	Professional Certified Life Coach	ICF	Coach for Life

7	20	Organizational Development		ODN****	
8	10	Textile	Certified Professional Coach	ICF; NSA*****	Academy for Coach Training
9	8	Vice-President Marketing and Sales	MCC	ICF	Coaches Training Institute
10	7	Corporate Communication	MCC	Local Human Resources Group	Hudson Institute
11	5	Social Work (LISCW)		ICF	
12	10	Clinical Psychology		ICF; WABC ******	Newfield Network
13	16	Non-profit Organizations	Professional Certified Coach (PCC) (in process)	ICF	Academy for Coach Training
14	12	Consultant	MCC	ICF	Coach University
15	10	Free Lance Writer	PCC	ICF	Coaches Training Institute
16	11	Management-State Government	MCC	ICF	Academy for Coach Training; Newfield Network
17	12	EAP Consultant	MCC	ICF; IAC	Coaches Training Institute

18	5	Business Consultant Tele-Com	Associate Certified Coach (ACC)	ICF; IAC	Coach University
19	15	Clinical Psychology	MCC	ICF; APA	Coach University

* International Coach Federation
** International Association of Coaches
*** European Mentoring and Coaching Council
**** Organizational Development Network
***** National Speakers Association
****** World Association of Business Coaches

Participant coaches had a variety of legacy fields prior to establishing a coaching practice

with the most frequently reported background being that of business consulting. However, each

former business consultant brought a different emphasis in the business consulting arena and

there were five different types of business consulting named. The next most frequently named

legacy fields were the professions of social work, clinical psychology, and sales.

Two coaches each had been clinical psychologists, social workers, and senior members of sales

teams. One coach each identified prior experiences in human resources, senior management, free

lance writing, organizational development, state government management, the non-profit sector,

and the textile industry.

When asked to name coaching-related certifications, coaches either offered the credentials of

the training program attended or certification offered by ICF. Eleven out of 19 coaches held an

ICF certification while an additional two coaches named the certification from the training

school attended. Five coaches reported holding no coaching certification from a school or

association, although one of these five coaches identified herself as a principal in an ICF certified

training program.

Coaches were asked to identify memberships in professional coaching organizations. Only

two coaches were not members of the International Coach Federation (ICF), one of two coach-

certifying bodies. Three coaches had joint memberships in ICF and the International Association

of Coaches (IAC), the other coach-certifying body, and one coach reported belonging solely to

IAC. Three coaches named memberships in other coaching associations included Coachville,

the European Mentoring and Coaching Council, and the Worldwide Association of Business

Coaches.

   Coaches who reported attending training programs attended those that are certified by the

International Coach Federation, which currently lists 40 certified training programs for

certification. Five coaches had attended Coach University, the most frequently

cited training program. This was followed closely by the Academy for Coach Training, which

was attended by four coaches. Three coaches attended The Coach Training Institute as well as

the Newfield Network. Finally, New Venture's West, the Hudson Institute, and Coach for Life

were each named as a training program attended by one coach. Three coaches did not list coach

training programs; however, one coach from this group reported attending coach training before

the ICF certification process was initiated.

<center>Categories and Themes</center>

   The initial coding team read through the transcripts from the interviews and constructed a set

of categories from which to build a template for coding. The template was evaluated by a panel

of judges, who were coaches, to corroborate the relevance of the categories to coaching practice.

As each category was constructed, it was defined explicitly so that the coding team could

recognize each category when coding individually without the team. The coding team used the

template to code the interviews after having been reminded that any aspect of the interview

which didn't match a category could be coded as an emerging code. One additional category

sub-code, client circumstances, was identified during the coding process. The final step in the

process was analysis of categories for themes. The coding team examined each category for

emergent themes and reached consensus for each included theme. The themes will be

discussed in concert with the dimensions for integration of the findings.

Operationalizing the Categories

The first category, precipitating factors, included the critical incident, hidden issues and client

circumstances. Hidden issues were defined as background issues which arose during the

course of the coaching process through interactions with the coach and others. Another

category, client circumstance, was added during the coding process by coders to capture the

ancillary details of the client's life that did not directly impact the presenting or hidden

issues but rather gave a description of the client.

The next category, breakdowns and successes, included the perceived reasons that coaching

was either effective or ineffective. The term breakdown was used when the coaching process

was unsuccessful. In most instances, coaches used the actual or related language of

"breakdown" to identify breakdowns. Success factors represented the coaches descriptions of

situations in which the client made positive contributions to the outcome of the coaching process.

Coach selection captured the detailed process that coaches conducted when making a decision to

coach with a client.

Several coaches shared the details of their coaching structure such as how often, how many

sessions and whether the coaching process was face-to-face and these items were grouped under

the coaching structure category. Approximately half of the coaches identified a specific model

or framework used in their coaching practices and these items were also captured in this

category. The goals category related to any descriptions of goal setting.

A significant portion of the interview was dedicated to describing strategies for achieving

success in coaching and these activities. These activities were coded as strategies. Assessments

were coded as any process formal or informal that the coach conducted as a method of

determining what was happening for the client. Tools and resources included any books tapes,

and outside activities that coaches used to reinforce the coaching process. Some coaches

described their own evaluation process and it was captured within the evaluation code.

Spontaneous offerings by the coach about the coaching process, the client situation, personal

beliefs or anything else that contributed to the coach's worldview were captured in "Coach's

Worldview". And the final category, "Outcomes", included those examples of successful

coaching outcomes provided by coaches. This category included both planned and unplanned

outcomes.

<div align="center">Incident Type</div>

Incident types are presented here because they were the unit of analysis. The critical incident

was defined as the event that initiated the coaching process. At the beginning of the

categorization process, the critical incident category was removed from the other categories

further analysis. The primary researcher reviewed the 14 topical areas for correlation to the

literature and language used by the study participants during the interview. The cluster types

were sent to a the panel of judges to evaluate for typicality to a coaching precipitating event.

One judge reviewed the entire details of the coding, while three panel members reviewed the

clusters.

Table 3 illustrates each triggering event along with whether the coach identified the event as

resulting in a successful coaching outcome or negative coaching outcome. A full discussion of

the incident type will be entertained in the precipitating factors section.

Business building was the most frequently cited incident trigger representing 17% of all

incident triggers followed closely by career advancement and role transition which represented almost 15% of triggering events. The least frequently reported incident was that of managing emotions which fell below 1% of all reported triggers. The majority of the remaining triggering events fell in between these ranges.

Table 3.

*Incident Cluster Type*_____

Incident	Number of Successful Examples	Number of Unsuccessful Examples
Business Building Strategies	7	12
Role Transition/ Career Advancement	11	5
Identifying Values, Mission and Purpose	4	6
Building Leadership Skills	5	4
Career Change	7	1
Building Coaching Practices	3	5
Making/Support for Decisions	5	2
Work-Life Balance	1	5
Job in Jeopardy	2	3
Improving Relationships	3	2
Building Teams	5	0

Personal Organizational Skills	3	2
Behavior Change	0	4
Managing Emotions	1	3

Overview of Dimensions

The primary researcher arranged the categories and themes into six clustered dimensions. The dimensions were constructed by the primary researcher by organizing the themes based upon practice knowledge and the extant literature. The dimensions included precipitating factors, the factors of breakdown and success, the coaching process, the functions of a coach outcomes of coaching.

The remainder of this chapter is organized around the six dimensions; the precipitating factors, factors of breakdown and success, the coaching process, the coach functions, outcomes of coaching, and personal philosophy of coaching. The precipitating factors section includes a discussion of the critical incident, the hidden issues and client circumstance. Hidden issues were distinguished from the critical incidents as those issues identified by coaches that appeared during the coaching process but were not identified at the initiation of coaching. The client circumstance category provides descriptions about the clients which did not impact the coaching process. For example, coaches offered titles, marital status and hobbies of clients that were irrelevant to the critical incident.

The dimension on breakdowns identifies distinctions made by coaches regarding activities and influences that led to unsuccessful coaching outcomes. Conversely, the success factors were those aspects of the coaching process that led to success including the coach selection process.

The coaching process dimension ties together the elements of assessment, coaching structure,

goals, models, strategies and tool and resources used to effect change. The next dimension, the

functions of a coach, is separated from the strategies section to form its own section because

there are many descriptions of what the coach contributes to the coaching process that relate

more to functions of a coach than to the coaching process. The fifth dimension covers both
planned and unplanned outcomes which were realized by clients. The final dimension reviews

the perspectives of the coach about self, the coaching process, the client situation, beliefs, and

reflections that emerged unsolicited during the interview process.   Each of these dimensions and

their respective categories and themes are presented in Tables 4 through 9.

<div align="center">Dimension: Precipitating Factors</div>

Coaches provided detailed descriptions of what led the client to choose the coaching process

to make change. In many instances the coaches offered basic information about the clients

regarding their occupation, marital status, where the clients lived and other peripheral details.

This information was coded in a category that emerged during coding but was not determined to

relate to the coaching process by the coding team. Conversely, details about the clients' issues

that were not discussed as a reason for coaching but rather emerged after the coaching process

had begun were coded as hidden issues. In most instances, the clients were not even aware of

these hidden issues until the clients began to interact with their coaches. Table 5 illustrates the

critical incident categories and hidden issue categories with the respective themes identified for

the category. In the client circumstance category, there are no themes reported as the

information reported was descriptive rather than thematic. Additionally, the critical incident and

hidden issues themes are listed in order of frequency and as reported in this table are not

connected to one another.

Table 4.

*Dimension: Precipitating Factors*_____

Category: Critical Incident	Category: Hidden Issues	Category: Client Circumstance
Themes	Themes	No Themes
Business Building Strategies	Relationship Issues	
Role Transition/ Career Advancement	Self-Esteem	
Identifying Values, Mission and Purpose	Values Conflict And Incongruence	
Building Leadership Skills	Emotional Blockage	
Career Change	Control Issues	
Building Coaching Practices	Limiting Beliefs	
Making/Support for Decisions		
Work-Life Balance		
Job in Jeopardy		
Improving Relationships		
Building Teams		
Personal Organizational Skills		
Behavior Change		
Managing Emotions		

The following narrative provides greater detail about each clustered theme and is supported by actual text from the interviews.

Critical Incidents

Business building strategies. The triggering event that resulted in clients engaging coaches most frequently was building or enhancing aspects of business. The majority of the business-building activities focused on small business development processes such as starting businesses, increasing revenues, designing strategic plans, implementing business systems and processes and increasing productivity. Coaches were also engaged in larger organizations to increase revenues and productivity and assist with the development of strategic visions, although this occurred less frequently.

> She started the business and like many other entrepreneurs she could not see when the business was not making a profit (Coach 14, Incident 6)

> Basically, she was letting her clients run her business...the clients and her employees were running her ragged (Coach 8, Incident 1)

Role Transition and/or Career Advancement

Role transition or career advancement emerged as the second most frequently cited incident type. Clients frequently sought coaches when they wanted to expand their current role or progress within their organization. Often times the client was the recipient of the coaching although, in some instances the organization hired the coach as a collaborator with the employee to design strategic actions for role transitions.

> So it came to be on the recommendation of his organization, he was identified as key talent while at the same time they noticed he had a blind spot (Coach 9, Incident 2)

> This was a senior Vice-President who was being groomed for the Regional Senior VP role.

> I was brought in to work with her because she had a lot of feeling about that [change of roles] ...she had been there a long time and the organization didn't want to lose her. (Coach 2, Incident 5)

Values, Mission and Purpose

The identification of one's values, mission and purpose was the third most frequently

occurring incident type. The clients included in this type were clients who wanted to create a

legacy, explore options for the next phase of life, maximize individual potential, find more

fulfillment in life, and remove obstacles to happiness and fulfillment.

He had been trying for three years to come up with his life's purpose. (Coach 5, Incident 2)

Because he'd already had the equivalent of a summer vacation…he had made a sizeable fortune by the time he was in his mid-to late-thirties…he wanted to do something but didn't know what or why. (Coach 8, Incident 3)

Building Leadership Skills

Clients chose the coaching process to build leadership skills for increased effectiveness

with teams and within organizations. In some instances, coaches hired to help managers

supplement corporate training initiatives. In other instances, clients witnessed the coach's

success with a teammate and wanted to address similar issues for themselves. The incidents that

brought clients to the coaching process in this theme included building a vision, improving

delegation skills, and exploring authentic leadership.

Often the executives I get brought into help have been exceptionally successful throughout their careers but they've reach a point where they are starting to lose traction. (Coach 10, Incident 4)

She wanted to be a more effective leader and was struggling with the transition from being a doer to being more of a leader and manager. (Coach 2, Incident 1)

Building a Coaching Practice and Changing Careers

The next two most frequently cited incident types were between building a coaching practice

and changing careers. Coaches are often sought to mentor and provide strategies for developing

fledgling coaching practices, ranging from therapists wanting to branch into coaching to clients

attending coach training programs. Additionally, many coaches have created a niche in the

specialty area of career coaching. This focus provides clients with the forum to explore career

options and take actions towards securing a more satisfying work situation.

> She had a coaching business…she wanted to find out how to change it and how to move it forward (Coach 8, Incident 6)

> She wanted to become a successful coach and she thought it would be good to have a coach (Coach 3, Incident 4)

Support and Decision Making

Clients who engaged in coaching for support and making decisions frequently reported

feeling stuck. This relates to the next most common theme. In the study, when important

decisions had to be made, clients wanted guidance from coaches to successfully navigate through

all of the options under consideration. Other clients appreciated the ability of the coach to act as

a sounding board for ideas and actions directed toward the achievement of goals.

> He told me that he was sitting in the stack of the library trying to write his dissertation...he was stuck (Coach 1, Incident 1)

> He was in this either/or place…and in this case the hard conversation needed to be with his brother (Coach 9, Incident 6)

Work-Life Balance

A search for balance between work and life illustrated the next most common incident theme.

Life makes many demands on people causing them to feel as if their lives are out of control

and not in balance. The focus by coaches on the whole person- the emotional, mental, physical

and spiritual- drew several clients to the coaching process for life balance. Clients recognized a

lack of balance in the amount of energy spent at work versus the energy spent in renewal and

designed strategies for creating balance in their lives.

> She came to coaching for life's balance...she came in with a bluster of activities and lots of success and was significantly overweight (Coach 10, Incident 1)

Wanted to work smarter in his business and have more time at home (Coach 19, Incident 4)

Job in Jeopardy

In some instances, the clients knew that their current positions were in jeopardy, however, in

other circumstances the coach was engaged by the organization to work with the client to shift

behaviors and attitudes towards alignment with the organization's mission and values. This

category included incidents such as, remedial coaching for collaboration and organizational

alignment and a the client's recognition that discharge was imminent.

> A very smart man but also somewhat abrasive…arrogant and always looking to pick up
> a fight or debate with anyone who would engage that behavior (Coach 11, Incident 1)

> It was part of the agreement…he was becoming aloof at work with a negative attitude…
> they agreed if he would get six months of coaching...all things would be taken into
> consideration (Coach 19, Incident 2)

Improving Interpersonal Relationships

The next category was made up of incident geared toward improving interpersonal

relationships. Effectively managing relationships was important for both life and corporate

coaching clients who wanted to become more assertive, more open to the perspectives of others

and develop and maintain boundaries in interactions with others. Clients found that improving

relationships at work also improved relationships outside of work.

> We also worked on this relationship she had with a colleague…where she needed to set
> limits and how she needed to be in this relationship (Coach 6, Incident 4)

> She didn't particularly like her boss and she never spoke to co-workers…she couldn't even
> imagine going to lunch with anybody. (Coach 6, Incident 5)

Team Building

Team-building incidents made up the next most common category of reasons to seek

coaching. Like the previous category, relationships also impacted the success of teams,

therefore, several coaches guided the team-building process with their clients. After identifying

that their teams were underperforming, clients solicited coaches' assistance with incorporating

personality temperaments in team decision making processes, building trust, stretching

performance to achieve goals, and developing a succession plan for a retiring leader.

> He'd inherited a low functioning team that was important to the organization (Coach 10, Incident 2)

> He didn't know how to build a team…he wasn't showing up as a real person and having real conversations (Coach 16, Incident 2)

Personal Organizational Skills

The desire to organize themselves brought five clients to the coaching process in both life and

organizational settings. Whether it was the reorganizing of the office, the removal of debris or

maintaining self-discipline with a schedule, clients believed that the coaching process was an

avenue for change.

> Immediately saw the piles and piles of boxes and clutter…his office was a pit (Coach 19, Incident 1)

> Her biggest challenge when she came to me was staying organized and on top of all the details to do with uh…her role as a teacher and her outside activities (Coach 3, Incident 2)

Behavioral Change

The next incident category illustrates that coaching can be a process of making and sustaining

change. Four clients engaged the services of a coach to make a specific behavioral change.

Those changes included stopping smoking, losing weight, exercising and modifying an

ineffective relationship behavior.

> He wanted to stop smoking but he had physical challenges that created...physical symptoms of agitation (Coach 18, Incident 5)

> she wanted to exercise…that was her thing. "I would like to exercise but I'm totally unmotivated." (Coach 6, Incident 5)

Managing Emotions

The final incident category was managing emotions. Three clients who recognized that their emotions were beyond their control sought coaching to improve emotional response to situations. The process of being able to reflect upon the triggering experience and then experiment with new behaviors was a different approach for emotion management for these clients.

> She felt she was not effective in managing her anger and that she was inappropriate with her direct reports (Coach 2, Incident 2)

> He would get into an argument with someone in the audience and he would usually win because he was smart, but it left a really bad taste, and that was initially the feedback that led to the coaching intervention (Coach 11, Incident 2)

In every triggering event, there was a belief either on the part of the client or the organization that the coaching process could help to make and sustain change. There were only three incidents reported in which the client was resistant to the coaching process and all three occurred in an organizational setting. The remaining 106 incidents brought the person or team to the coaching process with the intention to make change.

Hidden Issues

Emergent issues were defined as ancillary issues which arose during the process of coaching. The emergent issues clustered around six themes; relationships, self-esteem, conflicting values, control issues, authenticity and congruence, emotions and limiting beliefs. All of the hidden issues when not addressed or successfully resolved had the potential to lead to breakdown and in some instances did precipitate the coaching breakdown.

Relationship Issues

Relationship issues surfaced in a number of coaching engagements. Represented by partners who wanted the client to change a behavior or take an action, conflict with organizations, and unresolved family disagreements once they were identified they became integrated into the

coaching process.

> She was stopping work in about a month after we began and he was going to be the
> breadwinner with his fabulous new job and nothing was happening (Coach 1, Incident 1)

> It was beginning to hurt her...nobody would come into the bedroom because it was
> an absolute pig sty (Coach 1, Incident 2)

> Another thing that came up during this whole thing [coaching to the issue] was that
> she was also helping her mother financially, even though her parents were together, she
> was helping her mother financially and it was becoming very draining (Coach 6, Incident 1)

> When we did the legacy piece…his children were mentioned but not his wife (Coach 4,
> Incident 2)

Self-Esteem

A number of coaches identified a self-esteem issue that emerged during the coaching process.

Sometimes it was an intuitive sense that the coach had, while in other instances the clients shared

this information freely.

> But very quickly came down to self worth (Coach 1, Incident 5)

> At some point in our relationship she did disclose that she felt like self-esteem was
> a challenge for her, having confidence in herself, trusting herself, trusting her own
> judgment (Coach 2, Incident 4)

> I think there may have been some confidence issues…her confidence was really,
> really shaky (Coach 3, Incident 4)

Conflicting Values and Incongruence

Often the emergent issue appeared as conflicting values or intentions. Clients were not able to

match desired outcomes with behaviors that would lead to achievement of those outcomes.

Additionally, this lack of congruence was demonstrated in an inability to speak the truth which

interfered with the relationship being established between the coach and client. As with the other

hidden issues, this emergent issue led to a coaching breakdown when the coach was not able to

help the client resolve the issue so that it was no longer a barrier to the coaching process.

I think there were some benefits for her family that were pretty attractive to her (Coach 2, Incident 5)

Some of her other values that were equally important to her...but were not being honored in her life (Coach 9, Incident 1)

But I think his "aha" was...what it was costing him to be in a environment that was so off purpose and where many of his values were being dishonored (Coach 10, Incident 5)

She had very, very strong conflicting intentions (Coach 11, Incident 3)

And when I look at what was in the way at that time up through recently was this person who didn't speak his truth…couldn't ask for his truth because it…[he] wasn't taught to ask for what he wanted (Coach 12, Incident 2)

Emotional Blockage

The manifestation of emotions was also identified as an emergent issue for a few coaches.

Expressed as fear or anxiety, it was not realized by the client until at the point of making change

at which time the emotion became a blockage.

Fear…total fear…a big fear of not being enough, not being good enough, of being Successful (Coach 4, Incident 6)

I think there was a combination of fear…whether she could take it to the level that she wanted to and whether or not it would consume her life (Coach 13, Incident 5)

Anxiety…maybe fear of being successful (Coach 15, Incident 5)

We got into a situation where she was to angry with her husband for some trivial thing (Coach 14, Incident 6)

Control Issues

Commonly identified when a coach was in an organizational engagement, control issues arose

in a number of incidents. Clients who had positions of leadership or responsibility for

organizational bottom-lines were more often facing the emergent issue of not be willing or able

to let go.

Even with payroll…she has to touch it all if she doesn't know what's going on in every

area of her business it's not going to work…so just things that a lot of us have…we want to do it all (Coach 4, Incident 5)

One of the obstacles to her leadership effectiveness is she's high control oriented and highly detail oriented…and this was reflected in every part of her life (Coach 9, Incident 4)

it's not necessarily true that there was nobody in the arena who could help her…what was more likely true was that she was afraid of or didn't want to accept support (Coach 13, Incident 3)

Limiting Beliefs

Finally, limiting beliefs once again proved to be an issue for some clients once they began to

identify and practice new behaviors. Sometimes the beliefs were associated with a long held

belief such as childhood memories while in other instances they encompassed the personality of

the client.

The barrier to (Name) doing something next in his life had something to do with how his dad had done life and does life (Coach 11, Incident 3)

And she was a person that operated from a glass half-empty…really blocked her from doing things…so there were some beliefs about who she was in the relationship (Coach 16, Incident 4)

Life Circumstance

Coaches often spoke about ancillary circumstances that were present in the client's life but

did not impact the success of the coaching process directly. These circumstances were

descriptions such as being a single mother, position within an organization, married with

children, hobbies and other tangential aspects of the client's life. It is important to clarify again

the distinction between the life circumstance sub-category and the other two sub-categories,

precipitating event and hidden issue. When life circumstance issues were deemed to affect the

coaching process or were closely associated with the precipitating event, they were categorized

with the event or as emergent issues. Therefore, only a limited number of passages of text fell

into this sub-category.

I was on the phone this morning with an executive who is president of a medical practice at a hospital with somewhere between 350 and 400 docs, so it's a large medical practice that he runs (Coach 11, Incident 1)

And she was a single mother of four kids, teenagers, like 13 to 20 were the age ranges… living in New York City (Coach 5, Incident 2)

Dimension: Factors of Breakdown and Success

Coaches were asked to share both successful and unsuccessful coaching experiences and in doing so provided 52 examples of coaching breakdowns. Because the design of the study asked coaches to report on incidents of success and lack of success there are comparable numbers in each category. Additionally, another important consideration is the factors of breakdown and success are from the perspective of the coach and not the client. Table 5 lists the themes and occurrence of each theme that contribute to the dimension, Factors of Breakdown and Success.

Table 5.

Dimension: Factors of Breakdown and Success

Category: Breakdown	Times Cited	Category: Success	Times Cited
Themes	Number		Number
Therapy Issue	9	Coach Selection	16
Client/Coach Mismatch	9	Enjoyment of Client	10
Lack of Willingness or Ability	7	Connection	8
Incongruence	4	Client Accountability	7
Lack of Focus	3	Openness	6

Missed Appointments	3	Motivation	6
Referral to Other Coach	3		
Resistant to Coaching	2		
Negative Mindset	2		
Length of Coaching Engagement	2		
Broken Trust	1		
Lack of Depth	1		
Lack of Flow in Coaching Process	1		

In every instance, each coach was able to quickly identify what led to the coaching breakdown. The two most frequently cited reasons for the coaching breakdown were therapy issues and coach/client mismatch. Both coach/client mismatch and therapeutic issues were reported nine times each representing 17% respectively of the reasons for breakdowns.

The third reason cited for coaching breakdowns was lack of follow through on actions agreed upon during the coaching sessions. Lack of focus, missed appointments, and incongruence could be grouped together with lack of follow-through to complete this cluster as all three represent commitments on the part of clients that were broken and a willingness to align the needed thoughts and behaviors with successful coaching. The desire to change was not matched by behaviors that would have led to sustaining the change. When combined, these four categories of

breakdowns represent 33% of the reasons for coaching breakdowns.

The next reason cited for coaching breakdown was that the presenting issue was not within the domain of the coach. When the real issue emerged, the coaches referred the clients to other consultants or coaches. Coaches cited resistance to coaching and openness to coaching as other reasons for breakdown.   In one circumstance, the coach was hired by the organization and, in another, the client did not want to perform her newly assigned duties and resisted coaching about them.

Two breakdowns were also caused by a negative mindset about life in general. Although the coaches did not consider these incidents resistance to coaching, they did consider them a lack of openness to exploring possibilities.

The length of the coaching engagement impacted the results in two different scenarios; both corporate settings in which the client was allotted six sessions to make specific changes. In both instances, the coaches believed that the timing was too short to accomplish the expected goals.

Coaching that was too technique focused and superficial could be combined in a group of breakdowns indicating a lack of depth. Two coaches were frustrated by their inability to move beyond the surface with their clients. A lack of motivation, sporadic efforts, broken trust, and a gamey client completed the reasons cited for coaching breakdowns, each being mentioned once by the coaches.

Client Needed Therapy

Coaches identified therapy issues as the first category of reasons for breakdown. Coaches identified the issue swiftly, typically indicating a warning flag that accompanied the issue. Even though only five coaches had clinical backgrounds, every coach who reported the breakdown as a therapy issue had a frame of reference for making that decision. When the coaches related the

breakdown as a therapy issue, they identified alcohol issues, self-esteem issues, family dynamic issues and sexual preference issues and recommended the client seek the care of a clinician. Until the underlying therapy issue was addressed, they believed that coaching could not be effective. Interestingly, even though the coaches believed the issue to be therapeutic in nature, many clients did not agree that their issues were therapeutic and balked at moving to another provider for services, which sometimes resulted in the client remaining in the coaching process longer than appropriate.

> And within that three month time the reason we stopped working was because I really believed she needed therapy and that coaching just wasn't appropriate (Coach 13, Incident 4)

> What she kept bringing up was this issue about relationship that I reflected back to her was, in fact, a therapeutic issue and not a coaching issue (Coach 12, Incident 6)

As another example of this theme, one coach reported that she believed it to be easier for clients to seek out coaching instead of therapy because therapy implies to some people that there is something wrong. As discussed earlier, coaching is a process that focuses on maximizing potential rather than fixing something that is broken.

> Some people are ashamed to admit that they need therapy and so they're more willing to seek coaching instead (Coach 8, Incident 5)

Client/Coach Match

The match or fit between the coach and client impacted outcomes for a number of coaches. Coaches expressed the lack of a client/coach match as a values conflict, lack of connectedness, differing paradigms, differing attitudes, and style differences. When these aspects were present, they were difficult to overcome and have a successful outcome. Several coaches reported that these aspects influenced the way they coached in that they put more effort into trying to make the coaching process work than their clients did. Finally, in making the

determination of the mismatch, several coaches expressed this coach/client disconnect as an

intuitive hunch and had learned to honor it within themselves, regretting when they did not.

> I don't feel like I made a strong generational connection with her…I think we may have had
> some differences as well in terms of how we viewed the world. She was much more
> aggressive-push, I am less aggressive…I'm more encouraging, facilitating, supporting,
> reinforcing, working with, collaborating, partnering, engaging, rather than winning, pushing
> others over, getting the upper hand (Coach 2, Incident 4)

> The mismatch can come because we don't share a similar value system. Now obviously I
> don't share value systems that are similar with every single client nor do we have to have
> all these different values align…but it was her attitude around [those values] (Coach 1,
> Incident 5)

> I think the disconnect was…and I mean this absolutely free of judgment, I don't think my
> style resonated with him…I just don't think it made sense to him or felt particularly
> relevant…I knew we weren't connecting and I didn't feel a charge (Coach 6, Incident 6)

> …..she really struggled to make a decision on coaches and she…wanted the HR business
> person to decide for her (Coach 8, Incident 4)

Lack of Willingness and/or Ability

Willingness and ability was an overarching category that included the willingness and

ability to follow through on agreed upon actions, to focus on the coaching process, to honor

agreements and commitments and to be authentic. Coaches expressed frustration that clients did

not complete assignments, follow through with practices, reinforce activities in between

sessions, or work towards goals. A number of coaches expressed frustration with clients who

continually came to coaching sessions with excuses and no results. Many coaches discussed this

theme of "lack of willingness to change". Elements of this lack of willingness to change

appeared as conflicting intentions on the part of the client, bad timing to engage the

coaching process or an inability to stretch or being in a comfort zone.

> …..how limited she was in her own ability to really stretch and grow and challenge
> herself in that area [leadership development] (Coach 18, Incident 5)

> I guess my belief, which I shared with her that…if she wasn't getting a big pay-off from

it [the behavior to be changed]…that she would be able to change the behavior and this may be a comfort zone (Coach 13, Incident 5)

She was still married and her husband was really the one who wanted her to exercise…it wasn't really that she wanted to (Coach 12, Incident 4)

Taking action is a critical aspect to successful coaching. Several coaches expressed

disappointment for their clients who identified goals but were unable to direct the necessary

actions in pursuit of those goals.

...and this was a person who kept saying she wanted to get results and was not willing to take action to do that. She'd come up with every excuse (Coach 1, Incident 4)

It is very frustrating to see someone that you know if they could just do…the possibility is huge…..and they have the ability and if they could jus follow through a little bit more... things would shift dramatically (Coach 12, Incident 6)

...it got really clear that though she was nodding her head a lot and taking a lot of notes during the coaching sessions, she was not doing what she said she do (Coach 13, Incident 5)

I don't think he's doing much of anything between sessions. If I say "keep an eye on your goals-pull them out a couple of times a week, look at them, see if you can be applying them everyday", he'll say, "Yeah, I do that" but his heart really isn't in it (Coach 7, Incident 6)

Distractions and lack of focus on the goals for the coaching process also led to breakdowns in

the area of commitment to action. Coaches noted it was easy for some clients to become

occupied with the crises or the issue of the day allowing, focusing on the distraction, rather than

the goals of coaching.

For the past six months or so it's more about how to manage the bizarre organizational politics that he's embroiled in…just filling the time with various crises (Coach 7, Incident 5)

And from one segment of a coaching conversation to another…he would kind of bounce from one perspective to the other…so that was part of the difficulty (Coach 7, Incident 4)

It would have been helpful to chunk it down…she just went from one aspect of her life to another in and out all the time and there was nothing [happening]. I think some discipline of chunking it down and focusing…more noticing (Coach 8, Incident 4)

Still other clients were able to initiate action but were not able to sustain the change. The

coaches described it as a dance with progression and regression.

> She would be engaged, aware, seemed to be learning, and then after the call…the value of whatever we'd done would be unavailable to her (Coach 12, Incident 4)

> When we would put small baby steps into place, she was able to move them forward but sustaining was very difficult (Coach 9, Incident 5)

> The biggest obstacle was this negativity and she would get to a positive stable place write down how she was going to maintain that and then…gone (Coach 14, Incident 4)

Several coaches used the expression of creating space for coaching as their definition of

focusing on the coaching process. Clients create space by making time for coaching sessions,

coming to sessions ready to interact, and maintaining the trust built between coach and the client.

Although, closely aligned with commitment to the coaching process, it is identified here as

separate due to the very specific language used by the coaches.

> . ..something else came up that was more important (Coach 15, Incident 4)

> Well basically, then what I said was, "OK, so what I see as coaching...I don't see any point in doing more coaching...there's not place." (Coach 11, Incident 6)

> ….."Here's the way that coaching works best you are able to take the time to work on yourself for your self"...and I let her know...that when she could consistently make room for the coaching, I absolutely wanted to be there for her (Coach 18, Incident 4)

Coaches reported that clients who did not keep appointment times, came to meetings late and

made and broke commitments, made it impossible to succeed with their goals. Often,

these cancellations and missed appointments came after some success with coaching which made

it even more frustrating for the coach.

> ...and she would come late to the meeting...and she would miss a meeting and not cancel (Coach 17, Incident 4)

> ...he wasn't able to schedule the next appointment or we'd schedule it and he'd change it (Coach 7, Incident 6)

I couldn't find an agreed upon agenda to coach on
(Coach 11, Incident 5)

She has an appointment for coaching and then doesn't come. It's very sad to see what's
happening (Coach 13, Incident 4)

The willingness to be authentic impacts both the coach and the client. Honoring the truth is a

crucial ingredient in coaching success. A few coaches in the study suggested that when they

maintained a self-imposed barrier between the client and themselves, the client felt the distance

and this distance interfered in the coaching process. Conversely, allowing the self to be seen by

others can place people in positions of vulnerability and some coaches talked about clients

withdrawing due to the personal nature of the coaching process. Another distinction that arose

around the issue of authenticity was clients demonstrating incongruent behaviors by agreeing

during coaching sessions to adopt or adhere to actions leading towards goals and then neglecting

to undertake the actions.   For some coaches, these behaviors were framed as inauthenticity

rather than a lack of commitment.

And it was speaking the truth…if you are not speaking the truth personally, how can you do
it in your work? (Coach 14, Incident 4)

The red flag for me is they are not walking their talk...they are not modeling what they say
they want to do (Coach 4, Incident 5)

One of the biggest pieces that was standing in his way was not telling the truth (Coach 6,
Incident 4)

I knew how to do coaching real well-the steps, the things to ask, the tools, and techniques yet
as a coach I had this mistaken belief that I had to be behind a wall and that they couldn't
know anything about me (Coach 3, Incident 5)

Referral to Another Coach

Often, coaches have a preferred coaching specialty and/or coaching process. A number

of coaches reported that clients are sometimes confused about the distinction between a coach

and a consultant. Coaches in the study saw consulting as more of an advice giving process. A

few study participants either believed that the presenting issue was out of their scope of practice

or didn't want to provide coaching to the client for their issue. For example, one coach identified

a client who wanted new business marketing support; although the coach had the background

and experience to provide the service, it was not something she currently considered within her

domain of practice. Another coach reported terminating the coaching contract in order to

provide consulting services to the client. Other coaches referred the clients to consultants as

those coached preferred not to blur the lines that they had set between coaching and consulting.

This was also true for a coach who didn't specialize in Attention Deficit Disorder (ADD)

coaching. Although the coach did not think his client had a therapeutic issue, he felt that the

client would be better served by a coach specializing in ADD coaching as the client's ADD was

interfering in the coaching process.

> When they switched to this new business…she was leaning on me for [marketing]
> and I was resisting and pushing them towards the marketer (Coach 14, Incident 6)

> I referred to a specialist coach. I referred him to an ADD coach. I didn't refer him back to a
> therapist. He already had a therapist. He was hoping that coaching would add something to
> the mix. (Coach 19, Incident 4)

Length of Coaching Engagement

Two coaches mentioned the issue of the length of the coaching engagement as a contributory

factor to lack of success. In both of the circumstances, the organization had a pre-determined

number of coaching sessions that did not allow for extension. The coaches noted that, although

it is possible to achieve coaching success in a short period of time, it certainly makes it more

difficult when the need exists for an increased number of sessions and it is not possible to

renegotiate for the added sessions.

> I was given a 6-week period of time to help this person see some things they were doing
> and make some dramatic…changes (Coach 11, Incident 5)

> We had a contract for those six sessions, so we did complete them, but I didn't feel like there was anything meaningful that happened (Coach 2, Incident 3)

Client Mindset

Coaches mentioned the client's mindset throughout the interviews, noting it as a breakdown when the client was not able to shift a negative mindset. This shift included skills like being able to reframe situations in a more positive light, allowing the self to seeing the bigger picture, letting go of rigid beliefs, and opening up to potential in the coaching process.

> She was choosing not to see the broader perspective…she would even say, "I understand that intellectually but emotionally and behaviorally, I cannot make the shift." (Coach 15, Incident 4)

> It was really evident that he was not able to, even for a little while, give up his place on the far side of the teeter-totter in order to see, hold, or coach from the fulcrum place (Coach 11, Incident 5)

> My gut sense if that he doesn't have the ability to step out of his own perspective and that's hurting him both in team work and in management (Coach 16, Incident 5)

> I was unable to help her shift from a glass half-empty approach to living. I was unable to help her make that bridge (Coach 10, Incident 6)

Miscellaneous Breakdown Issues

Finally, there were reasons for lack of coaching success mentioned only once. These included unrealistic goals, superficiality, lack of understanding about the coaching field, broken trust, sporadic efforts, and gaminess. Coaches reported that, frequently when clients choose the coaching process to change, they know of someone who has been successful in making changes through coaching. Not understanding how the coaching process evolved and unfolded with their colleagues and acquaintances, these clients set unrealistic expectations for both the time and effort needed to make and sustain change. In fact, a client mentioned a client who had read a testimonial at a website and determined that he could make the change in a matter of days.

I also had the impression that he would be looking for results that would show up in a very particular way in a very particular time frame. And…my experience is that whenever I or a client have that expectation, too much energy goes into looking for evidence that we're doing well and not enough energy goes into doing the work. (Coach 8, Incident 4)

The fact that he said "Tony Robbins changed somebody's life in 45 minutes...that's what I am looking for" (Coach 18, Incident 5)

He was looking for the magic cure...he was looking for "Gosh, having a coach would almost be like having an executive reminder service or something." (Coach 19, Incident 5)

Coaches often expressed amazement about the depth of change that had occurred during the coaching process. Two coaches identified the coaching breakdown as due to a superficial response of the client was disappointed that her client was not able to engage in the coaching process at a deep level, instead making small steps that did not lead to sustainment of the change. A second coach found herself lost in a maze of technique instead of being able to engage the flow of coaching to lead the client into a successful coaching experience.

I did the best I could and I maybe got carried away, just by the excitement and the jazz of what we were creating and the achievement, but just another achievement I don't think… you know, I think I went on an achievement path to fulfillment and it… and… she'd already done achievement and not found fulfillment, so I think it was not a good path and I wish I'd tried other paths with her (Coach 15, Incident 5)

Trust is important in the coaching process. One coach reflected that he believed his coaching was affected by challenging his client to take broader actions, which alienated her for the duration of the organizational coaching.

What I noticed …..was that every time we would get together for coaching, she would start at a very low level place. And during the time that we're together she would get to very useful, I thought, potentially life-changing conversations and then when we would meet the next time it was almost like that previous conversation had never happened and we were sort of starting over again from ground zero...And I challenged her after the story and probably I didn't do it so well…she had a huge reaction...I went to talk with her during a break and she was in tears and very angry with me (Coach 11, Incident 4)

Although some clients use the coaching process to elucidate the contributing factors to their challenges, one client was using the coaching process to avoid this illumination and the

coach reported his client as "gamey". It was not a matter of not having an awareness of the

challenges, it was the movement of those challenges during the coaching sessions in a manner to

avoid taking responsibility and then action.

> He's a very gamey kinda guy and you sorta have to have an appetite with dealing with that
> kinda brouhaha (Coach 7, Incident 6)

Summary of Breakdown Factors

Asking for examples of coaching breakdowns resulted in rich descriptions of circumstances

that led to a lack of coaching success. Even though 52 breakdowns were identified, there were

no patterns from which to draw conclusions as many of the breakdowns were represented within

each incident cluster. However, two important revelations came from the discussion of

breakdowns. All of the coaches had to go back in time to identify an unsuccessful example of a

coaching experience. Once again, this speaks to the tacit knowledge of the coach which allows

for discernment regarding whether or not to engage in a coaching situation. Second, many

coaches revealed warning signs that arise, mostly intuitive, when they are interviewing a

prospective client. It was only during reflection about this warning sign that the coaches

verbalized not only its existence but the overriding of their own concern about the prospective

engagement.

Success Factors

Although the study participants were not asked directly to detail the factors that contributed to

the "successful incident", 17 of the 19 participants made spontaneous references to such factors.

A 100% response rate was noted for the success factor dimension when coach selection was

moved to the success factor dimension, as a theme of this dimension. Although they may appear

redundant, these factors could actually be placed upon a continuum of change with success

factors representing one pole and breakdown factors representing the other. Indeed, many of the

success factors are the converse of the breakdowns. However, the reflections of the coaches are

important to the study as it explored factors which impact success and are therefore included in this section.

Coach Selection

The coach selection process contributes significantly to the success factors in coaching and each coach talked extensively about how they selected the clients they coached. Clients find coaches through newsletters, websites, referral from clubs and other coaches, and public speaking and other training events. Once a coach has been identified as a potential coach, both client and coach interview each other for a match in cognitive and emotional resonance. Deciding whether there is a good "fit" between the coach and client is a decision made jointly between the two.

The majority of the coaches interviewed discussed an in-depth process for determining if there was going to be a fit between the coach and client. There was a definite thread between the manner in which a client was chosen and the outcome of the coaching.

Event speaking, conferences and training programs were frequently cited as the conduit for meeting the client. A benefit for the client is that the client can experience the coach in action.

He was part of a group that my organization did some coach training, training of managers and leaders, to be coach-like with their staff (Coach 14, Incident 2)

He actually found me when I was at one of those learning annex discover community things, teaching a course on coaching…and he looked up the listing, found my name and called me up (Coach 3, Incident 2)..

Many coaches spent a significant amount of time specifically networking with other professionals and coaches in order to increase their client base. Coaches referenced the hope that these relationships would provide the other professionals with an understanding of the coach's niche, personal philosophies, and successes they have experienced in working with coaching clients. Additionally, when coaching clients had successes they became a significant

source of referral for other coaches.

> This client was referred to me from someone who referred other clients and I initially came in to work with one of his staff. (Coach 15, Incident 1)

> ...through one of those networking things that I go to…(Coach 4, Incident 3)

> She was recommended through a colleague of mine (Coach 11, Incident 2)

> It was through a referral. Someone that she knew had been working with me (Coach 16, Incident 1)

The vast majority of the coaches interviewed had websites. Their websites include specific details about their coaching philosophies, their backgrounds and experiences, client testimonials, resources, and the ability to subscribe to their own newsletters. Several coaches were selected based on website information. Two coaches specifically detailed the impact of their newsletter on the choice of the client in choosing the coach.

> Well, he'd read an article that coaching could greatly help with organization skills and time management…(Coach 19, Incident 1)

> …came to me after reading an article I had written about graduation…and that just really spoke to him (Coach 8, Incident 2)

> She had found my newsletter on my website and it had been a resource for her on an on-going basis (Coach 6, Incident 3)

In addition to their coaching activities, some coaches provided training, group facilitation and workshops in the form of corporate or community-based training. The ability to evaluate the coach while the coach provides training was considered a huge factor in the selection of a coach.

> I was teaching classes and this person hired me to help them get their business going (Coach 3, Incident 3)

> He heard me speak at a conference (Coach 19, Incident 3)

He had had exposure to me because I'd been a trainer in the classroom that he trained in (Coach 9, Incident 4)

I came to work with these two groups from large groups of facilitation (Coach 17, Incident 2)

Ah, she was drawn to me because she attended a workshop that I was doing and she came up to be a volunteer client in this workshop (Coach 9, Incident 1)

Coaches most frequently cited clients' use of the interview process to determine whether

there was going to be a connection between coach and client. Many of the interviews took place

in person, particularly when it was within an organizational setting; however, one coach did

mention a phone interview. Coaches talked about being part of a team or one of many coaches

that were interviewed by prospective clients. One coach even mentioned providing a prospective

client with a suggestion for solving a concern; when the method was successful, the client

immediately hired the coach.

And so it ended up when we got done with the call…he didn't hire me at the moment, but he went out and put into practice and called her in, had a session with her, it was wonderful. and he called me back and said, 'You're hired' (Coach 3, Incident 1)

Many coaches cited resonance between client and coach as important to the coach selection

process. Some coaches believed the resonance occurred because of their specialized approach;

others cited a difference in personality and style as creating the resonance. Still, a significant

number of coaches felt that the ability to communicate their own coaching perspective created

the resonance.

I think he chose me, as well, because I was able to express the importance of joining heart and mind with just how we show up, our presence as an executive (Coach 10, Incident 1.).

I think because the engagement piece, the sense of legacy, building a leadership brand resonated with him (Coach 10, Incident 3)

She liked my approach. How I overviewed. How I work with people. Resonance piece was definitely there (Coach 18, Incident 2)

He got intrigued with coaching…I made a presentation at the company and he decided that all of his direct reports were going to have a coach (Coach 16, Incident 2)

Other coaches believed that the resonance was due to background and experiences.

…they were looking for female coaches…most of the people who come to me because I'm not really in the corporate focus or that real business focus. ….people come to me from the website because I have had a lot of different kinds of experiences. I've raised children. I have been an entrepreneur. I have worked in the corporate world. I was a high school teacher. ...There's a sense of professionalism and integrity that seems to show through (Coach 6, Incident 2)

What drew her to me was two things…I have an extensive art background so knew I would understand the difficulties and also the perspectives that she faced. …but I asked her questions that started shaking up her thinking and she realized that that was beneficial to her…(Coach 13, Incident 1)

Because I spoke to things that most value to…I saw what she most valued and spoke to her and affirmed it (Coach 15, Incident 2)

A few coaches felt the reason they were selected as a coach was that the prospective

client was able to identify something in the coach that they wanted for themselves, which is

another form of resonance. Sometimes this identification occurred while in the presence of the

coach. Other times, it occurred when the client spoke with someone who had achieved specific

results with a particular coach.

Internally enough people saw results that they wanted to continue the kind of work we were doing with the business (Coach 4, Incident 2)

There was a whole range of things that she experienced as stressors that I didn't experience as stressors….also there was a range of stressors that I just didn't have because I took care of myself first (Coach 8, Incident 1)

So again it's a very honest [process]…and she said 'you know, (name), I want to work with you because I already build this trust up with you a long time ago (Coach 11, Incident 3)

This category represents how the coach was selected by the client. Coaches reported that it

was their belief that the coach has a responsibility to ensure that the selection process is based

upon mutuality and establishes the basis for moving forward into the coaching process.

Enjoyment of Client

Coaches frequently responded enthusiastically about the enjoyment they received from coaching the client. The coaches found the coaching process fun and looked forward to the coaching sessions wishing that they had more clients like the one being discussed. The desire to clone the client was expressed by several coaches.

> ...so it was a really fun person to work with…she has a great sense of humor (Coach 4, Incident 2)

> ...this client and I had fun...we would laugh (Coach 10, Incident 2)

> ...and he was fun because he had training as a psychiatrist…I think he was fun for me because he challenged me to really use my best influencing and persuasion skills with him (Coach 11, Incident 2)

> I love working with women like that because many times...I view them as heroes….I think it's incredible that they overcame an amazing hurdle like that one (Coach 5, Incident 2)

Connection

Participant coaches also frequently cited the connection formed with a client and the strength of that connect as a success factor by participant coaches. This connection was when the client trusted and felt supported and acknowledged by the coach.

> I think she could see that I was really on her side and I was really supporting her… and that I wasn't going anywhere with her information (Coach 9, Incident 2)

> ...the acknowledgement that I gave him each week is something he wasn't getting in the workplace so the greatest thing that he took away was the time he had to be totally honest with somebody who cared only about him (Coach 10, Incident 2)

> …we made a really, really strong connection on our first meeting (Coach 18, Incident 2)

Accountability

Another success factor the coaches mentioned manifested as a common thread of willingness to commit, following through with agreements, appointments and actions, and the completion of assignments. Coaches believed it was this accountability lead to successful

coaching outcomes. In fact, as reported previously, coaches cited the lack of this commitment as

a breakdown factor.

> She's really very, very open and embracing of assignments because I work based on giving people assignments (Coach 14, Incident 1)

> She never missed a coaching session…she always came prepared to talk about something (Coach 11, Incident 3)

> It's how they show up in their calls and it's what they do after your calls (Coach 14, Incident 2)

Openness

Coaches identified the client's openness to possibilities and a desire to change as a factor that

led to successful coaching outcomes.

> ...open to exploring…open to sharing really just the black and white of what was going on (Coach 9, Incident 4)

> …just to reinforce how open to he was to even doing what done might consider to be some pretty hokey stuff (Coach 7, Incident 3)

> There's got to be a deep desire…heightened awareness of your current behavior…..
> there's a longing…that what it is going to cost them if they don't (Coach 10, Incident 2)

> I think that readiness to change is a big one…it is one thing to have the courage to look inside and it's another thing to do something about it (Coach 16, Incident 3)

> The next section discusses motivation, the final factor cited as leading to successful coaching

outcomes.

Motivation

Coaches noted that come clients were motivated intrinsically while others were motivated by

what was at stake. Coaches found that when their clients were motivated, the coach was also

more engaged with the client.

> I have the greatest success with the people who want to succeed in being better leaders…
> it really comes down to that person's motivation (Coach 18, Incident 2)

...and so I would say that he was one of those people who made dramatic changes because he was really motivated by his own desires for advancement and recognition (Coach 11, Incident 2)

...there has to be something at stake immediately…on the what do you want and what do you need to do (Coach 10, Incident 1)

Summary of Success Factors

The success factors identified by the coaches in this study suggest that being able to make a connection early in the coaching process will lead to more successful coaching. This is a primary reason why coaches conduct an interview of prospective clients as without this relationship resonance the coaching could break down. The other success factors are difficult to measure at the beginning of a coaching engagement, taking time to emerge.

Dimension: The Coaching Process

Participant coaches identified aspects of a coaching process in which they typically engaged when working with clients to achieve goals. These aspects were themed together and organized according to the structure of the coaching sessions, models used, assessment of the client, coaching strategies and evaluation of the coaching process. Three sub-themes were identified in the coaching process. They were role plays, mediation and body work and were sub-themes of the reinforcing activities theme. Table 6 lists the categories themes and sub-themes that contribute to the dimension, The Coaching Process.

Table 6.

*Dimension: The Coaching Process*_____

Category:
The Coaching Process   -
_____

Themes	Sub-themes

Coaching Structure

Assessment

Exploring Beliefs and Assumptions

Reframing Perspectives

Values Clarification

Visioning

Synthesizing and Connecting

Experimentation and Practice

Reinforcing Activities	Role Plays
	Meditation
	Body Work

Skill Development

Evaluation

Coaching Structure

The majority of coaches reported that the structure of their coaching engagements was based

primarily on the length of time clients were coached, ranging from two months to two years.

One coach described a specific structure in which all clients completed the coaching process in a

five month time frame. The occurrence of the sessions varied from weekly to monthly. A

couple of coaches discussed a process for a communicating in between sessions depending upon

the needs of the client. These check-ins generally lasted between 15 and 20 minutes.

> ...he's freely done a lot of just touching in and doing 15-20 minute calls during the
> week (Coach 4, Incident 2)

> …generally is short-term person working with me, where we come in and we know
> that we are going to work on something and be done is about nine months (Coach 3,
> Incident 6)

> Most of the coaching was conducted over the phone. When the coach was in the same

local area as the client, the first visits tended to be in person with the remainder of the

coaching sessions being held via the telephone. When in organizations, the majority of

the coaching was face-to-face.

> Usually, almost always on the phone (Coach 8, Incident 2)

> I do almost all of my coaching over the phone…when I have someone local, I often
> will see them the first time in person (Coach 12, Incident 4)

> Several coaches reported fee arrangements, sample sessions and contracts. Contracts

in the life coaching area centered around making commitments to the coaching process

and guarantees for a successful coaching outcome. The guarantees were also discussed

with respect to organizational coaching but the contracts were more often with the

organization rather than the person as the coaching was paid by the organization. An

additional distinction was that, in organizational coaching, there was typically a beginning

three way meeting between the client, his supervisor, and the coach.

> Typically in coaching people get a sample session…and in that first session I don't
> do what I call coaching…I do much more looking for a theme (Coach 6, Incident 3)

> …the very first meeting I do is free (Coach 1, Incident 5)

So the structure of the program was…we began with a three way meeting (Coach 15,
Incident 4)

<p style="text-align:center">Models</p>

The coaching industry is built upon proprietary models and borrowed frameworks from other

disciplines. Only about half of the coaches discussed their model for the coaching

process with four coaches referencing a specific coaching training model. There were several

coaches who adapted principles and models from other fields to inform their coaching practice

while others discussed models that came from a specific branch of coaching such as somatic

coaching.

...from the Foundations of Ontological Learning Program with Newfield (Coach 9,
Incident 2)

...sort of the recovery model of addiction treatment…the model is about breaking
and remaking habits (Coach 11, Incident 2)

It's called Guidelines For Living. And when a client gets an "aha" that moves them forward,
we ask them to write it down in the present tense, positively stated in a personalized
statement (Coach 1, Incident 2)

In many ways, I think it is like Appreciative Inquiry (Coach 14, Incident 4)

Two primary categories of how I use [somatic coaching] are; I use it in being aware
of changes in my own body sensations and impressions and I use it in terms of leading
the client in noticing their own and reporting their own body sensations and
awareness. (Coach 8, Incident 1)

I am basically anchored in the Co-Active Model (Coach, Incident 2)

Once the model or framework was identified, the coaches engaged in extensive dialogue

about how the model was implemented during the coaching process. The most important

aspect of their model was the process for integrating its principles into their coaching practice,

not the model itself as no coach reported strictly adhering to the totality of a specific model.

So the first step in coaching is taking something that someone is doing and making it
conscious…so it goes from unconscious incompetence to conscious competence (Coach 11,

Incident 4)

I have a range of questions that I work with …which are to look, to see what's going on, to tell the truth about it and then out of that to look and see what the action is (Coach 13, Incident 1).

I think an important part of coaching…[Robbins] has a name model for it…in my shifted or unshifted mind, depending upon how you look at it…part of what we are there to do as coaches is to help our clients think and believe and understand differently (Coach 18, Incident 1)

The shift from use of a model to flowing with the coaching process was apparent as coaches

discussed their client interactions. This shift reflects the nature of expert knowledge in

experienced coaches.

...a lot of it just came from experience...I just reached in my tool kit and whatever I needed just magically showed up (Coach 3, Incident 3)

There was a lot more consultative type pieces of sharing experiences of what has worked for other people (Coach 16, Incident 4)

I do share a great deal of my experience with clients (Coach 12, Incident 1)

....I'm so fluid that I can't think of what techniques I might use at a given time (Coach 18, Incident 3)

I think it also is life experience…it is taking knowledge and life experience and being able to create a tapestry and weave it (Coach 1, Incident 4)

Assessments

Sixteen out of the 19 coaches discussed assessment; eight coaches cited formal

calibrated instruments. The most frequently cited instrument was the Myers-Briggs Type

Indicator. The remaining responses were distributed among DiSC, Values in Action, Now

Discover Your Strengths, Leadership Development Framework, Survey of Influencing

Effectiveness, Enneagram and MAPP (Motivational Appraisal of Personal Performance). Other

coaches conducted a more informal assessment process through the identification of values,

strengths, and life balance and visioning. One coach described the modification of an intake

form to use as her assessment process.

So I actually did walk him through a wheel of life exercise (Coach 3, Incident 2)

I used the archetype work from the Newfield work…it looked at different archetypes
like the queen, the king, the lover, the warrior and the fool and really talked about
what energy situations require (Coach 9, Incident 1)

...and there are four or five questions on that intake form that create the opportunity for
discussion around openness and readiness to change, and willingness to look inside, and
clarifying what it looks like to be supported and also defining the coaches role (Coach 16,
Incident 2)

Six coaches specifically discussed 360 degree assessments. Most coaches supplemented the

360 degree assessment with their own interviews while other coaches conducted their own

tailored 360 degree interviews. In some cases, coaches reported using the results of assessments

that clients had previously taken and constructing a debrief on the assessment and then choosing

strategies that fit with the assessment results.

…most clients come to me with binders full of 360's …this particular client cane to
me with a binder from his leadership development program that included a 360 (Coach 9,
Incident 2)

…had taken a multitude of assessments and provided me with just incredible starting
data because he shared what he had searched for…(Coach 5, Incident 1)

...I do my own 360 which is an intensive interview process (Coach 17, Incident 1)

In all instances, the assessment process provided the coach with a starting point for the

coaching process. Coaches who reported using or conducting an assessment process reported the

process as foundational to the coaching engagement.

I had actually debriefed those instruments with her at the outset of our engagement
(Coach 14, Incident 2)

And then we will go through the detail with examples and validate it (Coach 12, Incident 2)

We did go back to his 360's that preceded that to see if there were any themes that
were consistent (Coach 15, Incident 1)

A few coaches reported that they "shadow" clients as part of the assessment process. Shadowing typically takes place at the workplace and is one more method of collecting data so that the coach can make accurate suggestions to the client.

I also had a chance to observe him in a couple of meetings (Coach 10, Incident 3)

I actually sat in with him on a pretty important meeting…watched his behavior and gave him some…normal coaching feedback (Coach 11, Incident 1)

Then shadow-coached them to coach the next line of management (Coach 17, Incident 3)

I included a one day visit, I call it shadowing…I visited him in his office (Coach 19, Incident 1)

Coaching Strategies

Coaches identified general coaching strategies along with specific cognitive, behavioral and written strategies used to achieve successful coaching outcomes. The strategies included exploring beliefs and assumptions, shifting perspectives, clarifying values, visioning, synthesizing and connecting, building congruent actions, creating, setting goals, identifying tools and resources, experimenting and practicing new behaviors, reinforcing activities, and evaluation.

Explore Beliefs and Assumptions

Most coaches reported that, once the approach was selected, they explored whether the beliefs and assumptions that the client was making about the incident were limiting with regard to anticipated changes.

My job in the coaching is to help someone see that they have these negative ideas around what they say they want and that there is not truth to them (Coach 9, Incident 4)

What are their underlying beliefs and assumptions that may be driving their actions and behaviors (Coach 1, Incident 3)

She was able to really look at …her self-limiting beliefs and biases about her physical being (Coach 9, Incident 4)

The first thing we did was to look at what personal conversations, limitations and so forth, might be up for her (Coach 4, Incident 3)

We got to look and see whether it was serving her and whether it was serving what she wanted for her family (Coach 6, Incident 2)

This is something that I particularly listen for in clients …that limiting self conversation (Coach 16, Incident 3)

We worked on belief systems…identifying what was under the fears…seeking to understand the fears more fully (Coach 18, Incident 2)

What I am doing when I am listening to the stories…I am listening for the place where I believe the change can occur…where a person is stuck in a particular belief (Coach 1, Incident 1)

Reframe Perspective

The majority of the coaches described a process they used for helping a client shift

perspective. This shift in perspective was seemingly crucial to the achievement of goals

and successful outcomes and, when reported in reverse, was a factor in coaching breakdowns.

What I've done…is really offering a distinction that results in a kind of reframing (Coach 14, Incident 2)

I encourage leaders to create a sense of reality that goes beyond their own perceptions (Coach 7, Incident 2)

Reminding her to shift her focus (Coach 3, Incident 4)

What I had to do with her was get her to see that there were ways where she could interact more with her co-workers (Coach 6, Incident 3)

My first thing is to find a different frame for the work (Coach 14, Incident 4)

What we're there to do as coaches is to help our clients thing and believe and understand differently (Coach 5, Incident 2)

And showing him how his beliefs were creating his "stuckness". And that in order to get unstuck he'd have to change a belief. And asking him, "Which… what would it look like?

What would it sound like? What would it feel like if any of these beliefs would change?"
(Coach 10, Incident 5)

Clarifying Values

Clients often needed clarification of the values, needs, identities and roles in their lives.

Coaches used a variety of value exercise to help clients discover the essence of their values.

A lot of the work that we did with the team was helping people get connected to their own values and the values of their organization (Coach 11, Incident 1)

…what I've helped him with is getting clear about his own values in his own life and what he wants to do next (Coach 8, Incident 2)

…was to really go deeper in terms of what are his core values as a human being…what are the intended and unintended consequences (Coach 10, Incident 1)

I have a very definitive process I use around a values alignment piece
I always get the very, very, very clear on what [the goal] will do for them…and identify all the things the client wants to do toward the goal (Coach 14, Incident 2)

...and I think it speaks to again starting with him, "what are your core values…what is your purpose...why do you do what you do? (Coach 16, Incident 1)

So I worked on how she could be clearer about whose role this was (Coach 18, Incident 2)

Usually start with the difference between selfish and self-care…that's the first major distinction…and one we get pat that a lot of it is also how to language it (Coach 6, Incident 3)

Visioning

Several coaches noted the importance of a client's ability to envision as well as

communicate about their future. The process was used to determine the ability of the clients to

engage in using the imagination to create and then move into their futures.

We brought that team through some group processes such a vision building, strategy work and team communication pieces (Coach 7, Incident 2)

the work was to articulate the vision...and get really clear on it (Coach 14, Incident 1)

visualize using that skill in the future and whether or not that energized her (Coach 15, Incident 2)

invite images in their mind of whatever they happen to be talking about in that give
point in time (Coach 3, Incident 1)

brainstorming about what his future would look like (Coach 1, Incident 5)

Synthesizing and Connecting

Clients were often asked to pull together threads of thoughts, actions, and ideas in order to

construct and make meaning from events that were happening to them. This process of

synthesis and connection led several clients to explore options they did not realize were

available to them.

There are certain questions you can ask that trigger emotional responses that trigger
someone to look in a different area to go deeper (Coach 4, Incident 1)

We'd detangle…take the hooks off…and then she could choose what she wanted to
(Coach 16, Incident 3)

"What are the obstacles that are showing up from you having this…dream? And so, I
can hear what's going on for them (Coach 8, Incident 4)

My gift with my clients is to push them and yet hold it and connect the dots for them
(Coach 9, Incident 5)

We started talking about the connection between clutter and disorganization in the
office and the energy that gets drained from you that would be available (Coach 1, Incident 2)

..and showing him how his beliefs were creating his "stuckness" (Coach 15, Incident 3)

Building Congruent Actions

A majority of coaches talked about authenticity- their own and that of the clients'.

Believing that the coaching process builds congruent actions, coaches used various processes to

create an awareness for clients when their behaviors were incongruent with their stated goals and

beliefs.

But that's how you walk into more of who you are being…you decide who you are
and you stay in touch with that (Coach 9, Incident 5)

Depending how big the issue is…"so, what part of yourself do you have to accept in order to promote congruence and fidelity?" (Coach 10, Incident 2)

She got to see the role she was playing…and how that was not serving her (Coach 6, Incident 1)

I like to leave a sustainable plan in place for continued learning (Coach 7, Incident 4)

Setting Goals

Setting goals was an important part of the coaching process as 14 coaches made a number of references to setting goals. Language was important to this category because, when the category was originally identified, it included only specific references about goals. However, a review of the transcripts revealed that coaches frequently interchanged "the work" for the goal. Additionally, in one model coaches use the word "results" instead of goals.

...we happen to call them results not goals…but all the results are coachable (Coach 1, Incident 2)

so the work has been around helping her get clear that there is a difference between reacting and responding (Coach 12, Incident 3)

With regard to setting goals, there was a variance from very specific to broad goals. Several coaches discussed the SMART model (Specific, Measurable, Actionable, Realistic, and Trackable), yet others referred to general goal setting. Coaches reported addressing the measurement of goals in various ways. A few coaches had check-ins during the coaching process; however, others made the determination as to when the goal was reached. Occasionally, goals were broken down into sub-goals or action steps for the purpose of planning for behaviors and determination of achievement of the goal.

...we broke it down into sub-goals…identifying one of his core weaknesses (Coach 15, Incident 2)

...I ask them to set very specific goals and then break those down into doable steps and milestones (Coach 4, Incident 2)

Participants frequently discussed accountability for goal achievement; several

coaches remarked that accountability contributes heavily to an effective coaching process.

> ...and we both discovered that he wanted to be held accountable for those goals and that was not a service I was providing him. So we actually negotiated to set some more structure with our sessions where initially when we got together we would do a check-in on the whole series of goals….(Coach 10, Incident 3)

> …I ask them how long this has been a goal and if they've ever been successful at it (Coach 18, Incident 1)

> …that's the key to coaching…goals and accountability (Coach 19, Incident 4)

Identifying Tools, Resources and Support

The tool and resources category primarily encompasses books and authors that coaches either

used in their practice or recommended to clients. The tools and resources encompassed both life

and organizational coaching areas. Some coaches identified particular authors such as William

Torbert, Robert Kegan, Robert Fritz, Harville Hendricks and David Cooperrider.

> And her instrument is at the foundation of Bill Torbert's work…and I certainly use Kegan (Coach 2, Incident 2)

> …a lot of the work that informs me while I am coaching is the work of Robert Fritz and the creative tension stuff…the Appreciative Inquiry work of David Cooperrider is there (Coach 9, Incident 4)

The majority of coaches named the books and their authors used in their coaching process.

Coaches cited books such as "Now Discover Your Strengths," "Destiny Cause

and Calling," "The Power of Now," "The Artist's Way," "Trust and Betrayal in the Workplace,"

"The Portable Coach," "How to be Naturally Therapeutic," and "Masterful Coaching," One

tape, "Finding Your Passion," was cited as instrumental in a coaching process as were tools

developed by the Anthony Robbins program.

> And so I brought the Reina work ["Trust and Betrayal in the Workplace"] into our coaching and we …did an anatomy of the environment, vis-à-vis trust; where she trusted and where she didn't trust. (Coach 14, Incident 4)

There was a book that was really influential to me in the beginning of coaching and still is…it was called "How to Be Naturally Therapeutic" (Coach 9, Incident 4)

I use the Tony Robbins tool primarily with her and one of the tools that I use a lot is the triad and it's a way to manage your emotional state (Coach 18, Incident 3)

Coaches also spent a significant amount of time helping clients identify resources

necessary to make and sustain the change; these resources included support networks and

environmental changes.

Identifying what the tools were [that] were missing and then connecting them to that (Coach 16, Incident 5)

I recommend books…I recommend seminars (Coach 12, Incident 5)

And what other support are they going to need…I often bring other people in…just where…whatever's needed into my relationships… also hold that I don't know it all (Coach 14, Incident 2)

We looked at whether or not there were areas in the environment that she could express herself (Coach 5, Incident 2)

Looked to see what other skills she might need to acquire…to flourish (Coach 6, Incident 1)

First we have people identify what help they want…what kinds of support they want (Coach 12, Incident 3)

Experiment and Practice

Almost all coaches mentioned giving clients specific tasks and assignments directed at helping

the client achieve goals. For many coaches, it was this experimentation process that led the

client to new behaviors creating successful coaching outcomes.

I gave her some reading assignments because I didn't feel like she was grounded well enough in organizational systems and structure (Coach 14, Incident 2)

I made sure that he documented the process he went through that should he ever get stuck again in polar thinking…he would be able to open it up to a continuum and solve his own problem (Coach 1, Incident 1)

…and when a client gets an "aha" that moves them forward, we ask them to write it down in the present tense, positively stated in a personalized process (Coach 15, Incident 9)

…the last phase of the journal exercise has been when you write it down and you calm yourself, then identify at least three different ways that you could respond and then choose which one would be the wisest for this situation (Coach 2, Incident 1)

 had her very specifically writing down every day what time she got to work, how much time she took for lunch…really calculating how much time she gave to herself (Coach 16, Incident 3)

I gave her a lot of paper and pencil exercises-open-ended questions to talk about how she saw the purpose of her life (Coach 11, Incident 1)

I asked her to make lists of things she like and didn't like…I asked her to detail what she thought were the advantages and disadvantages (Coach 15, Incident 2)

Skill development. Many clients came to the coaching engagement with the intention of

developing new skills. This was most particularly true for organizational clients who wanted to

enhance leadership and communication skills. And, although it was not always the presenting

issue for coaching, other clients also chose to add the development of interpersonal skills.

Coaches who discussed skill building frequently positioned it with experimentation.

We spent a good portion of our time really enhancing her leadership effectiveness (Coach 2, Incident 3)

And let's use our coaching relationship as a place for you to experiment (Coach 10, Incident 2)

To develop the strengths…that they'll need going forward and they haven't really developed yet (Coach 9, Incident 4)

...from the research, called out some of these pieces for him to experiment with (Coach 18, Incident 4)

The other thing is experiments...I tried to move with experiments (Coach 15, Incident 2)

Reinforcing Activities

In addition to assignments, coaches frequently engaged in other reinforcing activities intended

to help clients make change. These activities included; drawing visions, taping telephone calls,

making presentations, and videotaping the client in action.

> We draw the conversation…what I've found is that when people can see what they are talking about visually versus just seeing the linear world, that they are able to understand what really going on or see it in a different light (Coach 4, Incident 2)

> Have them tape calls and transcribe them…you want a system where everyone is saying the same thing (Coach 7, Incident 1)

> He actually did a presentation for me (Coach 13, Incident 1)

> And I suggested that…we could videotape him..."we can look at it together to see what you notice" (Coach 14, Incident 3)

> *Role plays.* Coaches frequently mentioned the use of role plays as a reinforcing tool to probe

deeper into the incidents and to practice behaviors that would result in the achievement of goals.

> Then we role played and they used some of the…templates that I created (Coach 1, Incident 3)

> We talked about when she had incidents at work that she felt didn't go as well she would role play it with me (Coach 3, Incident 1)

> We'd use role playing…I'd have her share incidents with me (Coach 18, Incident 2)

> We might do a role play…how would you ask for help from this person? (Coach 5, Incident 1)

> We have the well-being game (Coach 1, Incident 2)

> So we actually role-played it out before she had the conversation with that direct report (Coach 2, Incident 1)

> *Meditation.* Several coaches reported using meditation as a technique to help busy clients

slow down. Meditation helped the coach to refocus clients who were distracted and not able to

adjust the pace of their lives.

> But it's almost like a meditative piece where they are just totally present (Coach 10, Incident 1)

> I teach them to mediate, if they are willing (Coach 7, Incident 3)

I often teach simple meditation techniques to executives (Coach 15, Incident 1)

Body work. Coaches frequently cited using the body to inform the coaching process. Some

coaches subscribed to a specific technique while others were more general in their approach.

> Asking her not to think but to actually get into her body…more or less an energy
> perspective (Coach 13, Incident 1)

> I could ask her to go into her body and to observe her posture and changes in physical
> sensations, changes in the quality of her mental conversation, not the content but the
> tone, and the rhythm of it…when a client has been noticing what comes through that
> physical channel, they just take off like a shot (Coach 15, Incident 4)

> ...tuning into physical sensations and shifts and relating to them or relating to
> yourself to that part of yourself that's being expressed in a sensation or shift,
> remaining present to it as it becomes more clear (Coach 8, Incident 3)

Evaluation

Nine coaches spoke spontaneously about evaluation. Several coaches talked about a

check-in process to determine whether the client was on target with goals and expectations for

the coaching process. In most instances, these check-ins took place at each session. Other

coaches cited the use of a monitoring process to determine whether coaching was helping the

client to make change. One coach specifically discussed a formal evaluation process that

included a midway evaluation form consisting of both open-ended and forced-rating scales.

Other coaches provide clients with follow-up surveys to complete immediately after or within

two months of the coaching engagement.

> ...at the midway evaluation form, I get a lot of stuff there. People may not be comfortable
> saying something directly to me, but when I give them that three page evaluation form, it's
> amazing what they put down. (Coach 1, Incident 1)

> ...with other clients we have regular check points put in (Coach 10, Incident 3)

Several of the coaches used the word accountability to frame the evaluation process. Some

avenues by which they maintained accountability for the change process were sending emails,

holding the client accountable for goals, providing what deliverable was agreed upon and leaving

an organizational engagement with a sustainment plan in place. Completion of goals and

celebrating successes were discussed as a form of evaluation of the success of the coaching.

> So now when I'm leaving a relationship, there's an agreed upon plan that's gotten buy-in from the manager. …one of the things I cannot control is the savvies of the line manager to continue to coach this client. (Coach 11, Incident 2)

> She came into the last session with a bottle of sparkling cider and two champagne flutes to celebrate the work that she had done and to celebrate herself and the achievements of the work that we had made together. (Coach 3, Incident 3)

Summary of the Coaching Process

Although there were only 19 coaches in this study, there was a rich and abundant discussion

of all the potential paths to achieve coaching goals. The preponderance of strategies referenced

by the coaches in this study speaks to the complexity of coaching and the necessity of being able

to match strategy to each coaching situation.

Dimension: Coach Functions

The coaches often interwove their discussion with threads about the functions of a coach,

including roles and responsibilities. Table 7 lists the categories and themes that contribute to the

dimension, The Functions of a Coach. Coaches maintained that they had a responsibility to build

relationships, ask provocative and probing questions, communicate directly, provide a safe place,

help the client notice and reflect back to the client what was happening, and customize the

coaching process for each individual client. Coaches also frequently discussed an aspect that

speaks to expert knowledge; experienced coaches frequently discussed the nature of their

personal experience as it related to the coaching process.

Table 7.

*Dimension: Coach Functions*_____

Category:
Coach Function   -

_____

Themes

_____

Building Relationships

Provocative and Probing Questions

Direct Communications

Creating Safety

Noticing and Reflecting

Customizing the Coaching

Building Relationship

Many coaches discussed the importance of the relationship between coach and client as

leading to successful coaching outcomes. Emphasis was placed upon growing and fostering the

relationship through support and acknowledgement of the client.

> I remind people how hard it is to do what they are trying to do and how much
> compassion they need to have for themselves and how much appreciation I have for
> the opportunity to work with them (Coach 15, Incident 1)

> I respond to them as fast as I can…with lots of enthusiasm…I demonstrate my
> commitment to being helpful to them (Coach 10, Incident 4)

> This particular client used me primarily as a sounding board (Coach 8, Incident 2)

> It's celebrating the successes too…helping the hold the course (Coach 18, Incident 3)

> Because I saw and affirmed and acknowledged who she was (Coach 4, Incident 2)

> And sometimes just loving accepting silence (Coach 3, Incident 4)

The quality of the relationship that's created is integral to the work (Coach 9, Incident 1)

Provocative and Probing Questions

Coaches believed that it is the questions that led to successful coaching. Questions needed to be deep enough to require the client to think differently about their challenges yet they also had to be helpful in maintaining the relationship; coaches saw this as a delicate balancing act. One coach talked about the iterative nature of questions; each question builds upon the last one asked.

And they'd be very, very open question to him that allowed him to take the lead with where he wanted to go (Coach 3, Incident 2)

I have a range of questions that I work with…they are pretty much ontological questions (Coach 9, Incident 2)

Just an open-ended question about what she liked about using those skills (Coach 6, Incident 2)

Just really listening with really powerful questions (Coach 5, Incident 2)

I asked him provocative questions and invited him into his power (Coach 10, Incident 4)

That was what brought the energy out…selecting the words that really lit him up (Coach 8, Incident 2)

Conversations, questions, challenges …I ask questions based on what I hear and I create conversations based on what I hear (Coach 1, Incident 4)

Direct Communication

Coaches frequently discussed the direct nature of conversations between coach and client. Coaching is not a process in which the coach backs off from stating what is being observed and many coaches reported that this directness was part of how they approached coaching.

I'm very directive sometimes blunt…I like to offer humor…but the language used is different depending upon who they are (coach 18, Incident 3)

I was also ruthlessly honest…I wasn't unkind in any way but I never pulled back from what I saw (Coach 10, Incident 1)

I had the sense that the only way I was going to form a strong alliance with him…was with a heavy dose of confrontation from the get-go (Coach 7, Incident 2)

He really needed to be pushed to take some risks if he wanted to grow in the organization (Coach 15, Incident 3)

Safety and confronting with real precision (Coach 3, Incident 2)

...and I always do truth telling if truth telling is necessary (Coach 13, Incident 1)

Safe Place

Coaches asserted that creating a safe place for expressing and discussing potentially harmful or damaging issues is essential in building relationship. Coaches believed that clients needed a place where they could speak their minds and be fully authentic in order to navigate change.

He had no other place to talk about a lot of these things or to explore them (Coach 10, Incident 3)

It's a place of non-judgment…it's a place of acceptance…I leave them the space to process (Coach 3, Incident 1)

I set up what I'll call guidelines for safety…in working with people, anything we say stays here, it doesn't go anyplace else (Coach 15, Incident 4)

Holding that space for a person, personally allowing them a place to release some of that energy and bringing it back into the bigger picture and context (Coach 17, Incident 2)

We created an atmosphere of safety and trust and openness and people started talking (Coach 6, Incident 2)

Noticing and Reflecting

The majority of coaches discussed the phenomenon of noticing. Often expressed as creating an awareness for the client of a behavior or emotion, coaches called attention to body sensations, intuitions, and incongruencies to foster client successes. In addition, coaches reported the clients' need to have their thoughts and ideas reflected back to them.

And we did a lot of work around what are the body sensations…what are the clues that tell you that you are angry (Coach 2, Incident 2)

if something's not working with someone…it's intuitively checking in with what I am noticing…and asking them what do you notice? (Coach 14, Incident 3)

So that was…creating awareness…It's all about having the client really see the situation the way that …an outsider would see it (Coach 5, Incident 4)

...just being present and helping her notice and building her awareness of the choices that he was making and of their consequences (Coach 11, Incident 4)

In coaching, there's the tension that's created between awareness of what you have and awareness of what you want (Coach 15, Incident 1)

Reflecting back…I remember once she had been to a Yoga or dance class that day…her voice was noticeably different…asking more about something that she was reporting…and noticing how it lit her up (Coach 8, Incident 3)

Just simply through mirroring (Coach 5, Incident 4)

I reflected back to him his perspective of himself (Coach 18, Incident 6)

Customize the Coaching

Many coaches described in detail how, after assessing the clients, they customized the coaching to meet the unique needs of each client. Often, the coaches were able to determine the approach based upon the personality of the client, although in other cases they made the determination by soliciting feedback from the client.

I start each call list with what would you like to cover? What do you want to walk away with by the end of this call? (Coach 6, Incident 2)

But I don't have is so firmly structured that the client doesn't guide me into what will work best for them…I use what works for them (Coach 1, Incident 4)

So for each person I am meeting them wherever they are…trying to gear what we're talking about and how we're talking to the place they are in their lives (Coach 9, Incident 5)

The first thing I usually do is take the client's goals as it's handed to me completely I used a different form of coaching…more structured and integrating bits of best practices (Coach 11, Incident 3)

Summary of Coach Functions

The functions of the coach were separated out from the coaching process as coaches provided extensive detail about what they did as a coach. Coaches spoke often about the need to create the safe space for coaching which leads the client into greater authenticity and depth.

Dimension: Outcomes

It was no surprise to the coaches that many of the clients who chose coaching as a process for making change achieved their goals. The majority of the outcomes mirror the incidents which propelled the clients towards coaching. Table 8 lists both the planned and unplanned outcomes reported by study participants.

Table 8.

Dimension: Outcomes_____

Category: Planned	Category: Unplanned
Themes	Themes
Business Improvement	Improved Relationships
Initiated and Sustained Action	Additional Coaching
Shifted Perspectives	Self-Realization
Developed Authenticity	Changed or Advanced in Career
Discernment and Distinctions	Identified Hidden Passions
Changed Careers	Coaching Advocacy
Changed Behaviors	Major Shift in Perspective

Career/Role Transition

Achieved Work-Life Balance

Business Improvement and Successes

The majority of clients came to coaching to improve their businesses and build business

strategies. Most were successful.

He's hired a new COO…hired a new senior level salesperson…he's closed on of his
sales branches (Coach 10, Incident 1)

She's more than doubled her business…managed her business financially and understood
what makes it tick (Coach 4, Incident 3)

Initiated and Sustained Action

Taking action towards goals is instrumental in achieving goals. All of the clients who had

successful change efforts were not only able to take action, they were also able to sustain that

action.

…and by the end of coaching, she hadn't cleaned up the whole thing…she had mapped
out about a 350 hour project to do (Coach 1, Incident 2)

She's able to stand and not feel like she needs to retreat (Coach 5, Incident 1)

Taking action, taking control is what really turned out to be one of strengths…she also
learned how to break things down into manageable pieces (Coach 2, Incident 1)

She was able to be much more proactive in her decisions (Coach 18, Incident 2)

Changed Perspective

Coaches reported that the client's ability to look at life's challenges from a different

perspective was also key to many of the successful coaching experiences.

So that was like an "oh,"…kind of a real fresh way of viewing things (Coach 6, Incident 1)

Her self-image came really solidly into alignment with who she actually is and she doesn't
dance with limiting conversations much at all anymore (Coach 3, Incident 1)

Developed Authenticity

Coaches also reported that clients whose reasons for coaching were to identify a life mission

and purpose were able to develop congruity in their interactions, both at home and at work.

> What were the values that he held himself to and…how did they dictate the behavior
> he would take in the office to maintain his values (Coach 10, Incident 2)

> The changes he made were more around walking his talk and taking some risks so that he was
> talking about what was most important to him (Coach 15, Incident 3)

Integrated Learnings

Several coaches positioned coaching as a learning process expressed enthusiasm at the depth

of learning that their were attempting to integrate into their lives.

> …but it doesn't matter at all to use whether or not they get results…what more
> important is that they learn how to (Coach 1, Incident 3)

> it allows people to capture learning from the previous couple of weeks or week, to
> decide what they want to focus on that session (Coach 15, Incident 2)

> I think that the approach that I take with almost all my clients is exploring what they
> need to learn and unlearn (Coach 11, Incident 2)

> She'll send me a little brief paragraph…here's how I handled it and I used certain things
> that you talked about (Coach 17, Incident 3)

Built Skills

Coaches identified experimenting with and practicing new behaviors as strategies for helping

clients make change. Some clients developed skills during the coaching sessions, while others

developed them as part of the assignments.

> He actually used my calls with him to…talk through what was gong on so he could
> maintain his professionalism…and his cool at work (Coach 7, Incident 1)

> What I noticed was that his skills as a manager became significantly better (Coach 17,
> Incident 2)

> In general this person became a better manager…much clearer in communications…helped
> people to motive themselves and help find those motivators (Coach 10, Incident 1)

But he's got the skills now that he can keep growing on his own (Coach 11, Incident 3)

Forged Relationships

Coaches felt that many of their clients recognized that improved relationships led to greater

work and life satisfaction.

He would go over what he was looking for the week…what his workload looked like…
he was demonstrating respect for her and her time (Coach 3, Incident 1)

Some people are going to deepen their connection to being on this team because they
[were able] to recognize what motivated them and drives them to be [at work] (Coach 13,
Incident 2)

She's now able to reach out to people and make friends…able to create a much more
supportive environment for herself (Coach 6, Incident 2)

He got his team to a point where his peers were coming to him to ask about best practices
which before the coaching engagement would have been unheard of (Coach 17, Incident 2)

So his promotions were largely a result…of his ability to collaborate with difficult people
(Coach 7, Incident 1)

Discernment and Distinctions

A few clients chose the coaching process to identify options and choices for change and to be

supported in the process of change. Coaches reported that being able to make distinctions among

choices available to clients was instrumental in sustaining change.

He knows the difference between what fits for him and what doesn't fit for him…and he
knows why this current job is stressing him (Coach 10, Incident 1)

Connect dots that she hadn't seen as being connected (Coach 5, Incident 2)

He was actually able to look at some other related industries…based upon his strengths…
and he networked with colleagues and people to get a clearer picture of what was out there
and how marketable he was (Coach 3, Incident 1)

He started to understand a lot of that he was better able to literally keep his mouth shut
(Coach 7, Incident 1)

After that when she would come to this issue, she would make the connections by herself
   (Coach 4, Incident 3)

Changed Careers

Coaches reported a number of clients who changed careers as a result of becoming clear about

their values and purposes.

She actually discovered a whole new career for herself (Coach 5, Incident 3)

He has just recently gone with another company and he's doing great (Coach 14, Incident 1)

Changed Behaviors

Several clients were able to change a behavior as a result of coaching. However, coaches

noted that the behavior changed was ancillary to the incident which led the client to coaching.

He stopped cursing in public (Coach 7, Incident 2)

He's doing a much better job of listening (Coach 4, Incident 1)

Career Transition

Coaches reported that clients were able to progress more rapidly and frequently in their

careers as a result of becoming clear about their mission and values.

She actually not only kept her job…she got a promotion to a job that was much more suited
   for her (Coach 6, Incident 1)

She was able to make a shift into leadership…they promoted her to another team because
   her team was self-sustaining (Coach 12, Incident 1)

She moved on…into a bigger role with a different group…was much better able to share
   and collaborate and use expertise differently (Coach 2, Incident 2)

…and he was a dark horse…I got more buy-in from him around some of the behavior
   changes that need to be made to meet the changes…he has begun to transition to a bigger
   regional role (Coach 10, Incident 3)

Achieved Work-Life Balance

A few clients sought coaching to learn to control their time and direct their activities in a

manner that supported well-being. Coaches reported that, as a result of the coaching process,

their clients were achieving success in this area.

She started going home at a decent hour (Coach 19, Incident 2)

Unplanned Outcomes

When asked if there were any unplanned outcomes for their coaching, coaches often spoke

joyfully about client experiences that had occurred almost unexpectedly. These ranged from

improved relationships to additional offers for more coaching to identifying hidden passions.

These outcomes illustrate the coaches' recognition that clients are whole individuals; therefore

working on one part can produce effects on other parts.

Improved Relationships

Coaches reported that the majority of unexpected events occurred in the area of clients' use of

relational skills to achieve goals.

One of the results he got was to ask his wife to help him research where the jobs were (Coach 1, Incident 1)

He said he was done, done with this relationship…and he just went on vacation with his wife, twice. So…I would say that's an unexpected outcome (Coach 10, Incident 1)

It changed his relationship with his family (Coach 17, Incident 3)

And the results spilled over into his family life and everywhere (Coach 7, Incident 1)

When he worked with his team…he got to see beyond the surface…he got a deeper understanding of the people in general and what's happening at a deeper level. He became more intimate with his team in an appropriate way (Coach 18, Incident 2)

Additional Coaching

Although the focus of any coaching engagement is always on the present, several coaches

reported that once they completed a coaching engagement, they were asked to either continue

with a client, were engaged in other areas of the corporation or were referred in to new business

by the client.

> I ended up coaching one on one with the senior manager from this team (Coach 15, Incident 3)

> Internally enough people saw results that they wanted to continue the kind of work we were doing within the business (Coach 14, Incident 3)

> And when she went into her new role, she negotiated to have me work with her for what we call the first 100 days…and I've actually worked with her three times   (Coach 2, Incident 1)

Self Realization

The question and discovery process interwoven in coaching led many clients to discoveries about themselves. Coaches noted that many clients used the process of reflection during the coaching process to reach epiphanies from which they chose new thoughts and behaviors.

> Her sense of self and boundaries became more clear (Coach 6, Incident2)

> I would say his unexpected outcome is recognizing boundaries…that has been huge… the role his personal life plays in his work…and how it affects his work (Coach 13, Incident 3)

> He could be himself regardless of where he was (Coach 17, Incident 1)

Career Change or Career Transition/Advancement

Although the coaches expressed awareness that many clients set their goals to change careers, what was unexpected was the rapidity and frequently of that change. In addition, several clients experienced career transitions as an outcome of getting clear about their life's purpose or issues with relationships.

> She was promoted quicker (Coach 2, Incident 2)

> They realized that some of the tasks were assigned to the wrong people (Coach 4, Incident 1)

> In the past four years, he's been promoted three times…he was given a product launch position which is a pretty big deal (Coach 14, Incident 1)

I think she began to really question if this is an organization she wants to stay in long term (Coach 2, Incident 3)

The woman who initially brought us in ended up leaving …which was great…what she learned is that it wasn't the place for her

He is certain now what career opportunities are the best for him…and he knows why the job he's in currently does not fit him well (Coach 15, Incident 3)

He's made a great with the organization…he's moved back to London and is exploring various work opportunities (Coach 7, Incident 4)

Hidden Passion Identified

Coaches reported that a number of clients identified a passion that resulted from being able to

discuss their goals and dreams at a deep level.

…and one of the things he discovered through changing the way he was relating to people was he really got a lot of energy out of developing people in a way that was often very behind the scenes (Coach 4, Incident 1)

…we learned as we got more specific with his goals…that he wanted an opportunity where he could bring his kids into events (Coach 8, Incident 3)

And the client told me that it made her feel like a consummate professional…that she used to feel like and that she loved her work again (coach 12, Incident 1)

Coaching Advocacy

According to some of the coaches, clients who had dramatic results from the coaching process

became advocates for the process both within and outside of their respective organizations.

And he's become in the company a real champion around taking a coach approach with his employees (Coach 9, Incident 2)

He is ending up being just a champion of the coaching process, regionally and nationally with his company (Coach 16, Incident 3)

He has really fought on the global European side of the business to bring coaching in…he's also ended up being a huge advocate (Coach 10, Incident 1)

Major Shift in perspective

Despite an intention to shift the mindset of clients, several coaches were surprised by the

depth of the change that their clients experienced.

I think she had a significant paradigm shift (Coach 6, Incident 2)

And she said, "I never could have considered a written agreement with a friend like this before." (Coach 5, Incident 3)

And it all revolved around this frenetic horrible string of evens…and is now celebrating rather than being burdened by it (Coach 12, Incident 3)

She used to be the [problem] of the company…she's now the cheerleader (Coach 17, Incident 3)

Summary of Outcomes

Many of the client outcomes reported by coaches were the converse of the critical incident. Thus, many clients were able to make and sustain change in areas of importance to the client. Coaches also reported that clients experienced unplanned outcomes. These unplanned outcomes were experienced most commonly in the area of relationships. Coaches reported that as clients were successful in goal achievement, the clients were able to apply learnings to succeed in other areas of the lives.

Dimension: Personal Philosophies of Coaching

Personal Philosophy

Tacit knowledge was an important component of this study as participation was limited to coaches with a minimum of five years experience and 1000 hours of coaching. These limits were set intentionally so that the practice wisdom of experts in the field could emerge and be discussed. All of the 19 coaches offered unsolicited perspectives about self, the coaching process, the situation, the client, and reflection. Table 9 illustrates the themes of the dimension, Personal Philosophies of Coaching.

Table 9.

*Dimension: Personal Coaching Philosophy*_____

Category:
Personal Coaching Philosophy
_____

Themes
_____

View of Self as Coach

View of the Coaching Process

View of the Client Situation

View of the Client

Reflections

Personal Beliefs

   The points of view have been captured in a narrative review of each coach's perspective.

Then the remaining sub-categories related to coach philosophies are reviewed.

   Coach 1. For coach one, coaching is about helping people identify and clarify their life's

purpose from a holistic integrative perspective while building supportive networks to sustain

changes. She offered that coaching is most effective when there is space for the process to

evolve. Authenticity is important to the coaching process as coaches embrace their own wisdom,

knowledge, and boundaries in guiding clients through the process of change.

> I learned in the first five years of coaching that if I allowed stillness and silence for a moment
> that something will happen either for me or from the client. I don't have to fill up the space
> ...so when I am on to something, I like to create space

   Coach 2. Coach two's coaching perspective is that the coaching process is partnership

oriented, facilitating, supporting, reinforcing, and seeks mutual win-wins. The individual's stage

of development is central to her coaching process as she selects strategies and co-creates actions

that are best suited for the individual's stage of development.

   …we have an intuitive sense about where someone is developmentally

   Coach 3. Coach three finds coaching to be a very iterative process that builds upon

successes. Coach three believes that a coach holds the vision for the client while shining the

light of possibilities to create a pathway and actions for future success.

> Depending on his response or where he wanted to go, I'd also make observations as to what
> I'd observed in my interactions with him and my behavior with him - what I'd observed and
> what he'd said about things so then that would take us to the next level

   Coach 4. Coach four offered that coaching is a process that uses questions to trigger

emotional responses which moves the client to explore the bigger picture of their life

circumstances. During the coaching process, clients identify the tools necessary to navigate

change successfully and coaching assist the clients with connecting to the tools. For coach four,

coaching is also an emergent process that moves with the clients as the client moves.

> It's about identifying what the tools were that were missing and then connecting them to
> it [the tool]… I would say that 95% of coaching is just in time coaching and dealing with
> the crises at hand

   Coach 5. Coach five believes that coaching is about providing clients with the recognition

that they are whole and complete and that this awareness leads to a deeper understanding of self.

Coaching is a process of discovery and it is full of experimentation.

> I notice from my coaching that…once they connect to something deeper inside of them…
> without having to hide it or pretend not to be it…that's when major leaps start to happen

   Coach 6. Coach six contends that the coaching process guides the client in identifying their

own personal truth and then brings the client into alignment with that truth. Coaches help clients

go deep to the root causes of their challenges and design strategies for change. From coach six's

perspective, in most situations, the coaching process will come back to focusing on identification

of needs in relation to self-esteem and boundary setting.

> People come to coaching because they want to make a change and the thing that they want to change may not necessarily be the thing that needs to be changed…great coaching looks at what's causing [something] to be happening the way it is and…looks for where change needs to happen

Coach 7. Coach seven believes that the purpose of coaching is to change consciousness through a feedback process. To accomplish this, he has integrated mediation into his coaching process. Customizing the coaching process through data gathering and setting goals are essential aspects of the coaching process for coach seven.

> Feedback is a central theme to the work I do…because it's crucial [to success]

*Coach 8. C*oach eight believes coaching is best described as a process that grounds the coach in a presence which allows for the issues and strategies to emerge from the client. The coaching process is directed at exploring solutions rather than having a solution and honoring the client's agenda for the coaching process. For coach eight all clients come to coaching whole and complete.

> I'm proactive…I go with what shows up in me, instead of trying to figure out where to go

Coach 9. Coach nine offers that coaching at its best is about learning. Coaches guide the learning process by challenging clients about beliefs and assumptions as their state of being is affected by the mindset which leads to behaviors. Coaching is most effective when clients are able to make distinctions about which behaviors, attitudes, thoughts and feelings are no longer useful as client circumstances change.

> Going from sort of a results chain concept…your impact and results are affected by your behavior…behavior is affected by your thoughts and feelings…your thoughts and feelings are affected by your mindset and attitudes

Coach 10. Coach ten suggests that coaching is a change process and that change happens most frequently when the client is able to reflect deeply in a safe place about the manner in

which they observe, relate to and engage in the world.

>   It's really a co-creative process based upon their [the client's] environment…it's finding ways
>   for application and integration of some of the behaviors that are no longer serving them.

Coach 11. Coach 11 offers that the coaching process is a combination of data gathering and

experimenting with new ways of behaving and being. Coaches are the conduits for the changes

that clients make and sustain.

>   To some degree I feel irrelevant…it is completely up to them [the client] what they do….
>   they are the one in the middle of the struggle…I'm often surprised at the ability to change

Coach 12. Coach 12 believes that coaching is a process that assists clients in finding clarity

and establishing goals. She guides clients in deep reflection, passionate choices and purposeful

action. Focusing on the whole person, Coach 12 helps clients build strategies for

empowerment in all areas of their lives.

>   ....notice any limiting beliefs that...and reflect those back...and clarify strategy [for change]

Coach 13. Coach 13 offers that coaching is a process which can assist clients in bringing the

self more fully into our world and to make a unique contribution. Coaching can stimulate

significant and profound change towards movement in a purposeful direction through exploring

thoughts and behaviors that are no longer serving the client.

>   So I am always listening and looking for that [outdated behaviors and beliefs]…that's
>   part of why my coaching is transformative to people

Coach 14. Coach 14 believes in taking a systems approach to coaching acknowledging that

people are dynamic and are always in a state of change. Coaches engage the client's enthusiasm

for the change process through shifting perspectives about their circumstances making change

possible.

>   If you are not enthusiastic about coaching, it's not fine for me…some things should be either
>   making you crazy…and shake and rattle your cage

Coach 15. Coach 15 suggests that coach is a process that disorients so that clients can assess their position and build strategies for change.   Coaches manage the creative tension that arises in the coaching process. She was emphatic in her belief that coaching is not just a series of techniques, rather the quality of the relationship that is created is integral to the success of the work.

Managing creative tension…continually focusing and refocusing the client on the vision

Coach 16. Coach 16 offers that the coaching process helps people identify, assess and prioritize areas of life for development and then assists with making choices for improvement in those areas. Coaching offers a process for alignment, integration and congruence with one's beliefs and actions.

They [clients] examine their lives and make the necessary changes to feel better about outcomes

Coach 17. Coach 17 communicated that coaching is a process that raises awareness allowing for clients to make decisions or take actions based upon that awareness. Coaching requires the presence of both the coach and client in order to achieve successful outcomes.

Being mindful of what's really happening…creating action based upon that

Coach 18. Coach 18 offers that coaching is a process which supports clients in making change and taking actions in the service of choices. Coaching requires a commitment of time and space dedicated to the self. She also offered that coaching is about celebration of all successes.

The way that coaching works best …you are able to take the time to work on yourself

Coach 19. Coach 19 believes the process of coaching focuses clients on goals and provides accountability for actions committed to during the process. Coaching requires full authenticity for successful coaching outcomes.

That's the key to coaching…goals and accountability

Additional Personal Beliefs

Interwoven through all of the interviews were additional personal beliefs. They are being

presented here to illustrate the connection to incidents. Coaches offered their personal beliefs

about coaching, which were often grounded in a model they used for coaching.

I find many people don't honor…they try to get rid of whatever the bad had is, instead of recognizing that it has it's place (Coach 1, Incident 3)

To become unconscious competent you still…once you hit that place, you're still learning and moving forward (Coach 11, Incident 4)

Always what I find…regardless of the situation…what happens for my client base is an internal shift (Coach 1, Incident 3)

We can't change circumstance but we can change our attitude or point of view (Coach 15, Incident 2)

I am 99.9% convinced that people come to coaching because they want to make a change and the thing they want to change may not necessarily be the things that really needs to change (Coach 6, Incident 1)

Meditation and coaching are both about helping people to slow down and take a breath and observe what's really going on right here, right now (Coach 7, Incident 2)

I think at its best coaching is about learning (Coach 17, Incident 2)

Success is…tangible, measurable, observable, and so the change is…whatever the change is (Coach 14, Incident)

…sometimes the most powerful place to change….is a cleared human heart (Coach 10, Incident 3)

People know that something is not right in their lives and they seek a coach…to examine their lives from a coaching perspective and make the necessary changes (Coach 5, Incident 2)

It's one thing to have the courage to look inside and it's another thing to do something about it (Coach 18, Incident 3)

The coaching perspective was not an anticipated contribution to the study and yet it illustrated

the tacit knowledge of the coaches as they offered their perspectives. However, as each coach

interwove their own personal worldview throughout the discussion, the importance of

these beliefs and values emerged. Without verbalizing it, coaches use their own tacit knowledge

about coaching and intuitive hunches about the client and situation in order to effect coaching

outcomes.

View of Self

Coaches frequently expressed a connection back to self and the use of self in the coaching

process. This use of self was considered to be a tool for success.

> But the reason I couldn't help him was that I was not being true to my own wisdom, my own knowledge, my own boundaries (Coach 1, Incident 4)

> I can just totally be myself.   I 'm very directive, very blunt, sometimes I like to offer humor…there's a strong spiritual side to me and with all clients I bring it in but the language that is used in different depending upon who they are (Coach 8, Incident 3)

> I have an intuitive hit that I'm being asked something but something else is really being meant (Coach 14, Incident 2)

> I have a very particular style…I 'm very very direct…lovingly direct…I don't hold back and while it's the thing that propels most people forward, some people just turn from it (Coach 9, Incident 3)

> So I always take responsibility for what I own …for what doesn't work in a coaching relationship (Coach 11, Incident 3)

> But I am passionate about this stuff (Coach 15, Incident 2)

> I consider myself a celebration coach (Coach 18, Incident 3)

View of The Coaching Process

Almost every coach expressed a point a view about the coaching process. The comments

revolved around their experience of the coaching process and their insights regarding this

experience.

> I would say that we celebrated everything that happens…we always hold a very high expectation…a lot of fabulous things happened (Coach 5, Incident 2)

Relationship…is so critical to coaching and it is not just and after sight…it's not something you do in the technique…that quality of the relationship that's created is integral to the work (Coach 15, Incident 2)

It's a place of acceptance…It's also an intent that when I am talking with a client or listening to a client that it is some kind of process, so I leave them the space to process (Coach 3, Incident 1)

Coaching to me really brings in a lot of other type of philosophies and there's certain questions that you can ask that…trigger someone to look in a different area to go deeper (Coach 8, Incident 4)

I had this conversation with a colleague that most coaching is just in time coaching because with coaching…when you look at it…you bring the goals, you continue to work with them, you thread them through the conversations… and just in time coaching is that you are going with the issues at hand…I would say, 95% of coaching is just in time coaching (Coach 10, Incident 5)

And the words specifically stand for me are trust and empowerment…here's trust…and empowering people to live their vision…and see the bigger picture and yet using words that are very cutting (Coach 18, Incident 4)

But what I'm doing when I'm sharing the story is I'm looking for that place where that person is stuck because they believe something that isn't really the truth….people have these misconceptions, we'll say the they're real beliefs...we dispel them or it becomes so obvious that they are not true (Coach 13, Incident 4)

It's more of a being than a doing (Coach 5, Incident 5)

...in the spirit of being honest…as a coach I know I'm doing something wrong if I'm working harder than the client (Coach 19, Incident 5)

The Situation

Coaches frequently had additional insight into the situation the client was experiencing.

Coaches reported these insights as ideas offered by the coaches rather than conceived by the

clients.

The "aha" was…they didn't have the support they needed…but they weren't producing…we don't have the people energy, or staff to train them…so being stuck in that kind of cycle…which I think happens in a lot of businesses (Coach 9, Incident 5)

So it might not have been the best situation for coaching but I couldn't see how that would stop her (Coach 5, Incident 4)

To be more effective in their organization…I think that deep change happens when a client is willing to go deep in terms of how they observe, relate to and engage the world (Coach 11, Incident 4)

That [ignoring the perceptions of others] doesn't work in large organizations-that's a recipe for disaster…so I help people understand that…they do at least consider them (Coach 7, Incident 5)

The Client

Coaches verbalized having intuitive hunches about the issues the clients were experiencing, not necessarily voiced by the client. Using expert knowledge to form the basis for the discussion the coach was able to guide the client into a deeper process of discovery.

I can tell that it's the personal stuff that's in the way. And I have recommended to this person that maybe they would want to work with a therapist in addition to work (Coach 6, Incident 4)

Part one is to get the client to realize that there is a problem…..while they know there's a problem…..they are not really aware of just where that problem is in the overall scheme of life (Coach 1, Incident 6)

So I think in a way…..if you liken [it] to a BMW that hasn't had it's oil changed in five years or a tune up…it doesn't run well…..these executives are successful but when you tune it up…..you can really get in the game (Coach 19, Incident 3)

And that's actually really common…..I'm finding as I work with small business owners…..we get thinking we have to do it all ourselves (Coach 4, Incident 5)

I think he was done tolerating his inertia (Coach 11, Incident 3)

Reflections

In some instances, the interview process resulted in the coaches pausing and identifying something that arose for them during the interview. Using these reflections, the coaches were able to make connections back to the coaching process and their role as a coach.

As we are talking about the clients that worked and those that didn't work, I recognized that some of the ones that didn't work early were because I was doing coaching rather than being a coach (Coach 3, Incident 5)

For whatever reason…I'm not even conscious usually…but whenever I go in thinking that
I have to do something to make this work, we are in trouble (Coach 10, Incident 6)

What I realized is that I didn't coach very often people that had a glass half-empty mentality
(Coach 16, Incident 4)

I learned that when I didn't honor that hit of "I'm not sure about the fit."…it bit me in the
butt (Coach 8, Incident 4)

Well, it's certainly a growing experience for me….the last one I shared with you…it really
had me look to see my values and ethics in relationship to coaching (Coach 14, Incident 5)

You know, I really felt ineffective…about me, not him (Coach 7, Incident 6)

I couldn't help her…I didn't help her…Maybe someone could have…but I didn't (Coach 14,
Incident 5)

Summary of Coach's Personal Philosophies on Coaching

The personal philosophies of each coach varied and yet there were a number of

commonalities. First, almost every coach positioned coaching as a process not a series of

techniques used to manipulate behaviors to achieve goals. Second, support was widely

recognized as instrumental to the coaching process whether it involved the coach supporting the

client or the client building support networks. Third, as a process, coaching is iterative, evolving

and emerging. Coaches believe that these qualities are what creates the movement in coaching.

Fourth, coaching involves depth, going deeply into one's life, one's purpose and one's reasons

for engaging in life. Many of the participant coaches connected engagement in life with the

coaching process.

For many coaches, the coaching process involved changing consciousness, either through

the process of challenging thoughts and beliefs or through guided mediation. Setting and

achieving goals was a foundation of the coaching process for several of the coaches and viewed

as critical to the success of the coaching process. Finally, congruence and authenticity were

frequently acknowledged as important to successful coaching, both from the client and coach

perspective.

Each coach at some point in the interview offered a person perspective or reflection about the self, the client, the situation or the coaching process. This was not something that was solicited rather it was a spontaneous sharing of an observation or point of view and didn't fit into any other category or sub-category. These comments provided rich details of the coaching experience and were interwoven throughout the interview.

Summary of Chapter 4

Nineteen expert coaches provided input regarding the antecedents of coaching, the coaching process and outcomes in coaching. In every instance clients engaged the coaching process because they believed that the process could improve their life circumstances.

Even though coaching is a fledgling profession, the majority of the coaches in the study had attended a coach training program and belonged to at least one coaching association, reflecting the importance of personal development for coaches.

Almost 60% of the breakdowns identified by participant coaches fell into one of three categories: the issue was therapeutic in nature, the coach and client were not able to establish a relationship, and the lack of willingness or ability to take the actions that would eliminate or diminish the presenting issue. Conversely, coaches identified the importance of making a connection and the client's motivation as key factors in the achievement of successful coaching outcomes.

Coaches identified a coaching process for clients that led the client through a process of change. Most significant in the process were the exploration of beliefs and the shift of perspective; the changing of beliefs led clients to sustained change.

The coaching process is more than specific strategies that lead clients to shift perspectives about their lives and presenting issues. The coach performs numerous functions that guides the client to their own insight rather than directing results. Coaches reported that creating a safe place for clients to do their work was instrumental to the success of coaching. This was also connected with the establishment of trust and connection while building relationships with one another. Perhaps the most important aspect of the coach function was the ability to ask probing and provocative questions. All of the study coaches described and provided examples of challenging questions. This questioning was not simply limited to one phase in coaching, rather it occurred in every step of the coaching process.

Coaches in the study had a tremendous amount of passion for the field of coaching. Unsolicited, they provided rich, descriptive detail of their views of the coaching process, the client, the client situation, and their own personal beliefs and reflections about coaching. The depth of information provided by these coaches illustrates the progression of the knowledge of the field as one moves from novice to expert and operates from a position of tacit knowledge.

When coaches were asked to supply examples of successful coaching outcomes, they provided 57 descriptions with extensive detail about the client. As the triggering incident that brought the client to coaching varied, so did the outcomes. The combination of focusing on the most important component of the triggering incident, setting goals, removing obstacles, practicing new behaviors, and evaluating the process led clients to successful outcomes. All of the coaches responded enthusiastically to questions about unplanned outcomes. They noted that, when a client was able to make change in one area of his or her life, it transferred into other areas of life. The most frequently affected area was relational, which can be attributed to the shifting of perspective discussed earlier. When clients experienced a shift in perspective, it opened them

to other views – not only from self but also from others – and this process strengthened relationships, both at home and at work.

The results of this study point to four main observations about these coaches. First, results indicate that coaches do value their profession by engaging in first learning the elements of coaching and then maintaining membership in a professional association. Second, breakdowns do occur during the coaching process. Some breakdowns can be anticipated and the client can be provided with other options; others could be addressed and mediated if the coach had the appropriate tools and resources. Third, this study reinforced the fact that the process of coaching occurs in a linear process with coaches interweaving the necessary functions to guide its success. The tacit knowledge of the coach is very much a factor in the coaching process, given that most breakdowns occur within the first years of coaching. Finally, clients made and sustained change when the coaching process was able to help the client remove obstacles to success and provide a guiding vision for that change.

CHAPTER V: DISCUSSION

Introduction

This study examined the critical factors of successful coaching as perceived by experts in the field of coaching. A critical incident study was undertaken to uncover practices that lead to successful coaching outcomes. The findings in this study provide a depiction of events that trigger a coaching engagement and what happens during the process that led to successful or unsuccessful outcomes.

This chapter will discuss the findings of this study in light of the existing research literature. First, the chapter starts with a brief review of participants. Next, a discussion review of a model developed to illustrate the findings of the study is presented. Third, the personal coaching philosophies and beliefs of coaches and the tacit knowledge that guided them are discussed. Fourth, a brief discussion of the functions of a coach created from the interview data followed by a review of a coaching process constructed from participant comments is entertained. Fifth, the factors of breakdown and success as reported by participants are discussed. Sixth, a brief review of the outcomes identified by participant coaches is followed by the summary of the chapter. The limitations of the study and implications for future research and practice conclude this chapter.

The Study Participants

The coaches who participated in this study averaged ten years of coaching experience. Their backgrounds included the professions of psychology, business consulting, human resources and social work which were consistent with other studies of coaching in the literature. (Judge and Crowell, 1997; Gale, Liljenstrand, Pardieu and Nebeker, 2002; Zackon and Grant, 2004). In this study, 25% of coaches had prior therapeutic backgrounds which was about 5 % higher than both

the Gale, et al. and Zackon and Grant studies. All of the coaches belonged to at least one professional coaching association which is consistent with earlier studies (Judge and Crowell, 1997) and indicative of continued membership of coaches with professional coaching associations. Additionally, over 50% of the study participants held a certification with the International Coach Federation, double the percentage found in the Zackon and Grant (2004) survey. This last demographic would be expected given the aggregate experience of coaches in the study combined with membership in the ICF.

<div align="center">The Core of Coaching Model</div>

<div align="center">*Overview of the Core of Coaching*</div>

One of the purposes of this study was to understand how coaches thought about their own practice of coaching. The method of the critical incident technique encouraged the participants to reflect on actual incidents in their coaching experience. It was through the process of reflection that personal philosophies of each coach were identified and contextualized.

The Personal Philosophies of Coaches constitute the core of coaching. Figure 1 illustrates the model of the core of coaching that positions the personal beliefs as the center point and emanates outward. A coach's view of the client, the situation, the coaching process, and personal beliefs, all contribute to their own personal philosophies of coaching. These philosophies overlay four other dimensions including the Coach Functions, the Coaching Process, Factors of Breakdown and Success, and Outcomes of Coaching. The model proposes that it is the personal philosophy that determines the interactions with each subsequent dimension with the exclusion of Precipitating Factors which were minimally impacted by personal philosophies.

Figure 1. The Core of Coaching
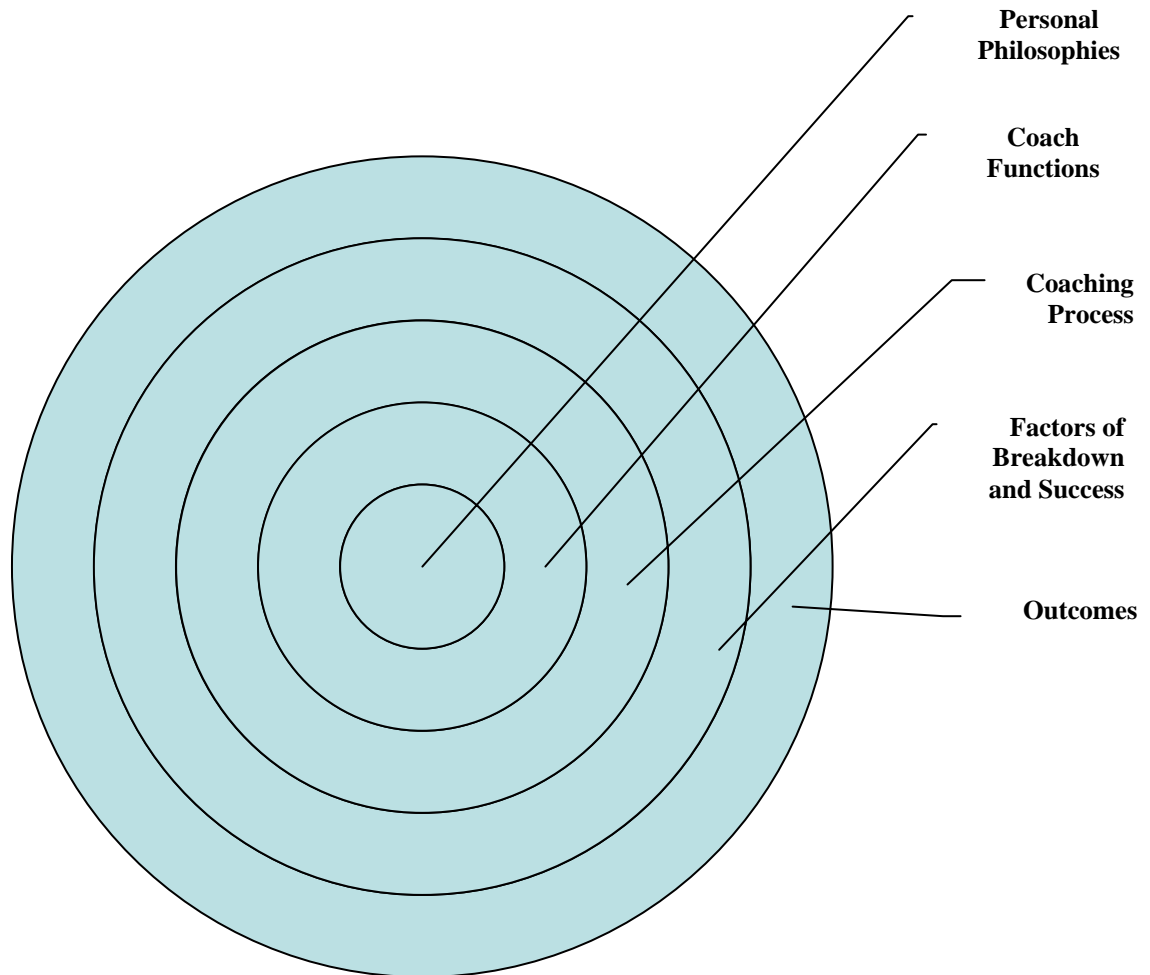
The worldview of the coach is located in the center of the model. Coaches reported and

discussed their views frequently throughout the interviews, interweaving their unsolicited

perspectives into the foundation of the interview. The word "unsolicited' is key here; the views

flowed spontaneously as participants recalled incidents that connected their own perspectives of

coaching. These philosophies were informed by the background and experiences of each coach

and were also linked to underpinning theories and models that are discussed in the next section.

The Coach Functions are represented in the second ring. Coach Functions were separated from the coaching process. This was done intentionally to capture components of the coaching that are not single episodes or tasks, but rather enduring understandings of the coach's presence and role during the coaching process. The Coach Functions precede the coaching process as the functions are interwoven throughout the coaching process. The functions follow the personal philosophies because the philosophies inform the functions.

The third circle represents the Coaching Process. Coaching structure, assessments, exploring beliefs and assumptions, reframing beliefs, clarifying values, building congruent actions, setting goals, experimentation and practice, and evaluation combine to form this section of model. Coaches emphasized the importance of helping clients examine and reframe their beliefs systems as instrumental to the coaching process. The Coaching Processes are influenced by Personal Philosophies of Coaching and the Coach Functions as coaches draw from philosophies in the selection of strategies in the coaching process and contain the functions within each process step.

The fourth ring represents Factors of Breakdowns and Success. Clients chose the coaching process to make change and yet breakdowns happened preventing the client from sustaining change. The first three rings impact the success and breakdowns that occur in coaching. Personal Philosophies of Coaching influenced the interpretation of the elements of breakdown and success. Additionally, coaches reported that failure or success in coach function and/or the coaching process led to successful or unsuccessful coaching outcomes.

Personal Philosophies of Coaching

The Personal Philosophies of the Coaching were informed and influenced first by the theories and models which guided the early practice of coaches and second, by the "tacit knowledge" which developed over the years in coaching practice and integrated these models and theories.

This knowledge was informed by theories from psychology, adult learning and development, change, systems, and organizational change (Boyatzis & McKee, 2005; Kegan, 1994; Miller & Rollnick, 2002; Peterson & Seligman, 2004; Prochaska, 1994; Senge et al., 1999; Stacey, 2000; Wheatley, 1999). The majority of coaches verbalized personal theories that had connections to many of these overarching theories yet only one or two of the coaches interviewed specifically lined a theory with practice. However, the personal philosophies reflected a connection to Humanistic Psychology, Systems Theory, Behavioral Psychology, Adults Learning, Constructivist-Developmental Psychology, Change Theory and Motivational Interview. The comments specifically identified positions regarding beliefs in the infinite potential of the client, structuring questions to elicit changes of perspective, demonstrating unconditional positive regard for the client, matching stage of development to strategies used and setting goals to achieve outcomes.

As coaches reflected about each individual incident, their reflections uncovered a wealth of knowledge about "tacit knowing" that coaches rely upon to make decisions about all aspects of the coaching process. Sternberg (1998) offers two distinctions about tacit knowledge, which were supported by coaches in this study. First, tacit knowledge is procedural rather than declarative. "It is knowledge of how to do things, rather than just inert declarative knowledge about things. It is knowledge for use" (p. 707). Secondly, tacit knowledge mimics a production system using a series of if-then statements produced in a specific order to affect outcomes. Sternberg (1998) argues that these production systems are highly contextualized, matching the if-then processing to the specific situations. Professional reflection occurs between if and then, much like the process of reflection-in-action. Reflection-in-action (Schon, 1983) leads

professionals to pause and reflect upon circumstances and then apply a different framework to

the circumstance, creating new ways of acting and thinking.

The examples provided by coaches during the interviews included both the explicit and

implicit processes used for making strategic decisions around their practice. Coaches routinely

described aspects of the coaching process not in a linear step-by-step fashion but rather in a

holistic approach that included many different actions.

The ability to deconstruct and reconstruct as new patterns emerged was most significantly

true when coaches were helping clients to make connections between information and decisions.

The coach intuitively guided the client through a myriad of issues to determine the course of

action that had the greatest potential for positive impact. This guidance required the coach to

reflect on the details of the client's situation and then reconstruct information to offer new

frames of reference.

Coaches selected coaching strategies based upon the context of each client situation. For

example, coaches had insight into when a particular book, resource or tool might be effective

with a client if they had experienced the effectiveness in other coaching situations. This was

also true when coaches were designing assignments for clients. Coaches came to understand the

best fit for customizing the strategies to meet client needs through the actual practice of their

coaching.

Tacit knowledge does not develop as a result of training; it is much more complex as it is

often hidden from view (Sternberg, 1998). Coaches determine the relevance of what is learned

through practice and application of earlier learning. "Understanding what tacit knowledge to

apply in a given situation can spell the difference between success and failure in that situation

(Sternberg & Horvath, 1999, p. 234)." This was true for coaches in the study as they were more

linear in describing the coaching process when it was unsuccessful, but had more of a "knowing" or understanding of the process that led to successful outcomes. Schon (1987) describes this "knowing" as professional artistry:

> I used the term *professional artistry* to refer to the kinds of competence practitioners sometimes display in a unique, uncertain, and conflicted situations of practice. Note, however, that their artistry is a high-powered, esoteric variant of the more familiar sorts of competence all of us exhibit every day in countless acts of recognition, judgment, and skillful performance. What is striking about both kinds of competence is that they do not depend upon our being able to describe what we know how to do or even to entertain in conscious thought the knowledge our actions reveal. (p. 22)

Over 75% of the coaches interviewed were trained by a specific coach training program; yet as coaches reached a level of expertise in coaching, they moved beyond the models used to train them into their own self-referenced ways of coaching. This expertise was identified through the verbatim conversations they related having with clients. Sternberg and Horvath (1999) refer to this process as selective encoding as individuals learn to incorporate relevant information, discarding that which does not inform practice. Expressing more of a reliance on models when they were novice coaches, the expert coaches revealed that they now connected strategies to client needs to assist clients make and sustain change.

As the field gravitates towards becoming a profession the issue of how one develops expertise along with the context for developing expertise will have to be addressed. A critical component will be the ability to link the theory of what one does with the practice of what one does. Using the process of reflection allows the practitioner to reframe a problem or situation in order to elicit a deeper understanding and possibly different choices regarding the problem. (Schon, 1983) However, without the link back to theory practitioners, most particularly novice practitioners, may not be able to effectively evaluate successes and breakdowns. Schunn, et al. (2005) contend that as practitioners develop expertise they deploy better strategies and are better able to match

best strategies for a given situation and are able to execute the best fit strategy. To address the

need to develop expertise in a supervised environment, many professions have a practicum or

internship requirement which allows for a novice to develop skills yet have the opportunity for

reflection which is critical to the development of expertise.

Factors of Breakdown and Success

The dimensions of Breakdown and Success are discussed in this section. First Breakdown

factors and its related categories are considered. The category, Therapeutic Issue is reviewed. It

and the category Referral to Other Coach, have been separated from the other breakdown factors

because these two factors did not have a corresponding success factor. Further, these two

Breakdown categories were highly prevalent in the coach's descriptions. Second, Breakdown

Factors and Success Factors will be examined for relationship to one another which in this study

were the converse of each other. This relationship is illustrated in Figure 2.

Breakdown

The study participants were able to articulate in great detail reasons why coaching did not

lead to successful outcomes. In almost every instance, coaches referred to an incident that

occurred early in their professional practices. In contrast, most successful incidents recounted

had occurred very recently. A few coaches offered that they had become better at recognizing

the coaching situations which would lead to successful coaching outcomes. Reporting feeling

ineffective at addressing the breakdown, two coaches revealed that they processed the

breakdown with a mentor coach for insight into the issues. However, the majority of the coaches

experienced the breakdown and did not seek consultation.

Coaches appeared to have had an intuitive sense about when the coaching process was

breaking down. One warning signal was when the coaches felt as if they were working harder

than the client. Additionally, early in their practices coaches ignored their intuition and were

willing to engage with clients who were not a match due to the desire to appear unbiased and to

give the client a chance. The coaches ended up feeling frustrated and disappointed by these

failed coaching experiences. They often reported dreading coaching these clients. The

implications of the breakdowns for the field of coaching are two-fold. First it speaks to the role

and validation of tacit knowledge in discerning which clients a coach can work successfully and

those which they cannot. Second, training programs must ensure that they are addressing the

range of variables which lead to coaching breakdowns. These variables can range from

understanding cognitive dissonance to understanding stages of change and/or development

relative to matching appropriate coaching strategies to the needs of the clients.

Therapeutic Issues

   Coaches in the study identified Therapeutic Issues as the most frequent reason that

coaching was unsuccessful. Study participants reported referring clients to therapy for anger

issues, excessive and inappropriate use of alcohol, family dynamic concerns, excessive neediness

and self-worth, locus of control issues and marital therapy issues; referrals for issues like these

are consistent with the ICF recommendations (ICF, 2006). It was clear through the descriptions

provided by coaches that, even in cases when a coach was clinically licensed to perform clinical

services, the coach still deferred to a therapist, preferring to not blur the boundary between

coaching and clinical services. Although the coaches in this study related a Therapeutic Issue as

the reason that coaching was unsuccessful, the distinction needs to be made that the coaches

discontinued the coaching process, which from their perspective made the coaching ineffective.

One could argue that remaining within one's scope of practice is, in fact, a successful outcome.

   With less than 25 percent of the coaches reporting a previous clinical background, the

majority of the study participants were able to identify when an issue was beyond the scope of coaching. This suggests that coaches who practice over a period of years developed a level of expert knowledge that provided them with criteria for distinguishing when the presenting or emerging issue was therapeutic in nature.

   It is also possible that these coaches had been trained in the recognition of therapy issues. When trained by a school certified by The International Coach Federation, guidelines are provided to initiates regarding "The Top Ten Reasons to Refer" (ICF, 2006). These reasons are as follows: a) decline in ability to experience pleasure and/or increase in being sad, hopeless and helpless; b) intrusive thoughts or inability to concentrate; c) sleeplessness, inability to return to sleep, or excessive periods of sleep; d) appetite change – either increased or decreased; e) feelings of guilt due to the death or suffering of others; f) feelings of despair and hopelessness; g) impulsive and risk-taking behavior; h) hyper-alertness or excessive tiredness; i) increased irritability or outbursts of anger; j) thoughts of death or suicide. With the exception of the last reason, which requires immediate referral and follow-up, the ICF cautions that everyone can experience brief episodes of any of the indicators; what is important is whether the episodes are lasting or combined with other indicators.

   This list of reasons to refer a client to a therapist does not presume that coaches should be practicing in the therapeutic arena, rather that coaches need to be able to recognize when there are problems that can not be addressed in a coaching context.   There are distinct differences between coaching and therapy (Bluckert, 2005; Brotman et al., 1998; Hart et al., 2001). The coaching process requires a different set of skills, is results-focused, is prospective, and places attention on the untapped potential of the client to link awareness to action. Hart et al. suggest that coaches are more likely to initiate topics of discussion, providing clients with ideas and

suggestions for movement. Despite similarity in methods of inquiry and advice giving, coaching

sessions focus on tasks, goal achievement, and action. A final distinction is the respect

demonstrated by coaches for the client as an expert in their own right, which leads to a

collaborative relationship between coach and client.

Referral to Another Coach

While representing only three unsuccessful incidents, Referral to a Another Coach occurred

when coaches did not want to coach on a given issue. Outside referrals did not reflect the lack of

ability on the part of the coach but rather a lack of desire to coach a client in a given area. This

reason for referral is decidedly different from referral for therapeutic reasons. Zackon and Grant

(2004) found that coaches typically focus their practice in a "niche" that reflects their preference

or competence. The coaches set personal boundaries in their practice specialties and then refer

those clients outside of their self-defined practice areas.

As coaches mature in the field, they make distinctions about what areas they are comfortable

coaching clients about and those that they do not (Hudson, 1999). As with therapeutic referrals,

the willingness to limit one's scope of practice to areas one has desire to coach within could be

positioned as a positive outcome. Yet the coaches in this study identified referral as an

unsuccessful coaching experience, apparently because coaching was discontinued. The

implication being that the definition of the critical incident-making and sustaining change-may

have resulted in overrepresentation of referrals being considered unsuccessful coaching

experiences.

The remaining breakdown factors along with the corresponding success factors are illustrated

in Figure 2. Breakdown Factors have an opposite corresponding Success Factor. For example,

motivated clients are not resistant and coaches who enjoy their clients have engaged in a

successful selection process. Coach and client categories are divided to illustrate the role that

each plays in the success or break down in coaching.

Figure 2. Factors in Breakdown and Success

Success Factors

Coach   Client

Coach Selection   Connection   Client Enjoyment   Motivation Openness   Accountability

Client/Coach Mismatch   Lack of Depth/Flow   Resistance   Negative   Unrealistic
                                                                      Mindset   Expectations

Breakdown Factors
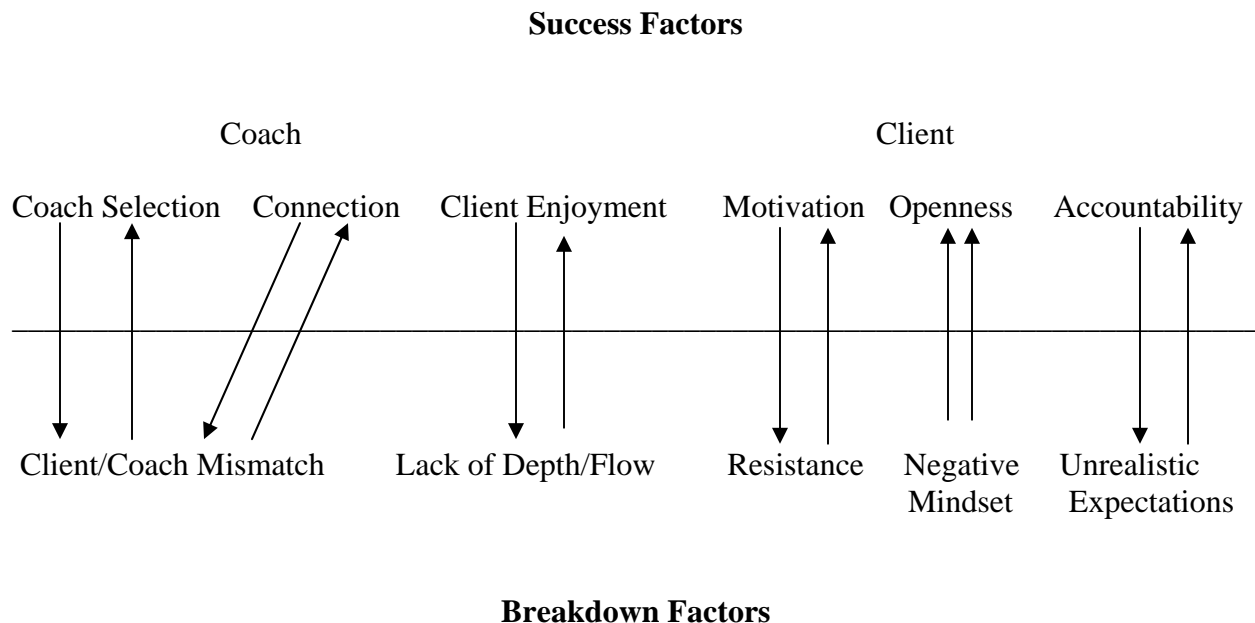
Coach/Client Match and Coach Selection

 Coaches frequently cited the Client/Coach Match as a reason for unsuccessful coaching

outcomes. Often, this mismatch revolved around a conflict of values, once again implying that

resonance beyond building rapport is needed for coaching to be successful. Goleman et al.

(2002) suggest that resonance occurs when positive emotional exchanges occur between two

people. Moore et al. (2005) refer to this process as relational flow and propose that there are five

qualities of growth-promoting relationships: zest, action, knowledge, sense of worth, and

motivation for more connections. Relationships that were able to incorporate these qualities had

higher levels of resonance.

 Other times, coaches reported a disconnect between the client's expectations of

coaching and their perceived role of the coach. Coaches were unwilling to cross their own

boundaries in the coaching process despite the request by clients. Two coaches revealed

generational differences as potentially affecting the relationship as their modes of behavior had

evolved to be more collaborative and reflective instead of aggressive and impulsive. All of the

examples supplied by coaches support the proposition that the resonance of the relationship,

integrating the qualities previously identified, not simply being able to identify issues and set

goals, are critical to movement in the coaching process.

   Coach Selection Process. When coaches conducted a thorough interview to determine

whether there was a match between client and coach, typically successful outcomes resulted.

The Coach Selection Process was a mutual selection method with both participants interviewing

one another to determine the fit in terms of personality, values, presenting issues and overall

resonance. The coaches placed emphasis on their role in the selection process, noting that they

were as active in the determination of fit as the client. Coaches also noted that the more extensive

the selection process, the more likely that successful coaching outcomes could be achieved.

   One author, Wasylyshyn (2003), has explored the characteristics that clients look for in

coaches, but the actual process that both clients and coaches engage in to choose one another

remains unidentified the literature. In this study, all of the participants discussed the coach

selection process in great detail. Coaches and clients found each other in a variety of ways:

through training programs, success with colleagues and friends, newsletters, websites, and

referral from other coaches. However, the method of finding one another was not as important

as the actual selection process – with the exception of coaches and clients who met at training

programs facilitated by the coach. This relationship had the added advantage of the client

observing the coach in action.

Connection. A second corresponding success factor to the breakdown factor of Client/Coach

Match was Connection. Coaches wanted to ensure a connection between themselves and the

client, knowing that if they were not able to establish a bond, the coaching was at risk. When

coaches were ambivalent about the client or ignored the feeling that it would not be a good

match, the coaching process typically ended unsuccessfully. Coaches also identified being able

to establish a connection and trust as essential to successful coaching. "Coaching cannot proceed

unless relationship is sound" (Hudson, 1999, p. 27). Participant coaches established trust

through acknowledgment and affirmation of the client, respecting the confidential nature of the

relationship, demonstrating concern for the client, and demonstrating a level of expertise that

evoked the client's belief in their credibility.

Lack of Depth and Flow/Client Enjoyment

Coaching is most often experienced as a process of deep change. Having witnessed

the powerful change that clients experience, study participants found it frustrating when

they were not able to engage the intuitive dance (Moore, et al., 2005) or flow

(Csikszentmihalyi, 2002) instead relying on techniques to produce change. This led to two

coaching breakdowns. One of the coaches actually described it as not being in "flow" instead

trying to introduce technique after technique to help the client create change. The end result was

that both coach and client were frustrated with the coaching process. This breakdown is also a

link back to tacit knowing in that consciously designing strategies and techniques does not allow

for tacit knowing to emerge.

Enjoyment of Client. Conversely, a prominent success factor was the enjoyment each coach

received from the coaching process. In some circumstances, the coaches expressed admiration

for their clients and being impressed by what their clients had been able to accomplish through

the coaching process. Other coaches reported a desire to clone their clients. The radiating

warmth expressed by the coaches could be likened to Roger's (1980) belief about the importance

of positive regard. Stober (2006) connects this unconditional positive regard to the coaching

process:

> It is an acceptance and valuing of the client for who they are. Unconditional positive regard
> means the practitioner cultivates a sense of continually 'being in the client's corner' without
> imposing his or her agenda or values on the client. (p. 23)

Lack of Client Action and Motivation

The third most frequently cited reason for lack of successful coaching outcomes revolved

around inaction on the part of the client. Requiring a sophisticated skill level, coaches have to be

able to identify any obstacles which impede clients from taking action, focusing, honoring

commitments and being authentic (Auerbach, 2001; Crane, 2002; Flaherty, 1999; Hargrove,

1999; Goldsmith, et al., 2002; Kilburg, 2000; Whitworth, et al., 2003). Obstacles to taking

action often emerged within the coaching process and were typically hidden early in the

coaching process. These obstacles took the form of relationship issues, time management issues,

bad habits, incongruence, competing demands, and over commitments made by clients. Without

being able to determine what was behind the obstacles, simple behaviorialistic strategies did not

improve outcomes. It was frequently noted by coaches that the inability to move clients to action

led to unsuccessful outcomes.

Client resistance was a prominent characteristic of "inaction". Another factor which leads to

inaction is resistance. Resistance is a common problem in any change process. Zeus and

Skiffington (2002) draw a distinction between blatant and subtle resistance offering that when

someone resists subtly, they appear enthusiastic about coaching agreeing to goals and actions but

do not achieve goals. Blatant resistance is more obvious and only one coach gave an example of

a client who demonstrated this form of resistance due to a change in job requirements. The

subtle form of resistance was represented by coaches in the study as an unwillingness to stretch,

an unwillingness to move through the pain of change, and an unwillingness to try anything new.

One coach noted that as he became more experienced, he was able to notice the subtle forms of

resistance in his clients.

Zeus and Skffington (2002) also provide reasons for resistance which include personality

variables, unwillingness to admit improvements are needed, mistrust of the organization, fear of

failure and lack of focus. Peltier (2001) adds that change is threatening to the status quo and

clients resist because they don't want to appear as having been wrong, therefore needing to make

changes.

Belf (2002) suggests that coaches guide the client through resistance to achieve outcomes.

 Change brings its own level of uncertainty to the process and often this uncertainty will manifest

as resistance. Hudson (1999) adds that the client is likely to begin resisting when coaching goals

become more reachable most frequently occurring in the middle phase of coaching. He finds

resistance is the longest phase in the coaching process and that the coach's role is to help the

client prepare for and overcome it.

Interestingly, none of the coaches interviewed linked resistance with strategy selection.

Prochaska, et al. (1994) provide a framework for stages of change that could possibly shed light

on the issue of resistance in coaching. The authors suggest that individuals go through stages of

change from pre-contemplation to termination in a process that is spiral rather than linear. As

people move through the given stages, they frequently return to an earlier stage, or recycle, in

order to renew their efforts to make change. Recycling in this model is considered normal and to

be expected yet if one coaches from simply a goals perspective, one might consider the recycling resistance or even failure.

Motivation. Conversely, coaches reported that being able to inspire and motivate clients from the beginning of the coaching process led to successful outcomes. Coaches reported that clients who had deep desires for change, had something at stake, and had a desire to become better at their jobs reported more success with the coaching process. Miller and Rollnick (2002) suggest that motivation is an interpersonal process and that, as coaches adopt the role of facilitators of change, they have a responsibility to help a client explore and enhance the desire for change instead of assuming that motivation does not exist. Prochaska et al. (1994) suggest that motivation is different for each individual and is dependent upon the stage of change through which one is navigating, requiring a match of strategy to stage of change.

Openness and Negative Mindset

The process of change requires an individual to be open to possibilities because at its core change is uncertain. The more clients were open to different behaviors and ways to thinking the more successful the coaching engagement. Kauffman (2006) challenges coaches to open clients to potential by focusing on strengths and vision rather than pain and weaknesses. This focus on potential allows for openness to emerge.

Coaches frequently expressed frustration with clients who displayed negative mindsets. They found working with these individuals exasperating and dreaded the coaching sessions. Egan (2002) refers to mindsets as states of mind that leak into our behaviors. He argues that negative mindsets impact client experiences in the world and influence the potential range of options available to clients.

Unrealistic Expectations and Accountability

Organizations and life coaching clients who expect sustained change to result in as little as six weeks have unrealistic expectations (Prochaska, et al., 1994; Miller and Rollick, 2002; Egan, 2002). Unrealistic client expectations for change surfaced in two corporate settings and with one life coaching situation. The process of change is complex, requires making distinctions about impediments and calls for practice and experimentation to accomplish goals (Prochaska, et al., 1994; Kilburg, 1997; Hunt and Weintraub, 2002) Typically in restricted time frames clients did not have a chance to truly experiment with new behaviors. In addition in the early stages of change there is a draw to return to the status quo. Belf (2002) describes this experience as the dip-when clients are in the midst of change-experiencing the pain of change and resisting a desire to return to the status quo. Prochaska et al, (1994) positions it as relapse. When clients are expected to change in a short period of time, relapse prevention strategies cannot be created nor practiced.

The length of time breakdown illustrates a potential problem for organizations in being able to distinguish coaching from consulting (Whitworth, et al., 2003). Organizational clients have become accustomed to contracting with consultants by length of engagement rather than outcome. Two coaches specifically addressed this distinction as a dilemma as they felt that their clients were seeking consulting or advice rather than coaching as a process for change. Once this advice is provided, it is either integrated by the organization or it is not. When a consultant moves to a coaching role, the process requires considerably more time and some clients are not prepared to extend engagements beyond those of typical consulting contracts.

Accountability. Conversely, clients who were willing to be accountable including following through with commitments to the coaching process and application of learning also created

successful coaching outcomes. These clients never missed a coaching session, came prepared to interact during coaching sessions, embraced assignments wholeheartedly and took action after coaching calls. One coach defined accountability at the essential ingredient of coaching success.

<center>Summary of Factors of Breakdowns and Success</center>

Forty percent of incidents reported as unsuccessful outcomes were attributed to therapeutic issues and coach/client mismatch. In an ideal world, these two categories of unsuccessful outcomes could be identified prior to beginning the coaching process with events in the therapeutic issues category actually representing success on the part of the coach in being able to discern when the issue is beyond the scope of coaching. However, in this study, both therapeutic issues and the "disconnect" between coach and client often emerged as trust was built in the relationship and clients became more authentic. The coach understood the client more deeply as the relationship developed. Thus, the coach was not able to discern whether coaching was appropriate until the relationship facilitated a deeper level of client self-disclosure.

The remaining 60% of unsuccessful incidents included factors that could be overcome if the coach had enough expertise to address the factors when they emerged. In fact, one coach who accepted a short-term coaching assignment revealed that, later in his coaching practice, he was able to decline an assignment that did not allow for sufficient time for success. Additionally, some coaches reported that as they gained experience, they were able to guide resistant or unmotivated clients through a process of change suggesting that the continual reflection of gaps in intention and behaviors allowed the client to shift and make different choices.

When comparing unsuccessful events to determine whether any specific antecedent event consistently led to a breakdown, there was no connection between an antecedent event and an

unsuccessful coaching experience. However, with that said, none of the four clients who engaged

coaching to change behaviors were able to sustain change. The breakdown reasons varied by

individual client and the most frequently cited reasons for breakdown were therapy issues,

client/coach match, follow-through by client, and the coach staying too technique-focused. Due

to this representation in reasons for breakdowns and the fact that this issue represented less than

four percent of the incidents, it is difficult to draw any conclusions. Conversely, there were no

breakdowns when team building was the antecedent. In all of the team building antecedents, the

leader had engaged the coach to work with the team and was an active participant of the process,

which could have influenced the success of the coaching process. As was the case with behavior

change breakdowns, the team building successes represented just fewer than five percent of the

incidents, causing caution in drawing any conclusions.

Coach Functions

   Coaches identified a number of coach functions – distinct from coaching strategies – that

were interwoven throughout the coaching process. These functions included building

relationships, asking provocative and probing questions, providing direct and challenging

communication and noticing and reflecting back to the client. The coaching conversation

encompassed all of the coach functions. Stein (2003) refers to this process as dialogic discourse

and suggests that the conversations in which coaches engage should be built upon respect and

reciprocity to help the client go deeper into the understanding of their issue. Zeus and

Skiffington (2002) refer to the conversation as a dialog that is conducted in a productive results-

oriented context. In every interview, coaches provided verbatim language that had been used in

coaching sessions to achieve the discovery and depth in dialogic discourse.

Building Relationships

As addressed earlier, the inability to establish a relationship was a critical breakdown

factor in this coaching study. Wasylyshyn (2003) found that the ability to form a strong

connection with the executive was the most important factor identified by clients. Other

factors that have been identified as important in building relationships include confidentiality,

unconditional positive regard and respect, accurate empathy, and authenticity that reflects a

genuine congruence (Kilburg, 1997; Rogers, 1961).

Relationships are built upon trust and confidentiality, both of which contribute to the success

of coaching (Edwards, 2003; Flaherty, 1999; Wasylyshyn, 2003). Participant coaches frequently

discussed ways that they built trust into the coaching process. One coach revealed the aspects of

non-judgment as being instrumental in establishing an environment of trust with clients.

Probing and Provocative Questions

Coaching is a process of discovery and one of the keys to successful coaching is the ability to

help clients find answers to the problems and concerns they bring to the coaching process.

Coaches in this study believed that they had to balance deep probing questions with maintaining

the relationship and used questions to lead clients deeper into themselves if the clients were

ready for change. Goldberg (1998) cautions against moving too quickly to find answers, instead

taking time to reflect and not "know."   The author asserts: "We live in an answer-oriented, fix-it

quick world. In the clamor for answers – sometimes any answer – we often overlook quiet

distinctions and fresh perspectives which could reveal whole new worlds of possibilities (p. 4)."

For the experienced coach, guiding clients toward finding the answer within was a core

part of the coaching process.

Direct and Challenging Feedback

Several coaches related that clients had expectations of directness, most frequently with executive coaching clients; therefore, the coaches emphasized the importance of honest direct challenging questions and feedback to helping clients make change. Cavanagh (2006) contends that the nature, quality and timeliness of good coaching are critical for success. Using feedback, the client sets goals, tracks progress and makes changes as new information is provided.

Coaches have permission to "speak the unspeakable" (Morgan et al., 2003) and as such have the latitude to direct questions that illuminate issues for clients. For leaders, Goleman, et. al., (2002) describes the lack of "honest" feedback, bad news, or views that might be contrary to those of the leader as the "CEO" disease. Coaches participating in this study emphasized their role in providing feedback to clients that the client was unable to receive elsewhere.

Noticing and Reflecting

During the interviews, coaches often made mention of noticing and reflecting functions. Coaches brought the clients' attention to body sensations by noticing and reflecting back to the client what was and was not being said. Many coaches remarked that the process was incredibly intuitive. Coaches also asked client to engage in the same process of noticing and reflecting so that the process could be used outside of the coaching sessions.

For a coach to notice and reflect, the coach has to establish a sense of presence. Hubble, Duncan, and Miller (1999) contend that this focus accounts for 30% of the positive outcomes in therapy. Cavanagh (2006) conceptualizes the reflective process as reflecting in three spaces: the internal conversation within the client, the shared space between client and coach, and the reflective space within the coach. He continues with the assertion that everything that the coach and client share in conversation is a potential source of rich data for the coach.

By noticing the story, the non-verbals, what is not being said, and the tone and words used to express the self, the coach is able to assist the client to construct meaning and new knowledge.

Customizing the Coaching

A number of coaches identified the necessity of matching coaching strategies to the client's presenting issues and goals. Specifically, one coach used an analysis of stage of development to determine a best fit for change strategies while another coach customized after a review of the assessment with the client. Berger (2006, offers that "coach is perhaps the most customized way possible of working to help improve the achievement and satisfaction of another person.

A component of customizing the coaching is following the client's agenda. Whitmore et al. (2003) define holding the client's agenda as both a philosophical stance and skill employed by coaches. "When a coach holds the client's agenda, the coach becomes invisible. That is to say, the coach lets go of his or her own opinions, judgments and answers in support off facilitating the client's fulfillment, balance and process" (p. 256).

Using a pipeline metaphor, Peterson (2006) challenges coaches to determine where a client is most constrained in one of five conditions: insight, motivation, capabilities, real-world practice and accountability. Once the constraint has been identified, strategies for change can be co-created with the client in order to customize the coaching for maximal performance. Understanding the benefits of matching strategy to the position of the pipeline situation is consistent with the stage of change process (Prochaska et al., 1994) discussed earlier and is missing component of strategy selection.

Summary of the Functions of a Coach

The functions of the coach are interwoven explicitly throughout the coaching process. The establishment of a safe environment within the relationship for clients to interact with the coach

is essential to achieving coaching outcomes. In fact, one coach identified a lack of trust between the client and himself as the reason coaching could not be successful. Through noticing what is happening externally for the client while probing for the internal experiences and then providing challenging feedback, the coach guides the client into new ways of thinking and being. Questioning is vital to the coaching process-deep questions lead clients to examine beliefs and also to discernment among a range of behavior options. At every step in the process, strategies for change have to be matched to needs creating a customization of the coaching process.

The Coaching Process

Participants in this study identified strategies as separate from Coach Functions. However, most of the literature groups coaching techniques with coach functions (Brotman et al., 1998; Douglas & Morley, 2000; IAC, 2006; ICF, 2006; O'Neil, 2002; Peltier, 2001; Zeus & Skiffington, 2002). Coaching models also group techniques, strategies and functions (Auerbach, 2001; Crane, 2002; Flaherty; 1999; Goldsmith et al., 2002; Hargrove; 1999; Kilburg, 2000; Whitworth et al., 2003). Approximately half of the participants identified both specific coach training program models and other adapted models for coaching. However, it appeared that, as coaching experience grew, coaches relied less upon models and more on their own tacit knowledge. In addition, when study participants discussed models, they were positioned as broad frameworks or guides for the coaching process rather than as linear, step-by-step methods of coaching.

All of the coaches in this study identified specific strategies they used with their clients to effect change. Although the specific technique used varied from coach to coach, the strategies clustered around general themes of assessment, exploration and reframing of beliefs,

clarification of values, visioning, setting goals, assignments and experimentation, and evaluation. It was not the intent of this study to produce a new model for coaching, yet coaches identified a process they engaged in while coaching their clients. There are many similarities between the steps of the process identified in this study and the models discussed earlier; however, there are also a few differences. First, earlier models (see Appendix D) consider building relationships as a step in the coaching process. In this study, coaches described the need to build relationships throughout the coaching process – making it more of a function than a step – and related that relationship building is maintained during the entirety of the coaching process.

In addition, coaches integrated the remaining functions identified in this study throughout the coaching process: asking provocative and probing questions, communicating directly, creating a safe place for the coaching to occur, noticing and reflecting, and customizing the coaching.

When comparing the coaching process and coach functions identified in this study with those stated by both the International Coach Federation and the International Association of Coaches as necessary for certification, the lists are quite comparable. In fact, no new competencies emerged. However, since the majority of the coaches were certified by and belonged to the ICF, it is possible that the participant coaches were restating beliefs and processes adopted from those two organizations.

Coaching Structure

The first step in most coaching processes is to establish the structure for the coaching. In contrast to the therapeutic process, which typically lasts for 50 minutes weekly and is tightly delineated when therapy begins, coaching sessions tend to last longer and are spaced at longer intervals (Bluckert, 2005). Coaches in this study agreed that the time spent in coaching sessions was often determined by the client or organization. When participant coaches discussed the

structure of their coaching engagements, they revealed that the length of time clients were coached ranged from two months to two years with session meetings varying from weekly to monthly. The clients' needs determined how much contact was offered between coaching sessions; some coaches reported that clients called weekly for 15-20 minute check-ins.

Another distinction in the structure of coaching that differentiates it from other disciplines is that coaching can take place in various locations and over the phone. Because an office is not necessary to conduct a coaching session, coaches often visit clients in the clients' offices with follow-up conversations occurring over the phone (Judge and Crowell, 1997; Morgan et al., 2003; Zackon & Grant, 2004). Coaches in this study reported having national and international clients who were coached via telephone. Although the structure of the coaching engagements was discussed frequently by coaches in the study, they did not name it as leading to successful or unsuccessful outcomes.

Assessment

The majority of the coaches in this study identified an assessment process they used in their coaching practice. Assessments provide coaches with baseline information about the client and can provide various details about personality, leadership styles, interpersonal communication style, strengths, and stage of development.

Coaching models and frameworks emphasize the importance of using assessment in determining the focus of coaching and setting goals (Auerbach, 2001; Brotman et al., 1998; Crane, 2002; Flaherty, 1999; Goldsmith et al., 2002; Hargrove, 1999; Kilburg, 2000; Whitworth et al., 2003). However, only about half of the study participants discussed using a formal or informal assessment process such as a 360 degree instrument or interviews with the clients' associates to provide feedback to the client.

A value of 360 degree assessments is that they provide clients with information about themselves that is hidden from view. Several coaches in the study confirmed the need to enhance computerized assessments with informal interviews to ensure that what was reported to the client was truly the observation of the peer, team or supervisor. For some clients, this may be the first time they hear less than positive information about the way their team or peers or supervisor sees them. Goldsmith (2003) contends that these one-on-one interviews can provide measurement of a person's strengths, suggest areas for improvement, and can help to structure goals for the coaching engagement.

In some instances, the assessments were conducted before coaches started working with the individual client, requiring the coach to debrief the client on the report. A familiarity with a range of assessment instruments is often a necessity for coaches who focus on organizational coaching.

On a more personal level, work life balance and values assessments can be offered to provide clarity to the client's current circumstances and future possibilities. The coaching sessions can then be structured to take advantage of the client's strengths while building muscle in areas needed for growth and learning.

The process of debriefing can be as important as the coaching process itself (Schein, 2004). The insight that can be developed from the debriefing session can open a client to a world that had never been explored and also help the client construct meaning about situations that, up to this point, had not been revealed or understood. Highlighting how the information can be used positively to exploit interpersonal tendencies and inclinations can be a valuable experience for many clients. One coach from the study described how the debriefing process brought a client to tears as the client was unaware of his impact on his team. Using the

information gained from the assessment, he was able to rebuild relationships with his staff and

target specific behaviors to make the coaching a successful experience.

One critical issue regarding the use of assessments is who owns the data once it is collected.

In circumstances where the coach is contracted to only provide coaching using the assessments

already completed, there is less concern. However, if the coach conducts the assessment,

measures have to be developed to protect the confidentiality of information that should never be

shared with others unless permitted by the client (McCauley & Moxley, 1996; McGarvey &

Smith, 1993).   Confidentiality is essential to the coaching process. One coach from the study

specifically disclosed that if confidentiality was not honored during the assessment process, then

the depth of coaching that can be achieved would be compromised.

Exploration of Beliefs and Assumptions

Study participants reported that, once clients have been assessed, the next step in the coaching

process is to assist clients through an examination of beliefs. Mindsets determine the range of

options available to clients (Egan, 2002). Coaches revealed that the exploration of assumptions,

attitudes, beliefs, biases, and values and outlook was instrumental in their coaching practices.

Doing more than simply delving into the unknown, increasing knowledge about any area of

one's life increases consciousness and provides new information from which to make different

decisions (Prochaska, Norcross, & Diclemente, 1994). Miller and C'de Baca (2001) identify this

shift in perspective or insight as a type of quantum change.

> Suddenly the person comes to a new realization, a new way of thinking or understanding.
> This new conception may pertain to certain life problems or circumstances or to self
> perceptions, or to life and reality more broadly. These quantum changes break upon the
> person's consciousness with particular clarity and forcefulness. The "aha" is deep and
> often of such magnitude to leave the person stunned or breathless. From the moment
> of realization, the person is confident of its truth (p.18).

Many coaches in the study spoke of the "aha" moment. Because coaches are noticing and

paying attention to what is happening for the client, coaches do witness this type of

"quantum" change with their clients; in fact, they seek it.

Reframing Beliefs

Coaches in the study noted that, once client beliefs had been identified, they helped clients

shift or overcome their limited thinking. The process the coaches described is intricately linked

to transformational learning. The essence of transformational learning theory is a three-part

process: making assumptions explicit, examination of assumptions and consequences of

believing them, and questioning the validity of the assumptions (Cranton, 1994). The majority

of the coaches in this study described a "transformational learning" process with their clients in

which the purpose of the learning was to achieve a mindset shift.

An additional influence of Meizerow's (2000) transformational learning theory can be

observed in this step of the coaching process as clients experienced a disorienting dilemma.

Coaches were able to provide the space for self-examination and reflection while encouraging

clients to explore new ways of acting through a learning process. "Learning occurs when an

individual enters a process of reconciling newly communicated ideas with the presuppositions of

prior learning" (Cranton, 1994, p. 27).

Gardner (2004) asserts that "our own minds are changed – either because we want to change

them or because something happened in the real world or in our mental life that warrants a major

life change" (p. 65). Coaches facilitate this connection for their clients. Coaches also often help

shift mindsets through modification and adaptation of the components of rational emotive

behavior therapy (Anderson, 2002). Coaches can challenge clients beliefs, support them

to adopt new ways of thinking and talking to themselves.   Coaches noted in this study that

many clients who experienced successful outcomes in the coaching process, did so as a result of

the ability to transform and shift their beliefs.

Values Clarification

   The vast majority of coaches identified a values clarification process as part of their coaching

strategy. Several coaches described a process that helped clients reach deeper inside for clarity

about what was important for the future. Some coaches used values alignment strategies, and

other coaches worked with clients around core values. Egan (2002) also uses a four stage process

to help clients clarify by asking: What are the opportunities, what changes would increase

fulfillment, what does the plan look like and how can you turn the plan into results? Miller and

Rollnick (2002) refer to this process as decisional balancing. Several coaches reported using

adapted forms of the decisional balancing process in helping their clients clarify goals, life

purposes and career changes.

Envisioning

   Many coaches reported that the ability to visualize what one is attempting to change or

conceive was an instrumental part of the coaching process for them. The role of guiding the

client's vision was frequently discussed during the interviews. In fact, it was a major strategy for

the coaches, especially when the antecedent for coaching was to identify one's mission and

purpose. Coaches also used the visioning process when working with executives who were

establishing their legacy.

   Belf (2002) believes that "somewhere in everyone's subconscious lies hope for the future;

these may be latent, but they exist. Our task is to facilitate a shared vision that includes the

hopes and dreams of every human being" (p. 207). Hudson (1999) challenges coaches to move

from a problem orientation to a vision orientation. This visioning process was discussed

frequently by participant coaches; they reported helping to hold the vision for the client and

move the client into their future while maintaining focus on the ideal. Fritz (1991) suggests that

vision is a vital step in the creation process and it is through vision that individuals are able to

conceptualize a specific tangible end result.

Synthesizing and Making Connections

Coaches reported providing a synthesis for clients through active listening and providing

feedback during coaching sessions. It is through these connections that people are able to engage

in change. Often, clients are so stuck in their problems that they cannot make the connections

for themselves (Hudson, 1999; Belf, 2002). This feedback is vital for clients to be able to take

action. Crane (2002) contends that coaching connects people to people, people to processes,

people to performance, and processes to performance.

Setting Goals

Setting and achieving goals is a fundament part of the coaching process (Auerbach, 2001;

Crane, 2002; Flaherty; 1999; Goldsmith, et al., 2002; Hargrove; 1999; Kilburg, 2000; Whitworth

et al., 2003). About three fourths of study participants specifically spoke about setting goals.

This does not necessarily reflect a lack of goal setting in the remaining 25%; rather, it speaks to

the implicit nature of goal setting in the coaching process in which the presenting issue became

the goal. Sternberg (1999) offers that tacit knowledge is a collection of things that one considers

obvious and in this situation, it appeared that goal setting was an implicit component of the

coaching process since clients experienced successful coaching outcomes.

However, there were several coaches who contended that goal setting would require making

the implicit explicit so that the client would have an accountability to an end result. Egan (2002)

contends that the process of goal setting moves through three phases: good intentions, broad aims, and specific goals. He adds that the setting of goals will reflect whether a client is in an adaptive mindset or is actually directing themselves into stretch goals. Most coaches in the study framed goal setting as a process that stretched the client beyond the client's own levels of comfort.

In creating commitment to goals, clients build reinforcing rituals and processes that help them to sustain change. It is through this commitment that clients accept responsibility for the change and acknowledges that they alone respond, speak, and act for themselves (Proachaska, et al., 1994).

Identifying Tools, Resources and Support Needed

Coaches in this study, encompassing both organizational and life coaching arenas, recommended books, tapes and other resources, such as informal and formal networks, to clients to help reinforce the changes clients were making. Prochaska et al. (1994) suggest that the most common threats to sustained change center on social pressures, internal challenges, and special situations. Many coaches prepared their clients for these challenges by creating processes that would effectively guide clients into alternative behaviors and rituals. In some cases, clients engaged the assistance of family members or friends to help support change; others joined special interest community networks to reinforce goals.

Rewards are often used to sustain behavior change; the most frequently used reward by coaches in this study was positive reinforcement. Several coaches specifically discussed celebrating each step toward the goal as a method of helping clients sustain change.

> Celebrating fully honors wherever the client experiences him- or herself in life. The coach uses this experience to deepen the client's appreciation of his or her own successes and failures, disappointments and wins. Celebrating is not about cheering. It is about bringing attention and acknowledgement to the client's process. (Whitworth et al, 2003, p. 254)

Coaches did not report other forms of rewards to reinforce the coaching process which is an

interesting finding due to the fact that several authors recommend the use of rewards to sustain

behavior change (Prochaska, et al., 1994; Egan, 2002; Whitworth et al., 2003).

Building Congruent Actions

    Study participants frequently discussed aligning action with intentions. Coaches assisted

clients to identify the discrepancies between what they verbalize and what they do by

challenging the client to make the connection (Egan, 2002).   This step intentionally follows the

examination and assessment of beliefs because it is through that examination that clients begin to

build congruent actions. Without a challenge to a misalignment of behaviors and commitments,

some habitual behaviors were hard to overcome. Coaches noted that this was particularly true

when successful coaching outcomes were not achieved.

Experimentation and Practice

    Adults learn through collaboration, facilitation and experiential processes, making coaching a

continuous learning process (Diedrich, 1996). Diedrich's model focuses on double loop learning

and learner-centered principles. Adult learners prefer activities that can be immediately

implemented, are solution-focused, and can be self-directed. Capitalizing on these elements,

several coaches frequently use assignments and practices to integrate knowledge garnered from

coaching sessions.   Coaches assigned journaling, assessments and other forms of written

activities to clients to help them identify, clarify, and work through obstacles to sustaining

change.

    Coaches also designed self-directed learning processes that focused on the future. Goleman,

Boyatzis, and McKee (2002) and Grant (2006) place emphasis on discerning the subtle

differences between learning agendas and performance agendas. When using a learning agenda,

people focus on what they want to become. A crucial aspect in self-directed learning is that

people only learn what they want to learn, so the learning environment must be designed to

support this learning construct. Coaches in this study reported being able to help client

successfully construct learning environments.

Coaches reported that using the environments identified in other stages allowed for the

experimentation and the practice of new behaviors in a manner that provided feedback as well as

integration into normal routines. Their clients had to manage relationships in a way that

contributed to their own self-directed learning processes. A critical element in this process was

that new learned and tested behaviors were practiced in safe environments with people who can

be trusted. Zeus and Skiffington (2002) propose that, in guiding the learning process, coaches

help clients to become self-correcting and self-generating as they explore new ways to address

old problems and issues.

Coaches in the study named three distinct types of practice and experimentation. Meditation

was used to facilitate a pausing and reflection process for clients who were unable to slow

down. Bodywork in the form of somatic coaching practices, a method for helping clients engage

with the whole body, was also identified as a form of experimentation. Finally role-play was

used to practice and reinforce behaviors leading towards successful achievement of goals.

Meditation. Several coaches identified offering to guide clients through meditation

techniques as a method of assisting the client to address their behavioral issues. Braham (2005)

proposes that the meditation process can be important for the executive coach. It leads the coach

to a systems perspective for making distinctions about what to do and when to do it. She also

suggests that meditation can lead to an integrative person and can open the coach to greater

intuition. Although the focus of her study was on the executive coach, it provides a glimpse into how meditation can work in all client situations.

   Bodywork. Several coaches discussed the use of bodywork to move clients toward goals. Strozzi-Heckler (2002) offers that bodywork can assist clients in unearthing wisdom that is often neglected and that points of discomfort in the body are doorways that clients can use to begin the process of living in their bodies. Participant coaches asked their clients to observe the feelings and sensations located in the body so that the whole person could be engaged in the coaching process.

   Role-play. A number of coaches used role-play strategies to provide clients with the opportunity to practice behaviors or upcoming difficult conversations. Hargrove(1999) suggests that role play can be used both to prepare for a conversation and allow a person to take another's perspective in order to better understand a given situation. Coaches who used role-plays in the latter situation provided clients with the opportunity to reframe situations with the potential to shift perspectives regarding difficult situations.

Evaluation

   Although the study did not specifically ask, approximately half of the study participants referenced an evaluation process that is part if their coaching process. Most frequently, it was an informal check-in to determine whether the clients were on-track with goals and whether they were making progress within the coaching process. Despite a significant number of organizational coaches in the study, the study coaches did not report organizations requesting more than qualitative evaluations from employees as endorsement of successes.

   Goldsmith (as cited in Morgan et al., 2003) contends that organizations pay for results coaching and want to know which key behaviors will make the biggest positive change in

leadership effectiveness as well as which key stakeholders should determine when an executive coaching engagement is successful.

To date, there is very little in the literature regarding coaching outcomes and the return-on-investment issue continues to grow as it is one specific way that businesses make decisions (Goldsmith et al., 2000; Morgan et al, 2001; McGovern et al, 2001). There are even less data available for determining success and return on investment in the life coaching arena. The issue of evaluation of outcomes in coaching continues to be a need for the field of coaching that remains unaddressed.

<p align="center">*Summary of the Coaching Process*</p>

Study participants conducted formal and informal assessments to determine which strategies to use during the coaching process. However, it was unclear whether these assessments were connected to any evaluations used to determine the success of coaching. It appeared that the coaching process was deemed successful if the client achieved the goals set at the initiation of the process.

Coaches in this study identified a process for coaching that was similar to models reviewed in the literature (Auerbach, 2001; Crane, 2002; Flaherty; 1999; Goldsmith, et al., 2002; Hargrove; 1999; Kilburg, 2000; Whitworth et al., 2003). Study participants placed emphasis on helping clients shift perspectives and mindsets which was not illustrated in the models reviewed (See Appendix D).

The Precipitating Factors

Three categories of factors constitute the precipitating factors of coaching; critical incidents, hidden issues, client circumstance. Diagram 3 illustrates the connection between the three groups. Coaches in this study identified the event that initiated the coaching process as the

critical incident.   In addition, coaches noted that hidden issues arose during the coaching

process. Although, in many instances, these issues impacted the coaching process and ultimately

the outcomes, there were some instances in which the hidden issues had no influence. Thus the

circles overlap but still allow for no impact on one another. Finally, coaches frequently reported

the details of clients' lives that described elements of their lives but had little or no impact on the

coaching process. The client circumstance circle illustrates a small area of overlap as its

influence was considerably smaller.

Figure 3. The Precipitating Factors in Coaching
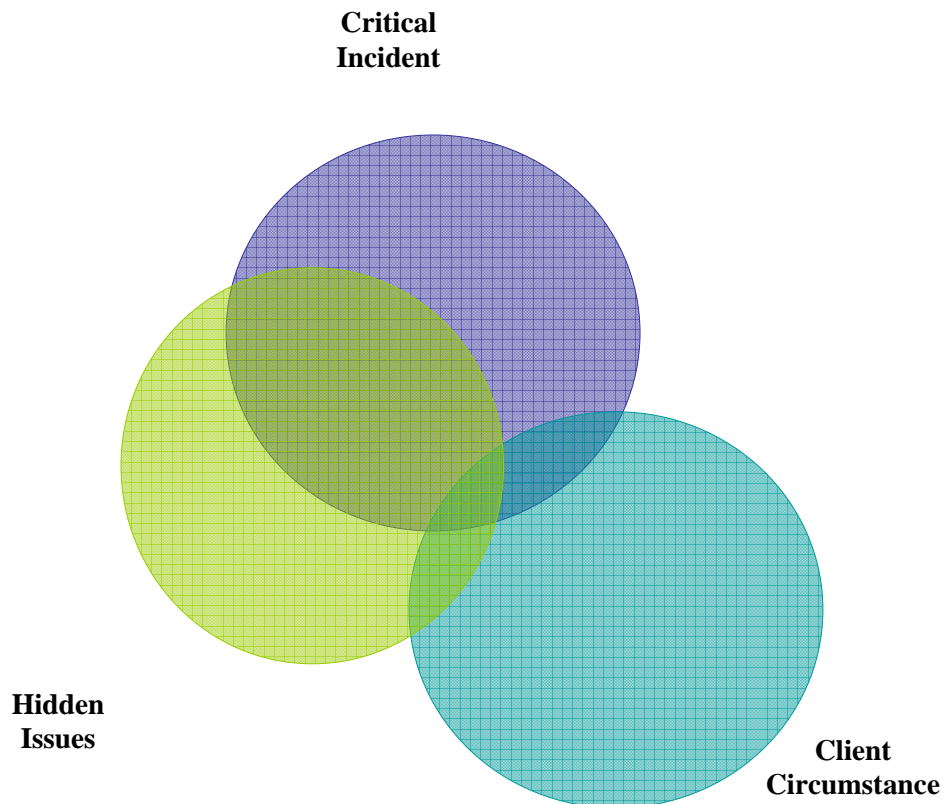
Critical Incidents

Clients came to the coaching process in search of change and these changes clustered in 14 primary areas. In the literature, clients chose the coaching process to change behaviors, develop leadership skills, improve relationships, balance work and family, set and reach career goals, create more fulfilling lives, modify interaction styles, deal better with change, and change careers (Dunn, 2003; Hall, Otazo, & Hollenbeck, 1999; Judge & Crowell, 1997; Wasylyshyn, 2003). Many of these reasons were among the incidents reported in this study; however, the most frequently cited triggering event in this study's findings was business-building strategies, which was not identified in the literature as a reason for choosing the coaching process. However, Zackon and Grant's (2004) study suggested that coaches typically brand "business building strategies" as their practice specialty or niche. Also, the management of emotion was not previously cited in the literature as a reason clients seek coaching and yet it was an important trigger event in this study.

This study found no connection between critical incident and unsuccessful coaching outcomes. In fact, the unsuccessful coaching outcomes or breakdowns (as identified by the coaches) were consistently present in all of the incident clusters. One factor that seemed to have a greater impact on coaching success was the hidden issue.

Once the client had engaged the coaching process and had built a trusting relationship with the coach, other issues emerged that had been undiscovered or unrecognized prior to the initiation of coaching. Relationships, particularly when dysfunctional and not supportive of the changes that clients intended to make, appeared to interfere the most with the coaching process. In addition, coaches frequently discovered that self-esteem and confidence issues were keeping some clients from being able to engage in a change process. In some circumstances, coaches

were able to use the coaching process to address the emergent issues; however, in other instances

the issues were considered to be therapeutic in nature and the client was referred to a therapist.

Coaches frequently added comments about the life circumstances of their clients. They used

this information to provide more descriptive details about the clients. In most cases, the

descriptions related to job title, marital status, or personality and did not influence the coaching

process or outcomes.

Outcomes of Coaching

Planned Outcomes

Consistent with previous research (Hall, et al. 1999), the coaches in this study reported that

their clients were able to achieve similar outcomes as well as several more including the

following: strengthening and enhancing business strategies and performance; improving

relationships; transitioning through roles and changing careers; changing behaviors; building

leadership and communication skills; balancing work with personal life; gaining greater clarity

about their mission, values and purpose; managing emotions; making important life decisions;

and retaining jobs that they were about to lose. In the literature, client results from the coaching

process have included gaining new skills, improvement in relationships, improvement in work

life balance, increased self awareness, stress management, learning, and more effective work

behaviors (Bush, 2004; Dunn, 2004; Gegner, 1997;. Hurd, 2003; Kampa-Kokesh, 2001).

Unplanned Outcomes

In addition to the anticipated outcomes, coaches in this study identified unplanned outcomes

that clients achieved through the coaching process. Some coaches expressed surprise at the

unplanned outcomes; however, others offered that they "expect the unexpected" from their

clients. The literature does not identify any unplanned outcomes, however, coaches in this study

related that improved relationships, requests for additional coaching, self-realization, career

change, identification of hidden passions, coaching advocacy and major paradigm shifts all

occurred secondarily to the coaching process.

<div align="center">Summary</div>

Coaching is: a conversation; about learning; about asking the right questions; about

change and transformation; and about reinventing oneself (Zeus and Skiffington, 2002).

Coaches in this study reported that their clients used the coaching process to make and sustain

change that revolved around significant personal and career events in their lives. Frederick

Hudson (1999) asserts:

> Coaches help clients search for the advantages of change, not only in work settings
> but anywhere that people are struggling to cope with change. Coaches are positive
> change agents. They motivate people around them with new hope, purpose, and
> concrete steps for sustaining a cautious optimism. Coaches model the future and
> view change as an asset. (p. 7)

The tacit knowledge of the coach became in integral component of the study as coaches

related the examples of success and lack of success. Using language that was reflective in

nature, coaches related both successful and unsuccessful events in great detail. Even though the

details of the breakdown factors remained clear in the participants' minds, the participant

coaches did not detail the exact process for achievement of successful coaching outcomes. This

suggests that, as coaches grow in expertise, they became less aware of the processes that are

resulting in success; yet they remain deliberate in analyzing their acknowledged failures.

Factors that led to successful coaching outcomes were the client connection or unconditional

positive regard (Rogers, 1980), the coach selection process, establishing a strong connection

between coach and client, client accountability, openness and motivation. Conversely, factors

that led to unsuccessful outcomes or breakdowns in coaching were therapeutic issues, coach/client mismatch, a lack of a willingness or ability to take action and make commitments, unrealistic expectations, referral to a specialty coach, lack of depth and flow, and negative mindsets that could not be shifted.

Coaches engaged in a coaching process that reflected their personal theories and perspectives. These theories could often be related back to foundational theories of coaching such as client-centered therapy, transformational learning, systems theory, and adult development theories. However, missing from the discussions was the linking of personal theories to the actual theories which formed the foundation of the coach's practice. The coaching process and functions of a coach identified through interviews with the study participants did not unearth any new competencies or proficiencies previously unidentified in the literature; instead, they affirmed that these competencies are being used by experienced coaches.

Coaches noted that unearthing all of the complexities of the client's presenting issue was the key to success as hidden and emergent issues unaddressed and unacknowledged were identified as factors that led to unsuccessful coaching experiences. As facilitators of the changes clients want to make, coaches identified the obligation to stay alert to the issues present at the beginning of coaching as well as what emerged during the process.

The coaching outcomes experienced by clients matched those found in the literature. However, the unplanned or unexpected outcomes also revealed the impact of coaching on the whole person or system. Coaches reported that, as clients gained successes in one area of their life, they experienced success in other areas as well. Also, clients who experienced successful coaching outcomes became champions of coaching in other areas of their organizations and outside institutions.

Limitations of the Study

There are general issues with the Critical Incident Technique method that contributed to the limitations of the study. These include the following: (a) a potential flawed recall bias of participants; (b) ensuring that all critical incidents were captured; (c) protecting the confidentiality of individuals named in the interviews; and (d) the time involved in telling a complete story which could have affected the response rate (Chell, 1998; Gremler, 2004). These potential limitations were addressed during the interview process. First, participants were asked for incidents that occurred in the past six months. Additionally, Flanagan (1954) considered an incident to be credible when rich detail was provided about the incident. Each incident was reviewed and deemed credible by the coding team. Participants were asked to provide six incidents of coaching – three successful and three unsuccessful. They were also probed several times during the reporting of the incident for more detail. When they were complete with the description, the interview continued to the next incident.

Creswell (2003) outlined two limitations of the interview method: the provision of information filtered through the perspective of the participant, and participants who are not equally articulate and perceptive. Although these were limitations of the interview method, they actually served to enhance the critical incident technique. The individual perspective of each coach provided rich detail about the incident. Second, as discussed previously, the issue of inequality of articulation was reduced through interviewer guidance by helping participants to reflect more deeply during the identification of incidents.

Lincoln and Cuba (1985) use the term transferability in determining the comparability between two contexts. The authors contended that the more congruent the context, the more

likely it is that one can make transferability statements. Therefore, transferability of the findings

of this study would be limited to experienced coaches in life and organizational contexts.

Sample and sample composition were also limitations of this study. Every attempt was made

to be as inclusive as possible, but there are nuances within the field of coaching that could be

reflected in the sample. A few coaches mentioned holding memberships in the Worldwide

Association of Business Coaches and were faculty at academic institutions in which a coaching

certificate was offered, yet the majority of participants were members of the International Coach

Federation with the majority holding certification by the ICF. This certification requires

familiarity with competencies, which could have influenced some of the beliefs and ideas offered

by the coaches.

The connection of the primary researcher to the field of coaching also introduces the potential

for obscuring the participant's meaning with the researcher's preferred interpretation of events.

The researcher is a coach who has been coaching full-time for the past two years with a broad

scope of practice. In addition, the researcher has been actively engaged in the planning of the

International Coach Federation Research Symposiums for the past two years, interacting with

fellow colleagues on issues pertinent to the field, such as the need for expanded empirical

research in the field. The researcher is also the President-elect of a local International Coach

Federation, is certified by the International Association of Coaches, and is in the process of

applying for Professional Certified Coach (PCC) through the International Coach Federation.

While this background and experience could have led to bias with regard to perspective, it also

served an asset in the formation of follow-up questions during the interview, allowing for richer

descriptions from participants. Further, the careful and deliberate use of a team of coders both

familiar with the coaching world and without any connection to the coaching allowed for multiple perspectives to enter into the interpretation of the data.

Implications of the Study

This study explored successful and unsuccessful outcomes in coaching from the perspectives of experienced coaches. The tacit knowledge of each coach became evident as they provided descriptions of the triggering events, illustrated hidden and emergent themes as well as identified the strategies used the reason the strategy was successful. They were able to make meaning from the event, not just describe it.

One striking finding was that for these experienced coaches, the breakdowns occurred early in their practices; they were unable to identify a recent example of an unsuccessful coaching experience. Because of the early breakdown occurrences, the field of coaching might consider a supervised or mentor-guided practice experience much like the aligned fields of counseling and education. A supervised time of experimental practice might minimize the number of breakdowns that coaches experience in the early years of practice.

Coaches frequently cited the unwillingness and capacity of the client to engage the coaching process as a reason for lack of success. Coaches tended to express this as an either-or proposition: either the clients were motivated to change or they were not. However, each client was motivated, at least in the beginning, to seek coaching as a process for change. Research is needed to determine what stops coaches from working on "motivational" aspects of behavior change. What aspects unique to coaching might discourage or "de-motivate" a client?

 Lack of motivation could be explored through a deeper understanding of stages of change. Prochaska et al. (1994) contend that people move through stages as they make changes. Peterson (2006) concurs but with a slightly different approach. Other authors suggest that people makes

decisions and choices based upon stages of development (Kegan, 1994; Tolbert, 2004). Berger (2006) promotes the value of stage theories in helping to understand clients better yet cautions that coaches should avoid oversimplification and over-reliance on them.

It would be unrealistic to expect that unsuccessful coaching outcomes could be eliminated. However, what has emerged from this study is the notion that breakdowns could be minimized by thorough coach selection processes, a deeper understanding of motivation and strategies for change, and the provision of a practicum experience for novice coaches. This could ensure that, if and when breakdowns did occur, novice coaches could begin earlier to develop their own level of tacit knowledge about navigating through the breakdowns.

Recommendations for Future Research

As the field of coaching moves forward toward becoming a profession, it will be important to address several issues from a research perspective. First is the issue of the development of practice knowledge in the field of coaching. There is an abundance of certified training programs available for new coaches. There is now a need to link empirical research to these training programs as well as to design research studies that inform coaching practice based on the integration of empirical knowledge and practice wisdom. The articulation of practices firmly based in research and experience will assist trainers to name critical factors in coaching in relation to process and outcome.

Exploration of the relevance of stages of change in coaching and stages of client development would help in the identification of effective coaching strategies. Prochaska et al. (1994) have researched stages of change on addictions and a number of other behaviors, but no research studies examine the best coaching strategies for differing stages of change in combination with the client's stage of personal development.

In this study breakdown and success factors were solicited from the perspective of the coach. Additional research is needed to determine if clients view factors of breakdown and success in a similar manner or if there are distinct differences between these two groups. Research on the timing of breakdowns is also needed. In this study, breakdowns seemed to occur earlier in the coach's career rather than later. Coaches in the study offered that as they developed a level of expertise, they were better able to determine which client would be a best fit for their own coaching process. However, there could be other explanations for the lack of breakdown latter in a coach's career. Therefore, studies which integrate the perspective of the client may illuminate a more expansive delineation of the timing and causes of breakdowns and can contribute significantly to the field of coaching.

Finally, the field of coaching could benefit from expanded studies on coaching outcomes. To date, the majority of the outcome studies have been produced anecdotally, using the recall of coaches and clients. Designing studies with pre and post-assessment measures would help to delineate any other factors that lead to successful coaching outcomes.

Coaching is a field whose framework has not been theoretically integrated. All of the models discussed in this study borrow from or align with differing theoretical constructs. Research studies that explore and connect theories can advance the field of coaching along its professional progression. Surprisingly, this study did not produce any competencies that have not already been identified in the literature; however, it did uncover with detail and richness the meaning and relevance of these competencies in the unfolding moments of the coaching processes. It is with further study of these contextualized descriptions of competencies that the field can develop greater meaning of the "competencies" that they now embrace in coaching practice.

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Appendix A-Solicitation Letter

Dear Colleague,

Because of your depth of experience and expertise, you have been nominated by a group of your peers to participate in a research study on the critical factors that lead to successful coaching outcomes, conducted by Peggy Marshall, a doctoral student in Leadership and Organizational Change at Antioch University.

The research methodology that will be utilized in the study is the Critical Incident Technique. Interviews will be conducted asking you to describe specific critical incidents which have lead to successful coaching outcomes in your own coaching practice. The interview should take approximately 60-90 minutes.

With your permission, the interviews will be taped and transcribed using a transcriptionist. You will have the opportunity to review the transcript of your interview and make corrections and/or clarify your responses.

In order to be considered as a participant for this study you have to meet three criteria. You have to have coached at least 1000 hours with a minimum of 25 different clients in one-to-one coaching sessions and have been coaching for the past three years.

Your participation in this research study is extremely important based on the insights that you can share with me regarding your experience and expertise in the field of coaching. All information contained in the study will be kept confidential. Upon completion of the study, all participants will receive a copy of the findings of the study. Your participation is voluntary and you are free to withdraw at any time without penalty

The Institutional Review Board of Antioch University retains access to all signed informed consent forms. Information provided as part of this study will become part of a published dissertation and may become part of future published studies and presentations.

Thank you, in advance, for you assistance and participation with this important project. If you have any questions about the study, please contact me at the email address below or by phone at (937) 248-1415.

If you meet the three criteria outlined above, please send the included consent form back to me as your intent to participate.

Peggy Marshall, M.Ed.
Graduate Candidate
Antioch University
pmarshall@phd.antioch.edu

Appendix B-Participant Consent Form

CRITICAL INCIDENTS WHICH LEAD TO SUCCESSFUL COACHING OUTCOMES AS

PERCEIVED BY EXPERIENCED COACHES

Study overview*:* Lacking an empirical validation of competencies, the purpose of this study is to identify a common set of practices for coaching which are perceived to be critical for successful coaching outcomes by top practitioners in the field of coaching. This study will contribute to the "common" body of knowledge about coaching and serve to inform the foundational development of best practices and skill development

Confidentiality: Research recordings and transcripts will be kept in locked files and destroyed one year after completion of the study. Participants will not be identified by name in the study or any other identifying characteristics.

Voluntary Participation: I understand that my participation is voluntary and that I am free to withdraw from the study at any time.

Participation requirements:
1) 60 to 90 minute interview
2) Agree to the taping of the interview
3) Review of the written transcript from the interview for accuracy to clarify or correct any errors.
4) Return of amended transcript to researcher

Contacts and Questions:

I understand if I have any additional questions regarding my rights as a research participant, I can contact the investigator, Peggy Marshall at pmarshall9@msn.com or her advisor, Dr. Elizabeth Holloway, Antioch University, eholloway@phd.antioch.edu , 805-898-0114.

In addition, if I have any concerns regarding the study, I may contact the University Committee on Research Involving Human Subjects at Antioch University.

I agree to participate in this study which I understand to be a part of a dissertation to be submitted in partial fulfillment of the degree of Doctor of Philosophy at Antioch University.

Participant's Signature _____

Date Signed _____

Investigator _____ _____

Appendix C: Description of Coaches and Incidents

Incident 1-Conflicting Demands

Client one was struggling with two life circumstances; the completion of a Ph. D. dissertation

and finding a job. The job which he coveted required him to have published his dissertation but

he was still in the writing phase of the dissertation. He felt stuck and was unable to focus on the

writing. The fact that his wife was pregnant with their second child was adding to his guilt and

contributing to his stress.
>   he told me that he was sitting in the stacks of the library trying to write his dissertation
>   feeling very, very guilty that he should be job hunting.

Incident 2-Conflicting Needs

Client two had set aside a whole day for completing a chapter in a book that she was writing.

However, the night before she had been unable to sleep and was not ready to begin in the

morning, instead fighting the urge to take a nap. Childhood beliefs were preventing the client

from doing what she needed to do.
>   My mother always said that naps were for lazy people…."well if you're not lazy, what
>   are you?"…."because I am a wise person I know how to take care of myself."

Incident 3-Lack of organization

Client three was continually frustrated by not being able to find papers, sending things late, and a

general inability to organize her life. The disorganization was beginning to take a toll on her

relationships as her husband and children were complaining about the issue. Additionally, she

had lack of clarity around where to begin.
>   there was an issue of trust that underlies this kind of behavior…you save everything in
>   case it'll never come back.

Incident 4-Build Business

Client four wanted to earn more money. In addition there were housing and relationship issues.

However, early in the coaching process, the block to earning money was identified as a self-

confidence issue.
> She spoke softly…more softly than most people. ….there wasn't much life force
> behind her.

Incident 5-Build Coaching Practice

Client five had been a client of the coach from several years earlier. Now she wanted to become

a coach, using the techniques that had been successful for her. For the coach, it was no longer a

matter of technique but being able to combine technique with a conversational process.
> To see whether the circumstances under which you created what you created are still
> valid and if not, what's the new picture and when would the old situation still come in
> handy.

Incident 6-Identification of Values, Life's Mission and Purpose

Client six sought this particular coach out because of her previous background, reporting that he

wanted to identify his life's mission and purpose. He was struggling with a significant life

choice issue and was using the coach's knowledge of the field to make a decision which then

became the focus of coaching.

Incident 7-Leadership Initiative

Client wanted to become a more effective leader and was struggling the delegation aspects of the

leadership role. She was unable to move a mindset that people are professional and know what

need to be done to a more collaborative position of everyone needs feedback on process and

products.
> People need to know what expectations are so that they can assess for themselves if they are
> meeting those expectations….and actually develop the capacity to self-correct.

Incident 8-Emotion Management

Client eight was ineffective with the management of her anger when interacting with staff. She

was in a pattern of reacting by using a loud voice, over talking, and leaving the room. She was

caught in a cycle of reacting instead of responding.
> that reaction we have worked on…it's not the anger that's problem, but it's the management

of the anger….letting the anger be a source of information that informs you.

Incident 9-Role Transition

The Human Resource Director engaged the coach to assist the client with corporate transition.

The client had been part of a smaller organization which was bought by a larger organization

with personnel already in key roles, creating a duplication of roles.   The client needed to

transition into a different role within the organization but was not aware of the new

organizational structure or politics.
>   had lots of feelings about that [the restructure] and the organization felt like she wasn't
>   being effective.

Incident 10-Leadership Initiative

As part of a leadership initiative client ten chose coaching to become more effective with

interpersonal relationships most particularly conflict with peers. With an aggressive personality

style, client ten felt that she had to try harder to succeed.
>   the hidden issue was that I think she had a lot of psychological issues going on

Incident 11-Career Satisfaction

Client 11 wanted more fulfillment from work, to advance his career, and to find more enjoyment

in the work he did. He chose the coaching process to brainstorm ideas about what was possible

to and help with clarity and options that might have been available to him. Assessments were

used to support the process.
>   we had a debrief…he had an awareness of who he was…a language that he could use to
>   describe himself.

Incident 12-Disorganization

Client 12 wanted to become more organized, to honor commitments made to people and be able

to manage the details of her work life along with her home life. She also reported having Adult

Attention Deficit Disorder which was integrated into the coaching process as she wasn't able to

prioritize her commitments.

Incident 13-Build Business and Relationship Management

Client 13 wanted to manage his current clients, become more proactive with securing new clients and to be able to work better with his office assistant. He tried a strategy that the coach offered at an interview and due to the immediate change that occurred with his office assistant. Client 13 also viewed a coach as an important member of his support team.

Incident 14-Behavior change

Client 14 chose coaching to lose weight and find a job closer to home. She wanted the coaching process to hold her accountable to the goals she was setting for herself. Client 14 interpreted the coach's directness as pivotal in her being able to make and sustain change.

Incident 15-Build Coaching Practice

Client 15 was a student who wanted help with improving coaching business results. Coach three was providing tools, techniques and guidance in the service of generating clients and increasing revenues.
    …was teaching classes and this person hired me to help them get their business going.

Incident 16-Support

Client 16 was a former client who returned to the coaching process based upon earlier coaching successes. She was experiencing difficulty in competitive sporting events and wanted to explore how she could be different. Other people in her life were not supporting her around the nervousness she was beginning to experience at competitive events.
    'I am up against something that I feel like I don't have support in my life right now'

Incident 17-Team Building

Client 17 was a team that was experiencing a disconnect with relationship issues. They were also struggling with a connection to the vision of the company. Coach four was brought into the assignment by the team leader who was able to identify the disconnects.

Incident 18- Identification of Values, Life's Mission and Purpose

Client was leader who was wanted to explore areas of personal development and legacy.

Additionally, leader was a person who valued person growth and wanted a person to help him

with integrating multiple perspectives into his decision making process. Coach was hired as a

result of the strategies that she had used with another member of the team.

Incident 19-Build Business

Client 19 was small business owner who wanted to increase her revenues and build her business.

Client was not familiar with business systems, including understanding breakeven points and

profit margins. Client 19 also wanted support with marketing and sales efforts.
   'I recognized that she did know what the breakeven was for her business'

Incident 20-Build Business

Client 20 was a small business owner who wanted to increase his revenues and build his

clientele. He also wanted help with updating marketing materials and marketing messages.

Incident 21-Role Transition

Client was CEO who wanted to develop delegation skills in response to a business that was

under producing and not generating enough revenue.
   didn't have the support they needed but they were not producing….we don't have the people
   or the staff to train them...so being stuck in that kind of cycle.

Incident 22-Build Business

Client 22 was small business owner who wanted to grow business, improve marketing and sales

strategies.

Incident 23-Build Business

Client 23 wanted to put some business systems in place to in order to increase the effectiveness

of her small business. Coach was brought in to help design the systems and coach to their

implementation.
    she wanted to put some systems in place because I had done that with one of her colleagues

Incident 24-Build Relationship Skills

Client 24 wanted to become more assertive. Her normal reaction to conflict was avoidance in

that she retreated emotionally and physically from situations.
    she had trouble with loud fast talkers

Incident 25- Identification of Values, Life's Mission and Purpose

Client 25 had been trying for three years to identify his life's purpose. Based upon information

supplied by the coach's website the client wanted to explore more deeply his values, vision,

purpose and mission.
    he had taken a multitude of assessments and provided me with just incredible startling
    data…but it wasn't telling him about himself.

Incident 26-Career Change

Client 26 was being drawn to a new career, a real passion for her, and could not identify a

pathway for moving into the new career. She was finishing a temporary assignment and needed

to focus on building her future career.
    when we were covering what she really wanted to do with her life, what would turn her on?
    and leave her thrilled at going to work every day, she really wanted to be an interior designer.

Incident 27-Behavior Change

Client wanted to change a specific behavior in which she had been ineffective with other

processes.

Incident 28-Career Change

Client 28 wanted to find a more satisfying and fulfilling career. She had a good job in a

corporation but wasn't enjoying the role. The coach was engaged to assist with an exploration of

possibilities.
    she's capable of more than what's she's doing and the current job doesn't suit who she is and
    what she wants in the world

Incident 29-Career Change

Client 29 was working in a major corporation and believed that her position no longer suited her.

She wanted to be coached around switching to a different department. The process of coaching

was directed at positioning.
> it was all about position and how she could ingratiate herself in a way that they will interview
> her

Incident 30-Career Transition

Client 30 had a menial job, a small cramped apartment and very few friends. She chose

coaching to help her explore possibilities that would bring more fulfillment to her life.
> "I have no life and I want to get a life."

Incident 31-Behavior Change

Client 31 wanted to use the coaching process to lose weight and she was lacking motivation to

follow through with a weight loss regimen.
> "I would like to exercise and I am totally unmotivated."

Incident 32-Job in Jeopardy

Client 32 had been fired several times from other organizations and was in jeopardy of losing her

job once again. The coach was hired by the client.
> she was in freak out mode that she was about to lose her job once again

Incident 33-Career Change

Client 33 wanted to explore options for moving into a non-profit group to create the branding

and image for the group. She chose coaching to help her identify the skills and talent that would

be needed to move into this new role.
> she wanted to be the person who created the image...the brand

Incident 34-Build Leadership Skills

Client 34 wanted to improve leadership abilities and to have someone support him in the

development process. He specifically wanted to change an interpersonal communication strategy

regarding talking too much and to obtain clarity around him impact on others.
    he was curious about his own process and his own capacity for leading change

Incident 35-Training Initiative
Client 35 had attended a training and the focus of the coaching work was to help him become a

successful internal Organization Development Consultant. The coaching process was designed

to explore leading change, building bridges, and achieving clarity around roles.
    Help him with getting clear about his own values

Incident 36-Role Transition

Client 36 was experiencing transition in work roles and wanted the coaching process to guide

him through the management of shifting roles, organization expectations, improving relationship

skills and identification of personal goals.

Incident 37-Emotion management

Client 37 had anger management issues with regards to interactions with staff. He had become

accustomed to reacting strongly to others through the email system. The coach was brought in to

design effective strategies for managing anger and other interpersonal skills.
    So as brilliant and amazing as he is in a lot of ways…he is also sort of naïve

Incident 38- Identification of Values, Life's Mission and Purpose

Client 38 was experiencing that life was moving too fast and wanted to slow down and receive

more enjoyment out of life. The coaching process was engaged to help him identify strategies,

set goals, and hold the client accountable to the goals.

Incident 39-Build Business

Client 39 was a successful entrepreneur who wanted to manage her time, make decisions, and

wanted to manage her boundaries better with employees and clients.
    the clients and her employees were running her business and were running her ragged

Incident 40-Build Business

Client 40 had been out of her market for several years and wanted assistance with reviving her

business. She wanted to create a presence in the industry for herself.
  she had a great business but …she believed that she would have to work to get back on
  people's radar

Incident 41- Identification of values, life's mission and purpose

Client 41 had made a sizeable fortune by the time he as forty and was exploring options for the

next stage of his life. After reading a newsletter article on "graduation", he wanted to direct his

energy into something more fulfilling.
  he'd already had the equivalent of a summer vacation

Incident 42- Identification of Values, Life's Mission and Purpose

Client 42 believed that he was not living up to his potential and wanted to explore ways that he

would be able to achieve more and thus have a more fulfilling life. The coaching process was

designed to explore career options.
  "I'm thirty-some years old and I haven't lived up to my potential and I want to."

Incident 43-Build Business

Client 43 was a high powered consultant who wanted help with moving her coaching business

forward. She wanted to explore options for change that would ignite her coaching business.
  she wanted to find out how to change it and move it forward

Incident 44-Build Business

Client 44 was the director of a non-profit organization and due to a recent funding cut wanted to

explore options for changing careers or staring her own business. She wanted the coaching

process to lead her to taking actions.

Incident 45-Role Transition

Client 45 had changed roles and wanted to develop her leadership skills, most particularly in the

area of delegation. She also wanted to create more of a team identify and lead by coaching.
  she was one of those people who was highly control oriented, very detail oriented and was
  challenged by the idea that someone else could do it better

Incident 46-Role Transition

Client 46 came to coaching as a result of feedback received on a 360 degree instrument. He

wanted to prepare himself for a leadership role that was going to be offered to him and his

interpersonal skills needed improvement.
    he did not take into account the impact of his driving behavior on his peers

Incident 47-Training Initiative

Client 47 was offered coaching as a result of a leadership development training program. The

focus was on developing coaching skills in executive management team along with visioning,

and communicating the vision.
    they were in a huge change management situation…a reorganization of the whole section of
    the (industry)

Incident 48-Role Transition

Client 48 chose coaching to develop critical skills needed for new role in sales. She was

expected to identify new business targets and deliver sales from those targets.
    felt incredible pressure to deliver on targets…

Incident 49-Work Life Balance

Client 49 was a president of a division whose work-life balance was completely out of control.

She chose coaching because a colleague had been successful with the coaching process in

achieving work-life balance.

Incident 50-Conflicting Issues

Client 50 wanted assistance with resolving options he was considering for remaining in business

with his brother or starting his own business. He chose coaching to brainstorm and reflect upon

his options for moving forward.
    a lot of his discomfort …was the way that his brother was running the business

Incident 51-Team Building

Client 51 was Vice-President in globally dispersed team who wanted to improve his team's

performance. The team was inherited and had been chronically underperforming for the past

three years. Client 51 also wanted to enhance and refine his leadership skills.
    he was viewed as a brilliant individual contributor and they needed him to be more of a leader

Incident 52-Role Transition

Client 52 was in a regional vice-president role and was being groomed for a senior vice-president

role. He chose coaching to help him with visibility, leadership development and strategic

planning.
    heavy strategic plan but the executives who are responsible for executing may need additional
    tools

Incident 53-Debrief

Client 53 was a leader in an organization that offered coaching after participating in a 360 degree

assessment. He wanted to show his support of the assessment process and to explore ways to

apply the results of his 360.

Incident 54-Role Transition

Client 54 was positioning himself to take over a leadership role that he was expected to be

offered in the upcoming year. Additionally, he had received some feedback from a 360 degree

assessment and he wanted to address any issues.

Incident 55-Build Leadership Skills

Client 55 was female executive in a director role offered coaching as a way of building her own

leadership skills and visibility. Coaching was part of the culture she wanted to not only build

skills but increase her own level of awareness.
    coaching is positively embedded…to increase performance so much percent

Incident 56- Build Relationship Skills

Client 56 came into coaching after a few years out of the work force. She had taken time off due

to a bad auto accident and was in a new city as a result of her husband's work. She was looking

for support in building a fledgling at home business and establishing greater clarity around what

was next for her as a professional.
     … She was struggling with connecting to the concept of "work" in general.

Incident 57-Role Transition

Client 57 was a director in a large organization and had received feedback that he was abrasive

and arrogant. He wanted help with interpersonal skills as he was seen as a leader and a rising

star within the organization.
     always looking to pick a fight or debate with anyone who would engage that behavior

Incident 58-Job in Jeopardy

Client 58 sought out coaching to assist him with the resolution of conflicted relationship with his

boss. He was also within months of being terminated from his organization.

Incident 59-Company Coaching Initiative

Client 59 was part of company sponsored coaching initiative. He chose to use the coaching

process to identify strategies for moving more quickly within company.
     was very interested in anything that could help him make an impact quickly

Incident 60-Leadership Initiative

Client 60 was part of team who was offered coaching to implement leadership development

program and enhance leadership skills. She was using coaching for creating vision and

becoming a more authentic leader.
     Part of this program was to really stretch and challenge their leadership

Incident 61-Role Transition

Coaching was offered to client 61 to groom him for leadership role. He wanted to develop his

interpersonal skills.

Incident 62-Work Life Balance

Client 62 was a team from an organization who wanted assistance with designing strategies for

work-life balance. Clients wanted to refocus attention and recover meaning from life.
    really learn that they didn't need to be so responsive to the organization

Incident 63-Career Change

Client 63 was a vice-president of a large corporation and was bored in her currents position. She

wanted to explore options for moving within the organization or changing organizations to

perform a different kind of work altogether.

Incident 64-Career and Life Change

Client 64 was in a leadership role in a university setting and wanted help with work life concerns

and relationship issues. The impact of the work-life balance was stimulating client 63 to explore

alternative career options.
    she can find herself between the demands of her daily job and what would be considered after
    hours

Incident 65-Build Business

Client 65 wanted to relocate business from Europe to the US and chose coaching as a process for

exploring options for business building strategies.
    she wanted to become primarily located in the US….working less in her country of origin

Incident 66-Build Coaching Practice

Client 66 was working full time in another organization and wanted to focus and put more

energy into growing her coaching business specifically through updating her website, networking

and marketing herself.
    her desire was to grow her coaching business to put it more simply

Incident 67-Build Business

Client 67 chose the coaching process to build his business by producing more art. He was

experiencing ambivalence around his own process and couldn't seem to sustain effort in

completing products.

Incident 68-Build Relationship Skills

Client 68 was a former client who wanted to revisit the coaching process to work through a

relationship issue

Incident 69-Team Building

Client 69 was team in transition. Their leader wanted to retire and the team wanted to have a

smooth transition when the leader retired. Additionally, they needed to develop a sustainable

funding strategy.
    their founder and long-term primary funder was pulling out

Incident 70-Life Transition

Client 70 was a former coaching client and was going through major change point in her life.

She was an artist and wanted to start her own business. She engaged the coaching process to

explore options for a new business.
    she's an artist...a very creative young woman…and very much wanted to be self-supporting

Incident 71-Build Leadership Skills

Client 71 had founded an organization and wanted to lead expansive change within organization.

She chose coaching to expand upon her leadership skills by identifying her strengths and areas

for development.
    had established the organization and wanted to take the organization to a whole new level

Incident 72-Life Change

Client 72 wanted to make a life change. She wanted to be coached around creating a film for a

philanthropic project.

Incident 73 Identification of Values, Life's Mission, and Purpose

Client 73 wanted to remove the debris from his life. He wanted to get more organized, clear out

his business space, and create a positive cash flow.

Incident 74-Build Business

Client 74 wanted help with creating an art project. He needed help with clarity and planning to

create a project that was eligible for funding.

Incident 75-Career Transition

Client 75 expressed boredom with his current career situation and wanted to explore potential

opportunities. He was using the coaching process to rekindle the spark he had originally felt for

his field.
    he lost his loving feeling for his job

Incident 76-Disorganization and Emotion Management

Client 76 was a director in a large organization and was experiencing difficulty with organization

and emotion management. She wanted to use the coaching process to build relationship skills

with her direct reports.
    not really very good at managing her mood in front of a group

Incident 77-Build Relationship Skills

Client 77 was two individuals at the vice-president level who were working as a team and had

encountered work related relationship issues. While they were on the same team, one individual

was a direct report of the other. Both people were vital to the organization but were incapable of

working with each other productively.
    the woman to whom she reported wanted to fire her on every single day of her life

Incident 78-Job in Jeopardy

Client 78 was on a performance improvement plan and wanted to explore options for career

advancement and help with leveraging relationships.

Incident 79-Build Business

Client 79 was a former client who wanted help with starting her own business from the ground up.
>   they wanted to come up with a great idea to set their kids off for life

Incident 80-Build Relationship Skills

Client 80 had a dream of writing a book but was having difficulty with boundary issues most

particularly with her family.
>   she came up to be a volunteer client…and basically had talked about the book

Incident 81-Build Coaching Practice

Client 81 wanted to expand her coaching business and knew that coaching was a process which

could help her with her business creatively.
>   she had a vision…she wanted to become a successful coach

Incident 82-Role Transition

Client 82 was a manager in a manufacturing environment and wanted help with interpersonal

skills relating to an upcoming role transition that would require him to change old ways of

behaving.
>   he had such a "my way or the highway" way of being

Incident 83-Disorganization and Identification of Values, Life's Mission and Purpose

Client 83 was a stay-at-home wife and mother and wanted to be more organized and find more

fulfillment in life.
>   was at a mid-life point in her life and feeling overwhelmed and unsatisfied

Incident 84- Identification of Values, Life's Mission and Purpose

Client 84 was a news reported who wanted something "more" in her life. She wanted to use the

coaching process to explore ways to be more engaged in life.
>   she wanted more meaning and also more excitement

Incident 85-Job in Jeopardy

Client 85 was offered coaching by his supervisor. The purpose of the coaching was to explore

his resistance and mindset to moving forward effectively with projects.
    always decides on the cautious sides…slows projects down

Incident 86-Career change

Client 86 was a teacher who was unhappy in his current teaching career and whose dream was to

teach children life skills through the game of golf. He chose the coaching process to explore

options for changing careers.
    he had a big impossible dream….he believed that he would never be able to implement

Incident 87- Build Business

Client 87 was a woman who owned three business and wanted to be more productive. She

wanted to manage her time in a way that would create more productivity in her businesses.

Incident 88-Support

Client 88 was a highly task oriented and results focused salesperson who wanted coaching

support for brainstorming and strategizing in order to increase revenues. Additionally, he was in

a training program that suggested hiring a coach for self-development activities.
    is a very successful guy who knows the value of coaching

Incident 89-Build Business

Client 89 was a physician who was struggling with business and wanted help with building her

business.

Incident 90-Work Life Balance

Client 90 was a successful woman with significant weight issues who wanted help with work-

life balance. She engaged the coaching process to explore her choices with regards to work life

balance.

Incident 91-Career Advancement

Client 91was a mortgage loan officer who wanted to be more successful in her career. She was

using coaching to identify strategies for improving work output and relationships both at work

and at home.
    she identified areas in her life where she wanted to create more success

Incident 92-Career Advancement

Client 92 was the direct report of a vice-president who offered coaching to all of the team. As a

result, Client 92 chose to engage the coaching process to advance from the director level to a

vice-president position through building leadership skills.

Incident 93-Team Building

Client 93 was a senior leadership team that was not functioning well based upon an employee

survey and their own self-assessment.
    he didn't know how to build a team. He wasn't showing up as a real person having
    real conversations

Incident 94-Build Relationship Skills

Client 94 was a director who was experiencing relationship issues with his team. He was offered

coaching to help improve both leadership and relationship skills.
    how he was leading was arrogant…he didn't get in there and work

Incident 95-Expand Leadership Skills

Client 95 was an executive who wanted to build and expand upon leadership skills. She wanted

coaching to help her with visibility and overall performance.
    she has a senior job…and she's killing herself

Incident 96-Build Coaching Practice

Client 96 was student who was becoming a coach through a training program. The mentor coach

was assigned and the client wanted to develop strong coaching skills.

Incident 97-Emotion Management

Client 97 was the wife of a former successful coaching client who asked the coach to work with

his wife. The focus of the coaching was for self-development and assistance with anger

management issues.

Incident 98-Career Transition

Client 98 was a high tech consultant who wanted to explore career options. She engaged the

coaching process to support her in taking actions.
    looking for a new career to move into

Incident 99-Build Business

Client 99 was a physician who wanted help with maintaining focus and building a sustainable

business strategy. She engaged the coaching process to assist with identification of and focus on

goals.

Incident 100-Team Building

Client 100 was business owner who was experiencing team relationship issues. The focus of the

coaching was on team building.
    most of the team had similar styles but then a couple of folks in the company were completely
    different

Incident 101-Work Life Balance

Client 101 was a woman who wanted help with career options, life directions and work life

balance.
    she was thinking about a career change…but wasn't quite sure what to do about it

Incident 102-Behavior Change

Client 102 was a man who wanted to quit smoking. He engaged the coaching process to help

him with symptoms of agitation and cognitive issues that arose when he tried to quit.

Incident 103-Build Coaching Practice

Client 103 was a former therapist who wanted to become a coach. She was engaging the

coaching process to refine her own coaching skills, building a network for attracting clients and

for supervision.

Incident 104-Job in jeopardy

Client 104 was a senior level executive within a government agency whose job was in jeopardy

due to a breakdown in interpersonal skills. The coaching was offered by the organization in order

to prevent termination.
    he was becoming aloof at work…and a kind of negative attitude

Incident 105-Debrief

Client 105 was a high powered executive who wanted help with feedback from 360 degree

assessment. She engaged the coaching process to help build interpersonal skills.
    she tended to be aloof and not a very…fun manager

Incident 106-Build Coaching Practice

Client 106 was therapist who wanted to who wanted to expand his coaching practice. He

engaged a coach to help him strategize in attracting clients to his coaching practice instead of his

therapy practice.
    wanted to get into coaching because he liked the portability of it

Incident 107-Disorganization

Client 107 was an executive who wanted help with organizational and time management skills.

 He engaged coaching to identify strategies for changing his life.
    he read an article that coaching could greatly help with organizational skills

Incident 108-Work Life Balance

Client 108 was a successful property investor who wanted help with work-life balance. He

engaged coaching to build strategies for spending more time with his wife and children.
    he [a former client] told him [the client] that I was masterful at working on life purpose
    and life design

Incident 109-Build Business

Client 109 was a dentist who wanted to build business strategies in order to work smarter in his

business and have more time at home. Coaching was engaged to help him identify resources,

make changes and find new levels of energy.

Appendix D-Coaching Models

	Goldsmith	Kilburg	Auerbach	Hargrove	Crane	Flaherty	Whitworth
Process Steps							
Relationship Building	Behavioral Focus Identification of Stakeholders	Building and Maintaining Coach-client Relationship	Connection	Investment In Relationships	Investing Time in Building Relationship	Building Relationships	Listening
Assessment	Assessment and Feedback	Thorough Knowledge of client problem and issues	Assessment	Develop a Teachable Point of View	Understanding Roles and Challenges of Clients	Interpretations Of client and practices-Assess Competency Levels	Intuition/ Curiosity
Planning And Goal Setting		Structuring Of Coaching Experience	Articulation	Plan stretch goals	Setting Clear Expectations	Determine Intended Outcomes	Learning
Developing Strategies	Develop of Action Plan	Quality of coaching interventions	Commitment			Coaching Conversations	Action/ Learning
Taking Action		Adherence protocols	Action	Forward the Action	Stimulation Of learning Growth And Performance	Coaching Conversations	Action/ Learning
Evaluation Of Process-Feedback	On-going process for evaluation		Support	Provide Feedback and Learning	Supporting and Empowering Clients-Substantive Feedback in Timely Manner	Coaching Conversations	Self-Management Of Personal Agenda