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Planning, implementing, and evaluating manager-as-coach programs in business: a Delphi study

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PLANNING, IMPLEMENTING, AND EVALUATING MANAGER-AS-COACH PROGRAMS IN

BUSINESS: A DELPHI STUDY

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My educational journey has been amazing. I have been fortunate to study abroad and around the United States, meeting wonderful people and making new friends that will last a lifetime. I spent eleven years in college to get to this point so it is important for me to recognize others that have shared in my successes, struggles, and late nights.

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VITA

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Professional Employment

Manager, Training and Employee Development   2014 – Present
Lydig Construction – Bellevue, Washington
- Responsible for all training and development initiatives including coaching and career progression programs

Director, Baccalaureate Degree Programs   2009 – 2014
South Seattle College – Seattle, Washington
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Manager, Internship and Service Learning Programs   2008 – 2011
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Research Assistant, Faculty Athletic Representative   2006 – 2007
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ABSTRACT

The evolution of workplace coaching has been primarily driven by coach practitioners as empirical literature did not noticeably emerge until the 1990s. As a result, coaching in business has relied on a variety of theories about how people learn rather than grounding the practice in social science research. This research study used the Delphi method to reach expert agreement on the guiding principles of coaching and the planning, implementation, and evaluation of manger-as-coach programs in business.

Expert participants in this study were solicited through LinkedIn coaching-related groups and from the International Coaching Federation's open, online credential holder's directory. Twenty-four expert panelists responded to all three survey rounds. Of the twenty-four respondents, 29% were male and 71% were female. In addition, the average number of total years coaching experience among experts was 18 and the median number of years coaching was 20.

Key words: coaching, manager-as-coach, workplace learning

Chapter One: Introduction

The word *coach* was first documented in Europe during the 16th century (*coach*, n.d.) as reference to a type of carriage that moved people from one place to another. Approximately three-hundred years later (c. 1830), students at Oxford University began using *coach* as slang for a tutor that carried a student through their exams. The idea of helping someone move from one place to another either physically by carriage or intangibly through thought, continues to underpin the words meaning as it indicates a shift in where someone is and where they want to be.

Today, when the term *coaching* is discussed, it is commonly associated with sports (Seniuk, Witts, Williams, & Ghezzi, 2013) because the concept of coaching was popularized by the rise of athletics. In the sports context, the coach's job is to develop their players to perform at the highest level possible. This concept of motivating players to operate at peak performance directly parallels how coaching is viewed in business today.

Coaching is all about human performance and maximizing individual potential (Green, Oades, & Grant, 2006) to meet a common objective, winning. Winning, whether on the sports field or in the office, means to beat the competition and in order to do this, athletes and employees alike must be groomed to reach optimal performance. In any context, strong individual performance directly impacts team performance as well as creativity and productivity.

Practitioners have found that in the workplace (Bowles, Cunningham, De La Rosa, & Picano, 2007), people who are coached are more productive than those who are not. This belief stems from the idea that coaching creates a supportive yet objective approach to guiding an individual to their own conclusions. If individual's can be coached to work towards their own goals, they will have greater buy-in to follow through with their objectives.

The trend of workplace coaching has become a multi-billion dollar industry (Kochanowski, Seifert, & Yukl, 2010) that increasingly requires the manager to coach the

employees they supervise.   This means that a large number of managers are now expected to act like both a supervisor and coach (Grant, 2007) in order to increase employee engagement and performance. As a result, the practice of coaching has become a requirement for many managers (Hamlin, Ellinger, & Beattie, 2006).

Google's Project Oxygen (Bryant, 2011) provides an example of coaching effectiveness as it relates to managers. Project Oxygen started as a strategic initiative aimed at creating better managers. Based on performance reviews, feedback surveys, and managerial awards, researchers were able to identify and rank the eight habits of highly effective managers. The results showed that one of the top characteristics of a successful manager was the ability to coach. Google reacted to these findings by targeting their worst performing managers and engaging them in coach training programs. Ultimately, Google was able to demonstrate that regardless of a manager's shortcomings, their ability to effectively coach had a positive impact on skill shortages, performance issues, and change management initiatives.

If coaching is an effective method for improving management practices that influence employee productivity and increases an individual's desire to learn (Kim, 2014), managers, and in turn organizations, can only succeed when their employees succeed (Allenbaugh, 1983). Organizational underperformance can therefore be attributed to the failure of managers to provide constructive guidance to their employees.

Traditional models for management (Whitmore, 2010) no longer meet the needs of today's employees. For example, incentives such as pay and benefits are assumed therefore they no longer motivate individuals to perform. Similarly, telling someone what to do is less effective because it negates individual choice. This is why coaching for compliance is not a successful practice (Boyatzis, Smith, Van Oosten, and Woolford, 2013) because there is typically low employee buy-in due to being told what to do; defining and strictly adhering to a single process (Read, 2013) kills creativity. In order to remain successful in changing work

conditions, managers need to motivate others to learn by making their work meaningful (Bowles et al., 2007).

Benefits of Coaching

Practitioners have cited the benefits of coaching as: improved performance (Whitmore, 2010), increased learning opportunities, better professional relationships, frees up managers time (Batson & Yoder, 2012), increased innovative practices, and increased adaptability to change. In other words, coaching can address skill shortages, performance issues, and change management issues (McCormick & Burch, 2008). Coaching should therefore be a development strategy for the individual (Read, 2013) as it is an increasingly important part of organizational development.

History of Coaching in Business

The field of professional coaching in business (Levine-Finley, 2014) has seen tremendous growth over the past seventy-five years as businesses are attempting to mimic traditional coaching methods, previously seen in sports, in order to increase individual performance and positively impact organizational productivity. Before it is possible to discuss current and future trends of professional coaching in business, it is necessary to understand how organizations have changed over the past decades.

Organizational structures in the 1950s and 1960s are commonly characterized by heavy, top-down hierarchies (Sullivan & Baruch, 2009) and low turnover, which can be attributed to employee loyalty. Increased globalization, advances in technology, and a more diversified workforce (Sullivan & Baruch, 2009) has influenced the flattening of this traditional framework thereby increasing perceived employee empowerment. This led to individuals that were no longer driven by workplace security; rather employees became more motivated by their own personal goals. As a result, middle managers must adapt to this new paradigm if they want to remain successful (Bowles et al., 2007).

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Although the practice of coaching in business is more commonplace than it once was, the field did not become acknowledged as a formal management tool (Phillips, 1994) until the early 1990s. During the 1990s, coaching research primarily focused on defining professional coaching as a practice (Grant, 2014) by developing tools for managers to use that would aid in increased employee performance.

The concept of talent management through training (Biech, 2014) was born at the beginning of the 21st century.   From 2000 to 2010, coaching research shifted from defining and developing the practice to examining how coaching could be used to promote positive individual and organizational change (Grant, 2014). Advancements in technology have afforded companies the ability to more easily track analytics thereby making more abstract measurements, attainable. This transition from determining what a coach is to measuring its ability to make positive change led practitioners to believe that coaching could cure individual and organizational woes.

Today, coaching has become central to the development of many employees, managers, and executive leaders (Grant, 2007). In reaction to this, the most recent focus in coaching research, circa 2011 to present, has been to identify the active ingredients of what makes a coach successful (Grant, 2014) through examining return on investment and the relationship between coach and coachee. The concern with measuring return on investment has continued to be at the forefront of many researchers' minds as few empirical studies currently exist. Although shifts in coaching research have occurred from 1990 to date (see Figure 1), it is important to note that most information on the subject is practitioner-based. This means that research interests pertaining to coaching were most likely driven by organizational desires and directives rather than grounded in empirical research.

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1990          2000          2010          2015

  Practitioner focus on    Practitioner focus on    Practitioner focus on
  defining coaching as     how coaching can         demonstrating return
  an individual and        create positive          on investment for
  organizational           individual and           coaching programs
  development              organizational           and coaching
  strategy                 change                   relationships
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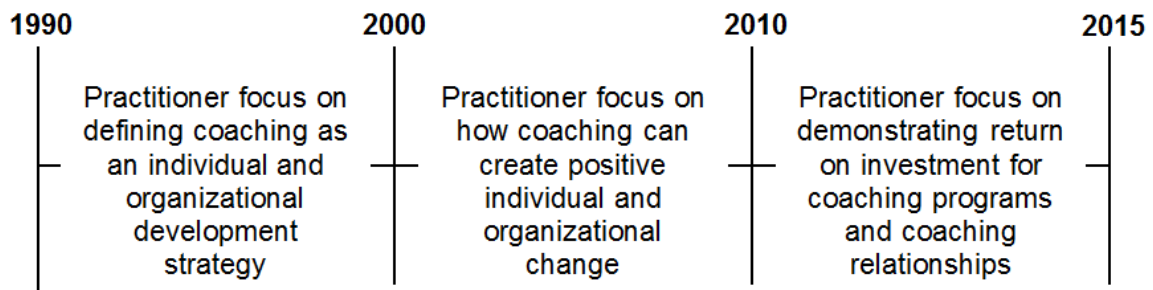
Figure 1. Practitioner timeline for professional coaching interests. This figure illustrates the evolution of practitioner interests in professional coaching.

Lack of Empirical Research

The popularization of coaching caused an influx of practitioner-based literature (Gilley, Gilley, & Kouider, 2010) to be released while empirical studies lagged behind. Coaching was seen as a solution to solving individual and organizational dysfunction (Green et al., 2006). This seemingly blanket quick-fix for ineffectiveness led to a prolific adoption of the practice by practitioners and as a result, the profession grew faster than the research.

A database search conducted by Grant and Cavanagh (2007) found that between 1937 and 2007, three hundred and fifty-five papers were published that related to some aspect of coaching. Of those three hundred and fifty-five papers, approximately 36% were empirically grounded.

In addition, in late 2012, the Global Convention on Coaching hosted an International Coaching Research Forum (Stern & Stout-Rostron, 2013) with the goal to define coaching parameters that would make it a more rigorous field. As a part of this process, academic professionals identified the number of coaching-related, peer-reviewed studies that had been published from January 2008 through June 2012. Table 1 shows during that four-and-a-half-year period, two hundred and sixty-three articles were published across a total of 84 journals.

This means that approximately two times the number of empirical research studies were published in four and a half years than was published in over a 70-year span.

Table 1

Number of Peer Reviewed Journal Articles on Coaching Published by Year

2008	2009	2010	2011	2012*	Total
41	83	72	42	25	263

*January through June

Summary

There are many challenges that surround the development of professional coaching (Grant & Cavanagh, 2007), which includes: the need for more replicated empirical studies to prove the practice to be a valid change methodology and the need to look beyond the current state of professional coaching in order to develop a vision for where the field is headed. Because there is a wide range of coaching types and inconsistent research on what makes the practice successful, this study will examine the field of professional coaching through three key perspectives on how people learn in order to make the topic more digestible. Specifically, the researcher aims to focus on the phenomenon of manager-as-coach in order to reveal the guiding principles of coaching as well as best practices for planning, implementing, and evaluating manger-as-coach programs in business.

Chapter Two: Workplace Coaching

Coaching exists in many fields such as sports, education, human resources development, psychology, and business (Batson & Yoder, 2012) and its broad application in a wide range of disciplines has created variations in the definition of the concept. Regardless of the expressed outcome for utilizing a coaching intervention, the underlying goal is the same; to increase individual performance thereby positively impacting productivity within an individual, team, or company at-large.

Evolution of Employee Development Interventions

Theories and beliefs about how people learn have contributed to the evolution of employee development programs. Thus, in order to understand the evolution of coaching as a practice, it is necessary to examine the history of learning theories. Three major theories of human learning have dominated psychology over the past one hundred years: behavioral, cognitive, and social. Each of these approaches has left an impact on efforts to train or improve employees in the workplace through coaching.

Behavioral learning theory. Between 1920 and the late 1950s behavioral psychology dominated the learning landscape (Skinner, 1984). Leading theorists such as Thorndike and Skinner attributed learning to be a direct function of the way humans and other species interact with their environment. The underlying belief is that scientific psychology must restrict itself to the observation of behaviors and the environmental stimuli that control them (Bransford, Brown, & Cocking, 2000) in order determine why individuals act certain ways in particular situations. As a result, behaviorism molded employee development programs by focusing on how to set up processes and procedures that supported a desired behavior.

Based on the work of Thorndike and Skinner, it is understood that the basic unit of behavior is "activity" (Mukherjee, 2008) meaning that a series of activities make up a specific behavior. For example, if an employee needs to fill out a timecard, their reward is to get paid on

time. If they do not fill out their timecard, the consequence would be a delay in pay. Incentives and rewards are intended to get individuals to act in a particular manner and can be tangible or intangible (Gilley et al., 2010) such as more money or pride in one's work. In the workplace, incentive and reward systems are meant to ensure process efficiency and do not emphasize the need for explanation.

Most of social history describes learning through apprenticeship (Collins, 2005), which shaped a learning culture that supported behavior-based approaches to learning. After World War Two, the United States saw an increasing spin up of a post-war industrial workforce in which many jobs were skill-oriented. From a behavioral learning perspective, managing the workforce was a matter of efficiency and quality assurance. For example, incentive and reward systems shape observable employee behaviors to meet the employer's expectations. By incentivizing performance, managers are able to effectively shape employee actions regardless of their wants, needs, or desires.

Cognitive learning theory. In the 1960s and early 1970s (Shuell, 1986) researchers began to shift their focus on learning from behavior-based models to scientifically grounded cognitive assertions about how people learn (Sawyer, 2005). Rather than focusing solely on observable behavior, cognitive science sought to understand learning as a mental process, and performance within a system of highly cognitive processes (Weiner, 1985). Learning is about the development of mental structures that create meaning through cognitive awareness of self. For example, when someone receives new information, they have a natural tendency to make sense of that information by relating it to what they already know.

The evolution of learning theory, from behavioral to cognitive, arose at the same time that the industrial model of work was evolving toward what would later become the knowledge or information age. As college access became more widely available, many individuals began to move from skill-based trades to white collar employment. This shift made the small student

to teacher ratio required by apprenticeship programs no longer sustainable in the workplace. As a result, schools began to rely on the transfer of knowledge from teacher to student (Sawyer, 2005) rather than learning by doing. Paulo Freire (1968) famously coined this process as the banking model of education meaning that instead of viewing learning as a way to shape behavior, it was viewed as a way to transfer knowledge from expert to novice only to be later recalled from memory when needed. The emphasis in cognitive learning perspectives is on storage and retrieval of knowledge, as well as the ability to transfer knowledge from one context to the next.

In the workplace, cognitive learning theory translated into an increase in training programs that emphasized knowledge transfer. This means that development programs would rely on information recall by the employee to validate that learning has occurred. For example, if an employer tells an employee not to do something, the employee is expected to recall what they were not supposed to do. This approach to learning focuses on information processing as a means for behavior modification.

Social learning theory. Social learning theory became widely known in the 1990s however it was originally defined decades earlier by Lev Vygotsky. Vygotsky (1980) believed that observation (i.e. behavioral learning) and memory (i.e. cognitive learning) were interdependent and individual thought was formed as a consequence of a person's social-cultural experience. This means that people learn from their experiences and their actions are a consequence of their environment; the past forms individual thoughts, beliefs, and values.

The sociocultural view of learning does not focus on whether a person can do or can remember something, rather it examines the differences between solo and assisted performance, with the latter being the situation in which development happens. The underlying principle of this social constructivist approach is that knowledge is directly related to meaningfulness (Ferreira, 2012) and it cannot exist if others are not around to share in the

discovery of it. In other words, learning partly resides in a social context as well as in an individual's mind (Derry & Steinkuehler, 2003).

Social learning theory in the workplace emphasizes the importance of learning from others. The premise is that it is not possible to separate learning from one's environment. As a result, employees are constantly learning from one another whether they are aware of it or not. An individual's beliefs are shaped by their interactions with others and experiences play a role in determining course of action.

Behavioral, Cognitive, and Social Approaches to Coaching

Literature suggests that coaching can address all types of skill shortages (McCormick & Burch, 2008) and assist in the development of independent problem solving abilities. The three main learning theories previously summarized (behavioral, cognitive, and social) have directly impacted the design of coaching practices that are seen in corporate settings today. The following sections will examine how behavioral, cognitive, and social learning theories have influenced workplace learning through coaching opportunities.

Coaching lens: Behavioral learning theory. Behavioral learning theory as it pertains to coaching intends to change employee behaviors in a way that enhances individual and organizational performance (Gilley et al., 2010). Specific coaching behaviors have a correlation with improved individual and organizational performance (Ellinger, 1999) however performance is a by-product of helping someone grow their skills and in turn, feel good about themselves. As a result, an increase in employee performance should not be the primary objective of implementing a coaching program rather it should be the desire to help others grow their skillsets through improved employee behaviors.

Motivation: Incentive and reward. In the behavioral realm, knowledge is a collection of actions that are orchestrated by detailed instructions. For example, Thorndike (1911) believed that man, like other species, learns through adaptation to their environment. In a

series of experiments, he put hungry animals in enclosures with simple escape measures such as pressing levers, stepping on raised surfaces, or pulling strings. One study in particular focused on placing cats into enclosures with string pulleys that allowed the door to open. If the cat pulled the string, the door would open and they would get to eat the fish on the other side. Thorndike found that by placing inexperienced cats next to ones who were familiar with the process, the new subjects would watch the expert subjects and eventually open the enclosure themselves. This experiment proved that animals were able to learn through observing and imitating behaviors of others. Thorndike's cat experiment confirmed that animals learned by watching and then doing a specific action which led to a desired outcome, in this case, eating fish.

Skinner (1984) also viewed behavior as being a product of a person's environment. He took Thorndike's work and focused on the process of operant conditioning. Operant conditioning replaced the notion of natural selection by assuming that the theory of natural selection cannot account for complex learned behaviors. For example, natural selection is grounded in the belief that if one cannot adapt to their environment, they will not survive. Conversely, operant conditioning says that behavior is modified based on learned interactions rather than simply the inability to adapt.

The basic principle behind operant conditioning is that positive and negative reinforcement can alter behaviors (Skinner, 1984). For example, when the behavior of one person is perceived as important by others, modeling is reinforced through imitation. In addition, operant conditioning requires that a behavior must be corrected while it is occurring if it is to be changed. In the case, of Thorndike's cats, operant conditioning occurred because of the cats' desire to eliminate hunger.

The work of Thorndike and Skinner underline the principles of behavioral psychology and how people learn through explaining that learning best occurs through observation of

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behavior and behavior is influenced by environmental factors. In essence, behavioral theorists believe that individuals learn through trial and error, which includes rewards and incentives to achieve desired outcomes.

Process. The underlying theory behind the notion of manager-as-coach is that specific coaching behaviors have a direct relationship with improved individual and organizational performance (Ellinger, 1999). Although supervisors may acknowledge the importance of their role as coach, it does not mean that their actions always align with their behaviors. For example, many managers find it hard to relinquish their authoritative role while coaching to one that is empowering to others (Ellinger, Hamlin, & Beattie, 2008).

An empirical study on the perceived effectiveness of managerial coaching by managers and the perceived effectiveness of managerial coaching by employees (Ellinger, Ellinger, & Keller, 2003) found that there is a significant difference between how managers perceive themselves as coaches and their actual behavior as perceived by their direct reports based on coaching they had received. This means that supervisors think that they are engaging in coaching behaviors at higher levels than what is experienced by employees.

Managers are not typically coached themselves therefore there is little reward or recognition for a job well done (Ellinger, 1999). As a result, managers who act as coach may have less motivation to help others obtain their own goals. In order for managerial coaches to align their actions with perceived behaviors, executive leaders must provide them with clear expectations and create viable reward systems that will align their actions with their beliefs.

Role modeling and observation. Coaching is about improvement through practice, observation, and continued education. Regardless of whether coaching focuses on developing a specific skill or intends to provide ongoing performance support, the behavioral orientation of the coach directly influences the coachee's motivation and thus, overall performance (Sue-Chan, Wood, & Latham, 2012). This indicates that employees have a tendency to watch their

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managers and potentially mimic their attitude and actions. If managers want to motivate others and increase employee performance, they then should act as they wish others to do.

Behavioral theorists emphasize that coaches need to role model the behaviors they want others to adopt. According to Marshall (2010), processes evolve rapidly as new ideas are developed and tools become made available. When managers recognize these drivers as having the potential to create long-term positive change, they then depend on the buy-in from others in order to facilitate improvement. In an attempt to achieve this, behaviorists suggest that desired behaviors need to be modeled by the managers who want to influence change. Regardless of how good an idea is or how fast technology advances, managers need to be at the forefront of adoption if they intend to motivate others through modeled behaviors.

Goal setting. Goal setting is a crucial part of developing a coach-coachee relationship as both parties must be actively engaged in working toward the same objective (Tofade, 2010) in order to achieve the intended outcome. Goal setting is linked to individual motivation (Bowles et al., 2007) therefore it perpetuates self-regulation during the process of goal attainment.

By understanding the holistic needs of the individual, coaching can become a vehicle for promoting change and sustaining long-term momentum (McGuffin & Obonyo, 2010). Goal setting is an important motivator to assist in achieving desired behaviors. One specific outcome of taking a behaviorist approach to coaching is that long-term goals can easily be broken down into short-term wins (Mukherjee, 2008). For example, any goal can be reduced to a series of activities that lead toward achieving the targeted outcome. Short-term goals and associated incentives create intermittent reward systems that keep people driving toward desired behaviors.

Intended outcomes. Behavioral coaching describes an intervention package or guidance that is provided to an individual (Seniuk et al., 2013). However, the process of behavior change is more complex than simply telling someone to act differently. According to

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Mukherjee (2008), behavior change starts with knowing the answers to two questions: what key behaviors need to be achieved in order to assist with the most positive change? Who is able to determine whether a change has occurred?

In order for coaches to be effective, it is important that they understand the behavior-change process. The Transtheoretical Model of Change (Prochaska, DiClemente, & Norcross, 1992) states that at each stage in the process is reinforced by repetitive action. This model indicates that desired behaviors can only be maintained by practicing the desired behavior until it becomes automatic. If the desired behavior is not monitored on a regular basis, the desired behavior is threatened by relapse into the old, undesired behavior. Behavior modifications are relatively short-lived unless the individual has a positive outlook and a willingness to change (Sue-Chan & Latham, 2004). As a result, behavior change is not a single activity or action, rather it requires repetition and monitoring to ensure that the desired behavior can be sustained.

Coaching lens: Cognitive learning theory. Cognitive theorists believe that the behavioral view of learning is too simplistic (Shuell, 1986) as it does not account for comprehension. This belief is compounded by the theoretical separation of knowing and doing (Brown, Collins, & Duguid, 1989). Rather than viewing learning as a behavioral modification process, cognitive theorists suggested that learning occurred in a three phased procedure, which starts with cognition, moves to meta-cognition, and finally achieves knowledge transfer (Kirschner, 2002), which in turn allows an individual to achieve task mastery (Bandura, 1977).

Motivation: Attribution theory. A description of attribution theory (Weiner, 1985) can be paralleled to the desire to know why things occur. For example, when an individual fails a test, they attempt to alter the cause in order to produce a more desirable outcome. This indicates that individuals are motivated to achieve desired outcomes, which ultimately leads to desire for mastery. The notion that motivation is attributed to success and failure is

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demonstrated in a prescribed matrix that indicates which causes are most dominant in achievement-related contexts.

Cognitive motivation is based on the desire to attain knowledge that supports self-regulation (Weiner, 1985). In a practitioner context, this infers that managers do not develop people (Gilley, Gilley, & Kouiter, 2010) rather they give employees the tools they need to develop themselves. In other words, attribution theory frames success and failure as providing sufficient motivation to work toward personal goals.

Action is driven by goal expectancy meaning that effort is a result of motivation. How an individual defines success and failure contributes to their beliefs and shape their values. For example, if someone is poor at sales, their failure can be attributed to the individual not liking people or that the individual is not trying hard enough. The former, is a constant and the latter a variable because a person's attitude drives ability while effort is dependent on the individual's actions (i.e. the harder they try, the more likely they are to succeed). Mastery is therefore developed through observing others behaviors (Bandura, 1977) and understanding how their behaviors lead to desired versus undesired outcomes.

Process. Cognitive dissonance theory infers (Mukherjee, 2008) that individuals seek consistency among their cognitions to make sense of the world. In general, people have an innate desire to work at a level consistent with their self-perception. Cognitive dissonance is driven by an individual's need to change current behavior or defend the behavior itself. In other words, cognitive theorists believe that behaviors are formulated through cognitive processes (Bandura, 1977). For example, people may have a tendency to work harder if they know their boss is watching versus not. Individuals act how they think they should act in any given situation.

In the workplace, cognitive theorists would argue that managers need to understand the behavioral change process (Prochaska, 2008) before they can actively coach others.

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Performance based procedures are a powerful way to effect psychological changes (Bandura, 1977) and can be measured by knowledge recall (Ellinger, 1999). This means that effective coach training programs need to focus on prescribing coaching strategies that have proven to be consistent and effective.

Memory and scaffolding learning. The brain is an information processing tool like a computer (Derry & Steinkuehler, 2003) and cognitive load theory examines the innate limitations of the human mind (Kirschner, 2002). Computers, like people, only have so much storage space. If one wants to make room for more data, they must expunge information in order to process new material. This analogy parallels a person's short-term memory or "working memory" that is used during all conscious activities.

When short-term memory reaches capacity, information is either forgotten or stored in long-term memory. A person's schema, or way of relating information to what is already known, forms long-term memory. Cognitive load theory is important to understand as it shapes one's ability to scaffold their learning.

Scaffolding learning in the workplace can be thought of as the supports provided to the coachee by the coach (Brown et al., 1989) as a way to help make learning stick. This means that prior knowledge affects one's ability to remember, reason, problem solve and acquire new knowledge (Bransford et al., 2000). Cognitive learning theory is grounded in the idea that students need to have knowledge contextualized in order to make sense of it. Understanding based on what we already know helps to build new knowledge; experts organize knowledge around big ideas that guide thinking patterns while novices are more focused on memory recall.

Metacognitive awareness. Metacognition cannot exist without cognitive thought as it refers to an individual's awareness of higher-order thinking skills and how they relate to self-regulation (Veenman, Van Hout-Wolters, & Afflerbach, 2006) during the learning process. In

other words, metacognitive awareness is one's ability to predict their performance and monitor one's own understanding (Bransford et al., 2000) while recognizing strengths and inadequacies.

Metacognitive knowledge is different than one's learned skills (Veenman et al., 2006) in that metacognition is declarative while a skill relates to procedural knowledge such as problem solving. This means that metacognitive learning processes can be correct or incorrect based on assumptions, which are shaped by previously developed knowledge.

In the workplace, the activity of planning a second project relies on and individual's ability to understand what went well and what needs to be changed based on the results of the first project. Metacognitive awareness allows employees to reflect on the outcome of one activity in order to improve the outcome of the next. In coaching, there are instances where successfully completing an activity does not result in a higher level of performance (Wright, 2005), which may be due to a lack of metacognitive awareness among coachees.

Intended outcomes. The primary intended outcome from a cognitive perspective is the ability to engage in front line problem solving. Cognitive science or the study of mental functioning (Bransford et al., 2000) has increased our understanding of what it means to perform competently and develop a knowledge base on how to solve problems. Coaching elicits these skills through the process of questioning, which allows the coach to strategically guide the coachee through the problem solving.

Coaching can enable the coachee to think at a higher level thereby increasing intentional choice (Cerni, Curtis, & Colmar, 2010). This means that rather than taking action based on emotion, cognitive awareness allows people to work through problems by relating the issue to similar situations that had been previously experienced. In this sense, cognition allows for heuristic learning strategies (Veenman et al., 2006) as it enables a person to discover or learn something on their own instead of relying on others.

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Coaching lens: Social learning theory. The underlying principle of the social

approach to learning is that knowledge is directly related to meaningfulness (Ferreira, 2012) and

it cannot exist if others are not around to share in the discovery of it. In other words, learning

partly resides in a social context as well as in an individual's mind (Derry & Steinkuehler, 2003).

Social learning theory departs from an emphasis on cognition alone to learning through doing.

This means that learning cannot be separated from one's environment (Vygotsky, 1978) nor can

it be derived from internal knowledge itself.

The foundation for this learning perspective was largely defined in the 1970s by L. S.

Vygotsky. Vygotsky (1978) wrote that observation and memory were interdependent and

individual thought was formed by social experience. Similar to cognition, people scaffold their

experiences in order to make sense of new information; however, in this context, cognition is a

complex social process (Derry & Steinkuehler, 2003) based on the idea that meaning evolves

from enculturation. In other words, it is impossible to separate learning from lived experience.

Motivation: Identity. Social learning theory suggests that motivation is driven by

identity. Ashforth (2000) states that situated identity is the idea that people strive toward self-

meaning in a social context. Situated identity is therefore all about relationships. Four

psychological motives (Ashforth, 2000) have been identified in order to frame an authentic

situated context: identity, meaning, control, and belonging. Identity relates to how an individual

identifies themselves, meaning is correlated with finding one's purpose, control identifies the

level of influence one has over others, and belonging recognizes the innate desire to have

meaningful relationships. All four motives work in tandem together to shape one's self-

perception and drives a person's actions.

Social identity theory is motivated by people's natural desire to belong (Ashforth & Mael,

1989) and belongingness forms individual identity through categorical groups. For example,

characteristics such as a person's religious affiliation, gender, or job classification form identity.

This means that an individual's goals (Vygotsky, 1978) can be attributed to a socially rooted understanding of values. In this sense, conflicts in the workplace are attributed to the fact that people have different perspectives and beliefs.

In regard to coaching, social learning perspectives view knowledge acquisition as a collaborative process (Billett, 2004) as learning and doing are inseparable. Bransford et al. (2000) refer to this process as reciprocal teaching; instruction that enables learners to monitor understanding. This provides coachees with a safe environment to try new tasks because fear of failure is diminished by having an expert teacher at one's side.

Process.

Zone of proximal development. Vygotsky (1978) describes the zone of proximal development (ZPD) as what a person can do and cannot do without assistance. He suggests that an individual's level of mental development differs based on what they can do on their own and what they can do under the guidance of others.   The process itself is three-phased; it identifies what the learner cannot do, what the learner can do with assistance, and what the learner can do on their own. As one moves closer to performing on their own, they begin to develop task mastery.

In the workplace, this can translate into the level of aptitude a person has for one's job. For example, when a person first starts a job, they most likely will not have an idea of how to navigate organizational politics without the assistance of other more tenured employees. In this sense, coaching provides a medium for helping individuals move from novice to expert.

Community of Practice. Lave and Wenger (1991) expanded Vygotsky's work by exploring the notions of "peripheral participation" and how it relates to "communities of practice." Like the zone of proximal development, peripheral participation describes learning as a social process. A learner advances from novice to expert by being slowly introduced into the task until they have achieved mastery. In this context, mastery is described as being able to complete a

task on one's own. In other words, peripheral participation eventually becomes full participation (Lave & Wenger, 1991) within a community of people who share the same goals.

Since peripheral participation is linked to a social experience, it cannot be separated from communities of practice which seek to share knowledge among its members. Communities of practice can be thought of as a throwback to behavioral methodologies of learning through doing. The difference is that social learning theories imply that it is impossible to separate learning from the social environment.

In business, this translates to shared interests among workers who aim to achieve a collective goal. Professional coaching organizations have emerged because the practice of "coaching" belongs to a community of coach practitioners. For example, the International Coaching Federation (History, n.d.) has a membership of coaches that range from novice to expert and their aim is to set standards for the profession of coaching. The members of this association are working toward the common goals of defining and upholding the integrity of coaching in business.

Intended outcomes. The social view of learning does not focus on whether or not a person can do or can remember something rather it aims to evaluate whether knowledge is retained by having an individual complete a new task on their own (Lave & Wenger, 1991). As previously discussed in the process section of social learning (see pages 30-31), the goal is to advance the learners level of expertise through contextualized learning. Social theorists believe that you cannot separate learning from actually performing the task itself; it is about guided instruction through the learning experience.

For example, if a coach wants to teach a coachee how to lay someone off, they would, in general, engage in a three step process. The first step would be to have the employee sit in on the conversation while the manager lays a person off. The second step would be to have the employee practice a layoff with the manager's support. The third step is for the employee to

perform a layoff on their own. This rudimentary explanation shows that knowledge

management, in the social context, occurs in the moment. As a result, social learning means

that coaches should coach as needed rather than prescribing a learning program to the

individual such as sitting in a traditional training lecture.

Basic Coaching Types

Within the world of professional coaching, there are many different types of coaching

practices. For example, executive coaching, peer coaching, and managerial coaching tend to

be the most frequently cited in the existing literature base. Although any type of coaching has

the potential to be successful (McGuffin & Obonyo, 2010), it must be specifically tailored to meet

either individual or organizational needs. If applied properly, coaching has the potential to be a

powerful twenty-first century workplace tool (Wright, 2005) and it is predicted that the most

successful businesses will hire people with a clear sense of individual and company-wide

values.

Executive coaching. In general, executive coaching refers to coaching that is provided

to executives by an internal or external consultant (Kochanowski et al., 2010). Executive

coaching is considered different that other organizational coaching programs (Reeves, 2006)

because most of the training and employee development initiatives within a company become

irrelevant to C-suite leaders. As a result, executive coaching has become increasingly popular

because most executives experience a limited number of learning opportunities (de Janasz &

Peiperl, 2015) once they reach the top.

Executives can also be difficult to coach as they often experience isolation and are

typically driven by practical, tangible outcomes (Bluckert, 2005), however, executive coaching

can help leaders achieve positive behavior modifications (Goldsmith, 2012). The key is that if

most organizational training no longer applies to executives, they will need to self-commit to

their continued development by initiating the process of learning. In a study done by de Janasz

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and Peiperl (2015), 71% of CEOs interviewed believed that overall company performance had improved as a result of executive coaching and 84% believed they had avoided making costly mistakes.

Peer coaching. Peer coaching promotes dialogue between colleagues within an organization. This coaching type was founded on the notion that learning through relationships (Parker, Kram, & Hall, 2014) is essential to individual career growth. Peer coaching therefore acknowledges that individuals are not able to do everything on their own so they must rely on the relational resources (i.e. peers) that exist.

Scarce resource allocation driven by organizational politics can create barriers to learning (Ellinger, Baş, Ellinger, Wang, & Bachrach, 2011). Peer coaching is frequently adopted because it is an inexpensive resource (Parker et al., 2014) and has the potential to positively impact individual performance. Despite the perceived benefits, Sue-Chan and Latham (2004) reported that individuals generally viewed peer coaching as less successful than other coaching methods because participants have varying levels of understanding regarding the coaching process. In order to establish a peer coaching program, the idea of peer coaching must be accepted and valued within the organization.

Managerial coaching. Managerial Coaching may also be referred to as Manager-as-Coach meaning that the manager not only manages their employees, they also act as the employee's coach with the intention of increasing individual performance (Batson & Yoder, 2012). The practice of employee development in corporate America has increasingly been placed on the shoulders of frontline managers (Ellinger, 1999; Ellinger et al., 2003; Ellinger et al., 2008) because it is seen as a low cost way to improve both employee and manager performance (Ellinger, 1999). This shift from managing processes and products to managing employee behaviors requires managers (Ellinger et al., 2008) to obtain a whole new set of skills.

In addition, Ellinger (1999) found that managers are typically not coached themselves, which can result in inconsistencies in the coaching process from one manager to the next. In order for managerial coaching behaviors to align with desired performance outcomes, managers must be given clear expectations (Ellinger, 1999), have a deep understanding of the purpose for coaching, and provided with holistic motivators (Grant, 2011) that are perceived as valuable to the individual (e.g. praise, knowledge transfer, identity shift). If proper training, support, and motivation is provided to managerial coaches, organizational improvement can be accomplished (Ellinger, 1999). For the purpose of this study, the researcher intends to specifically investigate the manager-as-coach phenomenon.

Common Ground in Discussion of Coaching

Regardless of the type of coaching program being implemented, the intention should be solution-focused (Gavriel, 2014) by assisting the coachee to reframe their skill set and meet targeted objectives. In order to achieve success, it is important that the coach makes time (Gallo, 2015) for the coachee and both demonstrate their commitment to the process.

Coaching is about improvement through practice, observations, and continued education and it is meant to address (McCormick & Burch, 2008) skill shortages, performance issues, and support change management initiatives. Since the application of coaching is wide reaching, this section will focus on the common characteristics and processes that make coaching successful regardless of intent.

Coaching and mentoring. The terms coaching and mentoring are frequently used interchangeably within the practitioner literature base (Reeves, 2006) because many people are not clear on the differences between the two. While coaching and mentoring both allow for the creation of one-on-one relationships (Reeves, 2006) and provide on-going and just-in-time discussions (Gilley, Gilley, & Kouiter, 2010), that is where the similarities end. This section will

clarify the differences between coaching and mentoring in order to orient the reader to the intentions of this study.

Coaching. The primary difference between coaching and mentoring is the individuals approach to the conversation being had (Hicks & McCracken, 2009). The goal of coaching is to get the coachee to stop, reflect on the current situation (Hart, Blattner, & Leipsic, 2001; Ingleton, 2013), and think about what they want and how they will achieve it. This means that the coach needs to have active listening and strategic questioning skills (Gavriel, 2014) to lead the coachee to their own conclusions through the process of self-actualization.

Coaches do not need to have specific knowledge about a problem or a job function (Gavriel, 2014; Reeves, 2006) in order to help the coachee find and effective solution. Coaches provide coachees with an objective perspective (Reeves, 2006) to allow for self-discovery, which can lead to improved self-awareness and motivation. This means that the coachee comes to their own conclusions based on their personal values and beliefs (Hicks & McCracken, 2009). Basic coaching theory (Gavriel, 2014) indicates that if people are empowered to find their own solution, they will be more likely to take action that aligns with their personal objectives.

Mentoring. A mentor refers to someone who can relate to a mentee through shared experiences. Mentors provide advice and guidance by reflecting on their own professional career in order to assist the mentee in making the best decisions possible. The primary goal of mentoring is knowledge transfer (Hicks & McCracken, 2009) between expert and novice (Reeves, 2006). Rather than leading the mentee through a process of self-exploration, the mentor gives advice based on their own knowledge.

Unlike coaching, mentoring utilizes a more directive conversation in that the mentor will provide the mentee with subjective ideas drawn from their individual experiences, values, and beliefs (Hicks & McCracken, 2009). Mentoring provides support to the individual (de Janasz &

Peiperl, 2015) and often resembles the apprenticeship model of teaching in that knowledge is passed down from expert to novice. A mentor my also act as a role model (de Janasz & Peiperl, 2015) because they have typically achieved what the mentee desires.

> ***Recognizing limitations to coaching and mentoring.*** In addition to examining the differences between coaching and mentoring, it is noteworthy to mention that coaching and mentoring both diverge from the practice of clinical therapy. The most prevalent difference that sets coaching and mentoring apart from clinical practice is that the therapist is typically licensed. Although the three practices (i.e. coaching, mentoring, and clinical therapy), stem from a similar theoretical research base (Hart et al., 2001) and share similar practitioner-client issues, coaches and mentors are typically not qualified to act as a clinical professional. The underlying importance is that coaches and mentors need to know their limitations (Grant & Cavanagh, 2007) and as a result, it is necessary to educate managers on when it is and is not productive to coach as an intervention (Ellinger et al., 2011).

> For the intent of this study, a *coach* is defined as someone who actively engages with others in both formal and informal settings to help guide them in their professional development journey. The term *coachee* is used for the person who is being coached. The coachee must be committed to the coaching process in order for them to achieve their professional development goals.

> **Mode of communication.** Coaching is not a one-time process (Association for Talent Development, 2014) rather it needs to occur on a regular basis in order to make positive change within individuals and the organization itself. Coaching should be an essential, everyday activity for managers (Hamlin et al., 2006; Tate, 2013) if they wish to remain competitive among their peers. This means that in a busy work environment (Murphy, Mahoney, Chen, Mendoza-Diaz, Yang, 2005), the mode of communication for coaching sessions should remain flexible (King & Eaton, 1999) to accommodate the active schedules of both coach and coachee.

Although traditional coaching methods encourage face-to-face meetings (King & Eaton, 1999) it has become accepted that the mode of communication is relatively ambiguous (Mortensen, 2015) as long as regular dialogue occurs between the coach and coachee. Mobile devices such as smartphones, tablets, and laptops provide convenient ways for individuals to connect regardless of time or location. This study is not examining the use of technology in coaching because little empirical evidence exists on the practice of coaching itself, which must be defined before the latter issue is addressed. However, the researcher strongly believes that the conveniences afforded by technology and the consequences of having to coach remotely should be explored in future research.

Setting expectations. Coaching should not be viewed as merely a strategy for individual development (Leonard-Cross, 2010) because managers and employees both have the opportunity to benefit from coaching (Ellinger, 1999). Grant (2007) demonstrates that learning how to coach is linked to having an awareness of one's own emotional intelligence because people with higher levels of emotional intelligence tend to be more aware, productive, and predictive of behaviors. The practice of coaching also allows the coachee to set the agenda and determine goals meaning that the coach does not need to be an expert in the same domain (Evers, Brouwers, & Tomic, 2006) to be effective.

In addition, participants should be allowed to self-select into the program (Grant & Hartley, 2013) because forcing individuals to engage in the process will create animosity. When people are made to participate in professional development programs, they are more likely to be less invested it (Bowles et al., 2007) because they have to want to change. As a result, it is important to define the intent of coaching at the onset of the coach-coachee relationship (Tofade, 2010) in order to set mutual expectations and provide guidelines and expectations pertaining to the relationship.

Coach-coachee selection. Many researchers agree that the characteristics of a healthy coach-coachee relationship (Evers et al., 2006; McComb, 2012) include mutual respect, a high level of rapport, and good intentions, which can be attributed to many factors such as personality, experience, assertiveness, cultural similarities, and motivation. However, the practice of pairing coach with coachee and how it may affect coaching outcomes is a newly emerging area of interest (Grant, 2014). Regardless of the prescribed theoretical approach to coaching (i.e. behavioral, cognitive, social), practitioners are divided on the issue. For example, Grant & Cavanagh (2007), claim that the relationship between coach and coachee directly impacts the success of coaching interventions while others (Grant, 2014) have stated that the level of satisfaction with a coaching relationship is not an indicator of coaching success.

Despite the optimism of some practitioners, McComb (2012) points out that no empirical evidence exists on what characteristics comprise a good match between coach and coachee. As a result, many practitioners have relied on adult learning principles to determine the best practice for doing so. With this in mind, practitioners have created a wide variety of suggestions regarding how to properly assign coaches to coachees in corporate environments.

For example, McCormick and Burch (2008) suggest that coaches utilize personality tests in order to evaluate employees for a correct match. If both individuals are involved (Parker et al., 2014) in the matching process, they will have an enhanced sense of involvement and buy-in. Personality-based measurement tools provide empirically valid data on how to more accurately select partnerships that will work.

Alternatively, coaching literature suggests that employees should be able to self-select their coach (McComb, 2012) as it assists in motivating them to reach desired goals. Self-selection empowers the individual to feel more confident in their decision thereby increasing buy-in. This approach is learner-centered and allows the coach and coachee to partner based on common interests and experiences.

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Although cognitive research indicates that individual choice creates internal buy-in between coach and coachee, opponents of this selection process suggest (McComb, 2012) that a coach and coachee with too much compatibility will result in laziness and a lack of accountability. This means that if the coach and coachee are too alike, their relationship may develop into a friendship, which can be difficult to separate from professional life.

Influencing organizational change. According to a study by the American Society of Training and Development (Pace, 2012), organizational investments in performance improvement has increased by 10% within three years due to economic difficulties and the rise of younger generations in the workplace. This reinforces the idea that companies recognize the need to refocus their approach to employee engagement initiatives in order to accommodate the needs of a changing workforce.

Although organizations have a natural tendency to protect existing structures (Marshall, 2010) and processes when they are perceived as successful, business leaders are recognizing that change is necessary if they wish to remain competitive (Nekoranec & Fourrier, 2013) in an innovative marketplace. Studies on employee engagement have found that change (Mitsch, Mitsch, & Hays, 2013) stems from employees who are prideful of their work. In the past, coaching has been primarily viewed as vehicle for facilitating individual change however it is increasingly being seen as a tool (Grant, 2010) for influencing organizational change because it offers a platform (Grant & Cavanagh, 2007) for open dialogue. This dialogue gives every employee the opportunity to discuss their wants, needs, and desires with a supervisor, which contributes to employee satisfaction. Coaching can therefore be used as tool for facilitating change by developing the coaching skills of managers.

Building coaching cultures. Prior to introducing a coaching culture within organizations, it is important for decision makers to understand (O'Broin & McDowall, 2014) and reflect on the purpose of incorporating the practice into the business. Coaching practices need

to clearly align with organizational goals (Grant & Hartley, 2013; Leonard-Cross, 2010), they need to be championed by respected individuals (e.g. top-level managers), and supported by competent training professionals. Coaching must be embedded in the organizational framework using evidence-based research and draw from the best scientific research available (Grant & Hartley, 2013).

In order to start the process of embedding coaching into an organizations culture, it is important to identify what makes a successful manager. Without identifying what makes a good manager (Association for Talent Development, 2014), it is not possible to optimize talent development. Common attributes of successful managers include (Association for Talent Development, 2014) clear communication, clear direction, and effective interaction. In addition to identifying the characteristics of successful managers, senior leaders and training professionals (Pace, 2012) need to develop a strategy for training coaches in a way that removes them from their role as manager and enlightens them toward a more holistic and motivating communication style (Grant, 2010).

Internal versus external coach. Practitioner-based literature provides mixed perspectives on whether it is better for coaches to be internally developed or hired as external consultants. On one hand, the process of growing coaches internally provides dual development opportunities (Leonard-Cross, 2010) for the coach and the coachee. Internal coaches are also often favored (Thach, 2002) because they already know the organization's culture, which allows them to foresee potential issues that may arise from a coachee's actions.

Conversely, a study conducted by Sue-Chan & Latham (2004) provides evidence that the use of an external coach is more beneficial than other coach-coachee relationship models because they do not carry pre-conceived judgements pertaining to the employee or organization. External consultants may have a higher dollar cost than internal coaches but

supporters of this model suggest that there is an increased sense of trust (Thach, 2002) between internal and external constituents.

Effective coaching practices. Role modeling, holding coachees accountable for their actions, removing obstacles, and challenging the coachee to broaden their perspective (Batson & Yoder, 2012) are all empowering characteristics of a coach. Regardless of the learning lens, coaching should use a solution-focused approach (Gavriel, 2014) that assists the coachee in reframing their skillset to meet current objectives (Association for Talent Development, 2014). Since problems can greatly vary, coaches must be able to improvise (Read, 2013) their approach to coaching sessions and conversations in order to accommodate individual needs.

Attributes of successful coaching facilitation include mutual trust and respect between coach and coachee (McComb, 2012), a high level of rapport between both individuals, providing clear expectations up front, providing and soliciting feedback, goal setting, and identifying relevant resources (Batson & Yoder, 2012). Today's coach should be able to identify and remove obstacles (Hamlin et al., 2006) that may hinder goal attainment by embedding coaching practices into everyday activities.

Furthermore, Gavriel (2014) suggest developing a coaching triad comprised of the coach, coachee, and an observer. Having a third party observer keeps the coach on track and provides both the coach and coachee with objective feedback after the coaching meeting ends. This promotes continual improvement of the coaching process so both parties are being held accountable for their actions.

Ineffective coaching practices. In a cross-national study conducted by Ellinger et al. (2008), they defined a list of inhibitory behaviors that negatively impacted the coachee's coaching experience. These behaviors included the manger being: too authoritarian, an ineffective communicator, dogmatic, controlling, utilizing inappropriate approaches to behavior

change, withholding information, displaying an autocratic management style, intimidating employees, and abdicating their role and responsibilities as coach.

In addition, Gallo (2015) suggests that coaching processes can be made ineffective by a manager's preconceived bias about certain workers. For example, if a manager has self-labeled an individual as "difficult" to work with, the manager-as-coach is more likely to have a negative mind-set going into the coaching conversation. Coaches therefore need to remain open-minded, emotionally detached, and remind themselves that constructive change is possible.

Return on investment. The benefits of coaching have remained primarily practitioner based meaning that most insights into effective coaching are testimonials (McGuffin & Obonyo, 2010). Coaching practices have been widely criticized for its lack of evaluation processes (Grant & Cavanagh, 2007). For example, there is little empirical evidence regarding managers' perceptions of the costs and benefits of adopting workplace coaching (Grant, 2010) yet many organizations are expecting their managers to be fully invested in the process by acting as both supervisor and coach. Furthermore, empirical literature examining coaching outcomes, including how to measure return on investment, did not emerge until the early 2000s (Leanard-Cross, 2010) and practitioner literature still heavily focuses on the process of coaching.

One reason for a lack of research focusing on return on investment measurements is because the phenomenon of manager-as-coach programs are hard to define (Grant & Cavanagh, 2007) and learning with understanding is hard to measure (Bransford et al., 2000). Furthermore, coaching is not a standardized practice and remains relatively unregulated (Chung & Gfroerer, 2003) therefore its effects are difficult to measure. For example, just measuring "effectiveness" is too broad; in this case, effectiveness needs to be clearly defined (Smith & Brummel, 2013) before it can be measured.

In addition, when people are pulled away from their daily job, it is difficult to quantify coaching because there is no guarantee that learning has occurred (Atkinson, 2012). The intangible benefits of coaching, such as increased productivity, can be addressed in performance reviews (Gilley et al., 2010) however feedback focuses heavily on self-reflection and managerial perspectives rather than concrete data. In order to find the true return on investment index, it is necessary to link behavior change to business impact (Philips, 2007).

The most widely cited approach to calculating return on investment for a coaching program is 360 degree evaluations (Luthans & Peterson, 2003; Thach, 2002) because it provides valuable data about how others are perceived (Goldsmith, 2012) and pre and post data can be compared to determine the effectiveness of coaching interventions. Since individuals need feedback to grow and change (Witherspoon, 2014), Boyatzis et al. (2013) suggest using 360 degree evaluations to track development progress before, during, and after coaching occurs.

360 degree evaluations may incorporate one-on-one interviews between peers or managers, and personality inventories (Thach, 2002) however they are not perfect (Luthans & Peterson, 2003). McCormick and Burch (2008) suggest that coaches should utilize personality tests to evaluate coachees because there is more empirically valid data on personality measurement tools. Personality focused coaching evaluations are not intended to change one's personality rather they use personality traits to understand how to cater the coaches approach to meet the coachees needs.

Coaching Models and Tools

As noted in chapter one, coaching practice lacks a sound empirical base (Hamlin et al., 2006), which has allowed for practitioners to develop a wide range of coaching models and tools. The follow three models (GROW, Catalytic Coaching, and Human Capital Institute) serve as examples of how various coaching methods can be applied to the workplace. For example,

the GROW Model is meant to influence the coaching conversation, Catalytic Coaching demonstrates a process for facilitating a coaching program, and the Human Capital Institute acknowledges coaching as an integral part of the overall employee engagement strategy.

GROW model. Developed by Alan Fine, John Whitmore, and Graham Alexander (Fine, 2011) in their native United Kingdom, the GROW model is a tool for how to conduct coaching sessions (Fine & Merrill, 2010) in order to achieve performance breakthroughs. This is not a model for how coaching programs should be structured as the GROW model can be applied to any coaching program as a tool used by coaches during each individual coaching session.

Since the GROW model was created in 1980, John Whitmore and Graham Alexander remain in the United Kingdom and continue to use the model as a tool in their own consulting practices. Alternatively, Alan Fine established InsideOut Development in 1985 (Fine, 2011) and ultimately moved his practice to the United States. As early adopters of coaching innovations in the workplace, the GROW model for coaching is one of the most widely adopted coaching tools in American corporations today. The InsideOut Development adaptation of the GROW model will be explored later.

The GROW model is an acronym that stands for Goal, Reality, Options, and Way Forward (Fine & Merrill, 2010). The tool itself is intended to lead individuals through a strategic series of questions in order for them to self-actualize the answer to an individual problem. The "goal" section inquires about what the person wants to work on. This could address the topic they want to discuss or what they want out of the discussion itself. Next, the "reality" section asks the individual to describe the current situation, what they have tried to resolve the problem they are facing, what obstacles they foresee, and to consider whether their goal is realistic. The "options" section requires the coachee to imagine their ideal situation, it gives the coach the opportunity to offer suggestions, and encourages the individual to consider how they could approach the situation. Lastly, the "way forward" section requires the person to determine what

they are going to do next and consider how they may handle obstacles in order to move closer

to the ideal.

As the coach moves through the GROW model with their coachee, the objective is to

encourage the coachee to explore the problem, consider the reality of the situation, explore

options, and determine what they want to do to move forward. By giving coachees an

opportunity to self-reflect, they are more likely to be invested in working towards a solution.

Unlike other prototypical coaching models, the GROW model incorporates two unique

features. First, it integrates mentoring by having the coach ask the coachee if they would like

suggestions on how to approach the situation while the coachee is self-exploring options. As

indicated earlier in this chapter, many individuals have placed emphasis on separating coaching

from mentoring as two distinct processes. The GROW model allows for mentoring in a way that

affords the coachee an option of being mentored or not.

The second unique aspect of the GROW model is that it allows the coachee to opt-out of

moving forward with the issue. If the coachee is not satisfied with the result, they can work with

the coach to reframe the goal or take no action at all. The GROW model therefore places

responsibility of follow through on the coachee themselves rather than holding the coach

accountable for whether or not the coachee is making progress toward their objectives.

GROW model application. After moving his practice, InsideOut Development, to the

United States, Alan Fine continued to build upon the GROW model by identifying parameters for

creating the ideal coaching situation. Today, this model is called InsideOut Coaching and it is

intended to guide the coach and coachee through a conversation targeted at finding solutions to

a specific problem.

InsideOut Coaching (Fine & Merrill, 2010) is based on the understanding that all

individual actions are driven by three forces; focus, fire, and faith. Focus is a person's ability to

concentrate on a current task at hand, fire drives one's passion, and faith is based on what one

believes. If a coach understands what drives their coachee then they will be able to better accommodate their needs. As a result, force, fire, and focus underpin the intent of the GROW model by recognizing that not all people are the same therefore not all approaches to coaching should be the same.

Catalytic coaching model. Inspired by the work of Dr. William Edwards Deming (Markle, 2000), the Catalytic Coaching methodology was adopted in 1999 by Gary Markle, a retired human resources professional. The primary purpose of this coaching approach is to replace traditional performance review systems with more transparent, open-dialogue conversations.

As a human resources professional, Gary Markle describes his experiences conducting performance reviews (Markle, 2000) as very negative. He explains that traditionally, American corporations rate employees on a numerical scale in various areas of the job. In this directive system, employees have no opportunity to discuss their own concerns, rather a one-sided, subjective evaluation was what advanced them within an organization or in some cases, removed them from the job altogether.

Markle's solution to this paradigm was to use coaching as a forum for establishing an open-ended dialogue between manager and employee. This model is a three-phase process that requires the manager acts as coach and the employee acts as coachee. The three phases are: employee self-reflection, coach's evaluation of the coachee, and co-creation of a development plan.

During the employee self-reflection phase, the Catalytic Coaching model requires the coachee to answer a series of questions aimed at having them reflect on their accomplishments, disappointments, aspirations, and employment concerns. The coachee's self-reflection is then discussed and followed up by the coach's review of their performance (i.e. the coach's evaluation of the coachee phase). The final phase in the process is for the coach

and coachee to co-create a development plan that meets both the coachee's and manager's needs. This is a cyclical process that requires quarterly meetings between coach and coachee as a way to monitor coachee progress toward their improvement and development goals.

Human capital institute approach. The Human Capital Institute (Forman, n.d.) takes a unique approach to coaching as it is embedded into a broader employee engagement model rather than being a standalone solution. David Foreman (Forman, n.d.), Chief Learning Officer Emeritus at the Human Capital Institute (HCI), created a body of training materials that are widely used by HCI today. Rather than having the coach-coachee relationship be the primary indicator of employee success, David Forman discusses eight key areas that contribute to developing trust and transparency within an organization.

In the model, trust and transparency are the foundation for any long-lasting relationship. Trust includes (Forman, n.d.) having honest communication, actively listening, respecting each other, keeping each other's best interest at heart, and being committed to the process. Transparency, on the other hand, includes being truthful, setting clear intent from the start, admitting mistakes, and sharing information or resources. The framework for workplace engagement, collaboration, and retention that build upon the foundation of trust and transparency includes thirteen factors, one of which is the coach.

In order to develop trust and transparency between two people or between an individual and an organization, the coach must be willing to have crucial conversations and address problems with constructive confrontation. This means that the coach does not shy away from difficult conversations, rather they address issues objectively and without emotion. Crucial conversations that take a constructive approach are more likely to result in the development of trust and transparency.

Summary

Coaching in the workplace has a relied on a variety of formal models, based upon very different perceptions of how people learn, develop, and change. As discussed in this chapter, three dominant psychological learning theories account for the variety of coaching programs and models in business. Table 2 provides a summary comparison across these three learning theories. Notable differences include the approach to shaping individual performance through identified motivators such as incentive and reward, attribution theory, and identity. One notable similarity across the three approaches is that all are targeted at changing employee behaviors to achieve a desired result. Regardless of the learning lens, coaching should use a solution-focused approach (Gavriel, 2014) that assists the coachee in reframing their skillset to meet current objectives.

Although the psychology of learning has evolved to endorse a sociocultural theory of learning, the business world still supports a variety of approaches and beliefs about workplace learning. The lack of consensus is troubling for managers trying to develop, conduct, and evaluate informal peer-to-near-peer partnerships for learning. This proposal attempts to seek some agreement from experts, if not consensus, on the critical features of coaching programs in business.

Table 2

Chapter 2 Summary

	Behavioral	Cognitive	Social
Motivation	Incentive and reward	Attribution theory	Identity shift
Role of Coach as Expert	Shaper of behavior (trainer)	Transmitter of knowledge (teacher)	Collaborative skill sharer (guru)
Process	Rewards and incentives and goal setting	Teaching and scaffolding learning	Zone of proximal development and communities of practice

(continued)

	Behavioral	Cognitive	Social
Intended outcome	Change behavior	Knowledge transfer	Identity transformation
Assessment	Increased efficiency and productivity	Knowledge recall	Behavior and beliefs changed

Chapter Three: Methodology

Purpose of Study

As indicated in chapter two, there is no clear agreed upon definition or set of best practices for coaching in the workplace. This Delphi study sought to obtain expert agreement on the guiding principles of coaching as well as best practices for planning, implementing, and evaluating manager-as-coach programs in business. For the purposes of this study, and as defined in the previous chapter, the phenomenon of manager-as-coach will be generally defined as a manager that is required to both supervise and coach employees.

As the trend of implementing manager-as-coach programs continues to gain popularity in business, it is critical to build a framework for success prior to execution as it cannot be assumed that all managers want to coach or know how to coach others. Another consideration to be made during the planning phase is whether or not the personalities of the manager-as-coach and the coachee clash. For the purposes of this study, the term coachee will refer to any employee that is being actively coached by their direct oversight or manager. Simply assigning managers to coach employees does not take into consideration that issues affecting compatibility. Managers-as-coach must be able to cater to diverse personalities, express a certain level of empathy, and tailor their approach to each employee they are coaching.

Lastly, a rigid dichotomy exists between the core functions of a manager and that of a coach, therefore, managers who are asked to also coach employees must understand how and when to act in a particular role. Being able to recognize when managing an employee versus coaching an employee is more advantageous to the individual is a learned skillset that involves continuous development of them manager-as-coach themselves. As a result, continual evaluation and revision of manager-as-coach programs are needed to ensure long-term success.

Research Questions

This study answers the following research questions:

- According to a panel of experts, what are the general guiding principles for coaching?

- According to a panel of experts, what considerations are necessary when planning for the adoption of manager-as-coach programs in business?

- According to a panel of experts, what considerations are necessary when implementing manager-as-coach programs in business?

- According to a panel of experts, what considerations are necessary when evaluating manager-as-coach programs in business?

Overview of the Design

This study relies on a Delphi survey design in order to identify general coaching guiding principles as well as to determine what considerations need to be taken into account when planning, implementing, and evaluating manager-as-coach programs in business. The Delphi method was selected because it is a consensus building tool that attempts to find collective agreement among subject matter experts. Finding full or partial agreement will allow the researcher to contribute to the field of research regarding the phenomenon of workplace coaching by informing others of best practice for planning, implementing, and evaluating such programs.

Furthermore, by establishing unified agreement across a panel of experts the researcher will be able to make educated inferences about the success and challenges of the manager-as-coach paradigm, which will in turn, inform other companies about the benefits and consequences of adoption. Understanding the advantages and disadvantages of implementing a manager-as-coach program, provides decision makers with realistic expectations as to

whether a manager-as-coach program is the best way to achieve their specific, intended outcomes.

Lastly, a Delphi study allows for participant confidentiality, which ensures that opinions are not swayed via external influences. Protecting the identity of participants may also encourage respondents to freely express their opinions without fear of repercussion or damage to their image or reputation.

Delphi measure. An online, self-administered Likert scale type survey was utilized for data collection. Qualtrics.com, a web-based survey tool provided the researcher with convenient administration of the multi-round data collection process. Online survey tools are cost effective as many charge a minimal dollar amount for secure administration and reporting. The security provided by web-based surveys helped the participants feel more secure about confidentiality while utilizing an easy to access platform.

The Delphi measure that was used in this study was developed based on the literature review. Table 3 details each survey item and identifies the literature basis for the construction of the item. To further validate this measure, a pilot test for the survey items was delivered to a small group of colleagues who were not included in the study. Once feedback was received, modifications were made to improve the instrument. The actual survey instrument for each round, fully formatted, is available in Appendix G, I, and K.

There are four sections in the Delphi instrument, each corresponding to the proposed research questions: (a) general coaching guiding principles, (b) planning a coaching program, (c) implementing a coaching program, and (d) evaluating a coaching program.

Section one, general coaching guiding principles, asked respondents about a variety of coaching practices that have been identified in the literature (see chapter two, pages 34-42). These practices ranged from understanding basic differences between coaching and mentoring

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to active listening being the most important skill a coach should have. The questions in this section vary in an attempt to conclude foundational knowledge that every coach should have.

Section two, planning a coaching program, asked respondents to consider the range of definitions pertaining to the relationship between the coach and the coachee. Where a behavioral perspective would identify a power relation between them in which the coach manipulates reinforcements (i.e. incentives and rewards) and stimuli, a cognitive perspective might describe the relationship as more of a teacher/student one. See chapter two, pages 37-38, for more detail on this issue.

In section three, implementing a coaching program, respondents were asked to consider what needs to be taken into account when implementing a manager-as-coach program. From a cognitive viewpoint, this may indicate that coaches are transmitters of knowledge (i.e. they tell coachees what to do). Conversely, sociocultural perspectives may emphasize the coach as a collaborative partner rather than a teacher. Reference chapter two, pages 20-31, for more information on this topic.

Lastly, section four, evaluating a coaching program, required respondents to consider effective ways to measure the impact of training on organizations. For example, behaviorists may suggest that coaching programs should be evaluated in terms of whether a coachee met their articulated goals or not, while social approaches may point to 360 evaluations for a holistic measurement on progress. See chapter two, page 42-43, for more details on this section.

Table 3

Survey Item Index

Survey Item	Reference/Source
SECTION I: General Coaching Guiding Principles	

Survey Item	Reference/Source
P2Q1. Coaches should have the same basic skill set as mentors. For example, there is no difference between how someone approaches coaching versus mentoring.	De Janasz & Peiperl, 2015; Reeves, 2006
P2Q2. Coaches do not need to have specific knowledge about a problem in order to help the Coachee find an effective solution. For example, the Coach does not need to have the same professional expertise as the Coachee.	Evers et al., 2006; Gavriel, 2014; Hicks & McCracken, 2009
P2Q3. Active listening is the most important skill a Coach should have.	Foreman, n.d.; Gavriel, 2014
P2Q4. Coaches must be trained to recognize signs of mental illness so they can refer Coachees to external resources if needed.	Ellinger et al., 2011; Grant & Cavanagh, 2007; Hart et al., 2001

SECTION II: Planning a Coaching Program

Survey Item	Reference/Source
P3Q1. The compatibility of Coach and Coachee should be taken into consideration when assigning coaching relationships. For example, if a Coachee does not get along with their manager-as-coach, they should be able to select a different Coach.	Grant, 2010; Grant & Cavanagh, 2007; McComb, 2012
P3Q2. Managers make the best coaches for their oversights.	Grant, 2007; Hamlin et al., 2006
P3Q3. Coaches require comprehensive training on how to meet the needs of diverse Coachee personalities.	Prochaska, 2008
P3Q4. Coachees should be able to opt out of participating in coaching programs.	Bowles et al., 2007; Grant & Hartley, 2013

SECTION III: Implementing a Coaching Program

Survey Item	Reference/Source
P4Q1. It is critical for Coaches and Coachees to have a written and agreed upon coaching contract that includes stated goals and clearly outlines the responsibilities of both parties.	Mukherjee, 2008; Tofade, 2010

Survey Item	Reference/Source
P4Q2. Coaches should help Coachees figure out a solution rather than telling them what to do.	Hicks & McCracken, 2009; Reeves, 2006
P4Q3. The method of how a Coach and Coachee connect (e.g. face-to-face versus email) is inconsequential to the intended outcome.	King & Eaton, 1999; Mortensen, 2015
P4Q4. Coaches should be coached themselves if they are expected to coach others.	Bryant, 2011; Ellinger, 1999
SECTION IV: Evaluating a Coaching Program	
P5Q1. 360 evaluations are the best way to measure a Coach's impact on a coachee.	Goldsmith, 2012; Luthans & Peterson, 2003; Thach, 2002
P5Q2. Coaching effectiveness needs to be evaluated on a regular basis.	Boyatzis et al., 2013
P5Q3. It is impossible to measure return on investment for coaching intangibles. For example, leadership, sociability, etc.	Grant & Cavanagh, 2007; McGuffin & Obonyo, 2010
P5Q4. Coaching programs should be evaluated in terms of whether the Coachee met their articulated goal(s). For example, improved management skills should be assessed by looking at improved team performance.	Smith & Brummel, 2013

Delphi sample. The sample for this study is comprised of professional coaches,

professional coach educators, and human resources professionals. Professional coaches are

defined as individuals who have previously acted as a coach or have implemented coaching

programs for at least one person. Professional coach educators are defined as individuals that

teach the art of coaching to others in non-accredited certification programs. Human resource

professionals are defined as individuals who work in human resources departments in business

and have some knowledge of coaching. Human resource professionals were included in this

survey sample because employee training and development typically falls under the human resources department in business. As a result, manager-as-coach programs are often facilitated internally or externally by the human resources team. By including experts that have diverse experiences with coaching, the researcher was able to provide insight into the guiding principles of manager-as-coach programs and what practices may be most effective in the planning, implementation, and evaluation phases of manager-as-coach training programs in business.

Procedures

Recruitment. This study utilized a clustering procedure to capture a relevant sample. The researcher does not have a strong tie to the coaching community therefore the clustering process allowed the researcher to identify groups of potential participants based on relevant professional businesses and associations. In order to compile a list of coaching-related organizations, the researcher conducted an in-depth internet search.

To recruit participants for this study the researcher sought out ways to recruit professional coaches in order to ensure the integrity of the research. The first method for recruitment was for the researcher to post a message on several LinkedIn coaching-related groups. LinkedIn (https://www.linkedin.com/) is a publicly accessible social media platform that connects professionals and job seekers through invitations and groups that focus on a variety of topics. The specific LinkedIn groups and total number of members that the researcher potentially reached includes: International Coaching Network (12,900 members), Human Capital Institute (42,157 members), Positive Psychology Coaching (27,546 members), International Society for Coaching Professionals – Coaching Psychology Research Forum (11,300 members), and Coaching Zone (19,265). See appendix A for the solicitation message posted to each group's LinkedIn forum.

In addition to recruiting through LinkedIn coaching-related groups, the researcher accessed a publically available coaching directory through the International Coaching Federation (ICF). ICF (https://www.coachfederation.org/) is the largest association of new and seasoned coaching professionals from around the world. The directory of members is made public in order to help accredited coaches advertise their services (see appendix B for the solicitation email). The directory allows individuals to filter members by a variety of criteria including the level of credential each member holds. The researcher filtered the directory to list only those individuals holding a Master Certified Coach (MCC) credential, which resulted in 320 contacts.

The MCC credential was selected as a filter based on the rigor as indicated on the ICF website (Master Certified Coach, n.d.). These requirements include:

- 200 hours of coach-specific training
- 10 hours of mentor coaching (i.e. the coach has been coached themselves and their coaching skills have been evaluated)
- Keep a coaching log that demonstrates 2,500 hours (2,250 paid) of coaching experience with at least 35 clients
- Two audio recordings and written transcripts of coaching sessions
- Pass the ICF Coach Knowledge Assessment.

During the recruitment process, two professional coaches were referred to the research study through original MCC contacts that were drawn from the International Coach Federation website. One of these individuals held the ICF Professional Certified Coach (PCC) credential and the other holds the ICF Associate Certified Coach (ACC) credential. Per the ICF website, the requirement for the PCC (Professional Certified Coach, n.d.) and ACC (Associate Certified Coach, n.d.) are as follows:

Professional Certified Coach credential

- 125 hours of coach-specific training

- 10 hours of mentor coaching (i.e. the coach has been coached themselves and their coaching skills have been evaluated)

- Keep a coaching log demonstrating 750 hours (675 paid) of coaching experience with at least 25 clients

- 2 audio recording and written transcript of 1 coaching session

- Pass the ICF Coach Knowledge Assessment

Associate Certified Coach credential

- 60 hours of coach-specific training

- 10 hours of mentor coaching (i.e. the coach has been coached themselves and their coaching skills have been evaluated)

- Keep a coaching log demonstrating 100 hours (75 paid) of coaching experience with at least 8 clients

- 1 audio recording and written transcript of 1 coaching session

- Pass the ICF Coach Knowledge Assessment

Lastly, on Thursday, April 14, 2016, the researcher attended a Performance Skills Coalition meeting sponsored by the Washington State Human Resources Council. During this meeting, two professional coaches were present and expressed an interest in participating.

Of the possible 113,508 participants touched by online, email, and in-person solicitation, the researcher received a total of 45 volunteers (see appendix C for the response solicitation email sent to volunteers after they confirmed their desire to participate in the study).

Selection. Any professional coach, coach trainer, or human resources professional from the targeted recruitment list had the opportunity to self-select into this research study. No

consideration was given to the number of years of practice the participant has in the field of coaching however all participants were required to have coached at least one person or have trained at least one coach. Years of practice is being disregarded as the popularity of the field did not emerge until the 1990s and early 2000s as indicated in chapter two. By not requiring participants to have a certain number of years' experience, the researcher was able to market to a larger, more diverse audience. The risk associated with not requiring a specific level of experience means that the survey results were susceptible to novice responses thereby skewing the results of true experts. The researcher acknowledged this potential issue however diverse experiences and experience levels had the potential to provide a broader picture of how coaching and coach practices should be used today.

Expert panel composition. In addition to the survey items listed in Table 3 demographic information was captured on the measure. By including demographic information, the survey participants remained anonymous while items such as gender, job title, and years of experience assisted the researcher in analyzing the results using these variables. The researcher intended to recruit a minimum of fifteen participants and was able to recruit forty-five with a total of twenty-four participants contributing to all three survey rounds.

In order to preserve the confidentiality of each participant, names and email addresses were coded. The following information provides demographic information for each expert contributor by round.

Round one. The demographic makeup of round one participants included 9 males (32%) and 19 females (68%). In addition, the average number of total years of coaching experience among respondents' equals 16 and the median number of years coaching is 25. See Table 4 for detailed demographic information.

Table 4

Expert Participant Demographic Information – Round One

Gender	Job Title	# Years as Coach
Male	Director	26
Female	Vice President, Executive Coach	7
Female	Project Manager	1
Female	Professional Coach and Organization Development Consultant	2
Male	Cross Cultural Business Trainer	2
Male	Executive Leadership Coach	22
Male	CIO - Chief Inspirational Officer	15
Female	President	24
Male	Coach	10
Female	Director	15
Female	Business and Personal Coach Specializing in ADHD	22
Male	Executive Business Coach	20
Male	Director of Coaching	15
Female	Executive Coach, Leadership Consultant	15
Male	Visionary Coach, Coach Training Director	20
Female	Coach	20
Female	Productivity Coach	7
Female	CEO	26
Female	Coach & Trainer	17
Female	Master Certified Coach	16
Female	President, Aligned Action International	23
Female	Business Owner and Executive Coach	21
Male	Executive Coach	16
Female	Executive Coach & HR/OD Consultant	22
Female	Executive Coach, Small Business Owner	3
Female	Owner, The Learner's Edge Coaching & Consulting	28
Female	Coach	12
Female	Coach, Consultant, Trainer	23

Round two. The demographic makeup of round two participants included 7 males

(28%) and 18 females (72%). In addition, the average number of total years of coaching

experience among respondents' equals 17 and the median number of years coaching is 20.

See Table 5 for detailed demographic information.

Table 5

Expert Participant Demographic Information – Round Two

Gender	Job Title	# Years as Coach
Male	Director	26
Female	Vice President, Executive Coach	7
Female	Project Manager	1
Female	Professional Coach and Organization Development Consultant	2
Male	Executive Leadership Coach	22
Male	CIO - Chief Inspirational Officer	15
Female	President	24
Female	Director	15
Female	Business and Personal Coach Specializing in ADHD	22
Male	Executive Business Coach	20
Male	Director of Coaching	15
Female	Executive Coach, Leadership Consultant	15
Male	Visionary Coach, Coach Training Director	20
Female	Coach	20
Female	Productivity Coach	7
Female	CEO	26
Female	Coach & Trainer	17
Female	Master Certified Coach	16
Female	President, Aligned Action International	23
Female	Business Owner and Executive Coach	21
Male	Executive Coach	16
Female	Executive Coach & HR/OD Consultant	22
Female	Owner, The Learner's Edge Coaching & Consulting	28
Female	Coach	12
Female	Coach, Consultant, Trainer	23

Round three. The demographic makeup of round three participants included 7 males

(29%) and 17 females (71%). In addition, the average number of total years of coaching

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experience among respondents' equals 18 and the median number of years coaching is 20.

See Table 6 for detailed demographic information.

Table 6

Expert Participant Demographic Information – Round Three

Gender	Job Title	# Years as Coach
Male	Director	26
Female	Vice President, Executive Coach	7
Female	Project Manager	1
Female	Professional Coach and Organization Development Consultant	2
Male	Executive Leadership Coach	22
Male	CIO - Chief Inspirational Officer	15
Female	President	24
Female	Director	15
Female	Business and Personal Coach Specializing in ADHD	22
Male	Executive Business Coach	20
Male	Director of Coaching	15
Male	Visionary Coach, Coach Training Director	20
Female	Coach	20
Female	Productivity Coach	7
Female	CEO	26
Female	Coach & Trainer	17
Female	Master Certified Coach	16
Female	President, Aligned Action International	23
Female	Business Owner and Executive Coach	21
Male	Executive Coach	16
Female	Executive Coach & HR/OD Consultant	22
Female	Owner, The Learner's Edge Coaching & Consulting	28
Female	Coach	12
Female	Coach, Consultant, Trainer	23

Data Collection

Survey instrument. The initial round of the Delphi relied on a survey with sixteen Likert

statements, divided into four sections: general coaching guiding principles, planning a coaching

program, implementing a coaching program, and evaluating a coaching program. Each section had four statements which respondents rated on a four-point scale from Strongly Agree to Strongly Disagree, with an option for No Opinion. Each statement was followed by an open comment textbox in which respondents were required to offer justification for their answer. These comments were summarized and fed back to respondents along with survey results in each successive round.

Distribution. Once a list of self-selected participants was identified, Pepperdine University's informed consent form (i.e. information/facts sheet for exempt research) (see appendix E) was emailed directly to each individual along with a link to the survey round one instrument (https://pepperdinegsep.az1.qualtrics.com/SE/?SID=SV_6DMpYk25B9WEk4t). The survey round one instrument required all participants to read and agree to informed consent before they were allowed to open the survey. All participants were given two weeks to respond to survey rounds one and two. Survey round three was condensed into one week because of its brevity. The researcher completed data collection in nine weeks.

Multiple iterations. The Delphi process relies on transparency and rapid turnaround of results thereby affording the researcher an opportunity to engage the subjects in multiple iterations to the survey tool. A total of three survey cycles were conducted; the first utilized the initial survey design (see Appendix G) and the second (see Appendix I) and third (see Appendix K) iterations were revised based on whether the agreement threshold was met. For the purpose of this study, the agreement threshold among participants was a minimum of 80%. Survey statements that had less than 80% agreement among respondents were revised or clarified based on the comment section that immediately followed each question. The second and third survey iterations incorporated pertinent participant comments for others to consider allowing an indirect conversation to occur between expert participants.

Multi-Round Analysis

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After data was collected during survey rounds one and two, the researcher moved through a consistent process to analyze the responses. Frequency counts were conducted to tabulate all Likert scale survey items. To facilitate this process, strongly agree and agree were grouped together and renamed *positive support*; disagree and strongly disagree were grouped together and the statements were rejected. If an item received at least 80% agreement, it was removed from the survey during successive rounds. Items that did not reach at least 80% agreement were included in successive rounds.

Throughout the process, two exceptions were made to the 80% agreement threshold. Question *Active Listening* was slightly below the 80% agreement threshold however it was retired because the strongly disagree/disagree and the strongly agree/agree comments were the same (see chapter 4 for more information). Similarly, question *360 Evaluations* was retired because the 80% agreement threshold would have been met if the "no opinion" comments were not included in the results. The "no opinion" comments closely aligned with the strongly disagree/disagree categories.

Open-ended questions were reviewed for statements that demonstrate a range of opinion in participant responses. For example, if one respondent strongly agrees with a statement made on the Likert scale and another respondent strongly disagrees with the same item, both open-ended responses were shared with all participants during sequential iterations. These statements served as compelling arguments as to why respondents selected the answer they did and validated the opinions of other respondents. If agreement could not be reached after the third survey round, those items became inadequate.

Results

Round one. Survey round one began on April 24, 2016 (see appendix E for the survey round one email) and closed on May 8, 2016 allowing participants two full weeks to respond. Of the 45 volunteer participants, a total of 29 individuals completed the survey. One respondent

did not enter an identifiable participant identification number therefore their answers were

removed from the study. As a result, 28 responses were evaluated and coded giving a final

response rate of 62%.

Table 7 shows the tabulated Likert results for each prompt. Per the studies criteria, the

agreement threshold for any item is 80%. As a result, eight survey questions were

automatically retired after round one (see Table 7). Although *Active Listening* did not reach the

80% threshold, it was retired because the comments for those who answered strongly disagree

or disagree were similar to those who answered strongly agree or agree.   Statements *Mental

Illness*, *Direct Reports*, *Diverse Coachees*, *Coaching Contract*, *Connection Method*, *360

Evaluations*, and *Articulated Goals* did not reach the 80% agreement threshold nor did the

open-ended responses align with one another.

Table 7

Round One Likert Results

Survey Statement Identifier	Strongly Disagree	Disagree	Agree	Strongly Agree	No Opinion	Percent Rejected	Percent Positive Support
Coach versus Mentor	14	10	3	1	0	86	14
Specific Knowledge	1	1	9	17	0	7	93
Active Listening	0	6	10	11	1	21	75
Mental Illness	2	6	10	9	1	29	68
Compatibility	0	2	5	20	1	7	89
Direct Reports	7	15	0	1	5	79	4
Diverse Coachees	2	6	9	11	0	29	71
Opt Out	0	1	14	12	1	4	93
Coaching Contract	2	3	4	18	1	18	79
No Telling	3	2	1	22	0	18	82
Connection Method	6	7	6	7	2	46	46

Survey Statement Identifier	Strongly Disagree	Disagree	Agree	Strongly Agree	No Opinion	Percent Rejected	Percent Positive Support
Coach Coaches	0	0	11	17	0	0	100
360 Evaluations	4	11	6	0	7	54	21
Regular Evaluation	1	1	12	13	1	7	89
Coaching Intangibles	7	17	2	1	1	86	11
Articulated Goals	1	5	15	5	2	21	71

Round two. Survey round two began on May 15, 2016 (see appendix H for the survey round two email) and closed on May 29, 2016 allowing participants two full weeks to respond. Of the 28 identifiable respondents from round one, a total of 25 individuals completed survey round two resulting in an 89% response rate. All Likert items were tabulated and open-ended responses were coded.

Table 8 shows the tabulated Likert results for each prompt. Per the studies criteria, the agreement threshold for any item is 80%. As a result, two survey questions were automatically retired after round two. Although *360 Evaluations* did not reach the 80% threshold, it was retired because the comments for those who answered "no opinion" were similar to those who answered strongly disagree or disagree. Statements *Mental Illness*, *Diverse Coachees*, *Connection Method*, and *Articulated Goals* did not reach the 80% agreement threshold nor did the open-ended comments align with one another.

Table 8

Round Two Likert Results

Survey Statement Identifier	Strongly Disagree	Disagree	Agree	Strongly Agree	No Opinion	Percent Rejected	Percent Positive Support
Mental Illness	2	4	11	8	0	24	76
Direct Reports	7	14	1	1	2	84	8
Diverse Coachees	2	12	5	6	0	56	44
Coaching Contract	1	2	6	15	1	12	84
Connection Method	4	12	3	6	0	64	36
360 Evaluations	8	9	2	2	4	68	16
Articulated Goals	6	7	9	2	1	52	44

Round three. Survey round three began on June 5, 2016 (see appendix J for the survey round three email) and closed on June 12, 2016 allowing participants one full week to respond. The response time was condensed because round three only consisted of four statements. Of the 25 identifiable respondents from round two, a total of 24 individuals completed survey round three resulting in a 96% response rate. All Likert items were tabulated and open-ended responses were coded.

Table 9 shows the tabulated Likert results for each prompt. Per the studies criteria, the agreement threshold for any item is 80%. As a result, no survey questions were automatically retired after round three. Each of the four statements associated with survey round three are considered inadequate because the agreement threshold was not met. Statements *Mental Illness*, *Diverse Coachees*, *Connection Method*, and *Articulated Goals* did not reach the 80% agreement threshold nor did the open-ended comments align with one another.

Table 9

Round Three Likert Results

Survey Statement Identifier	Strongly Disagree	Disagree	Agree	Strongly Agree	No Opinion	Percent Rejected	Percent Positive Support
Mental Illness	5	7	5	5	2	50	42
Diverse Coachees	5	9	6	2	2	58	33
Connection Method	5	7	5	6	1	50	46
Articulated Goals	3	11	8	2	0	58	42

No agreement. The data collection process was commenced after the third survey round because expert participants were not able to reach an agreement. The level of disagreement between respondents consistently widened during each successive survey round so the process was ended based on concerns about participant attrition. Figure 2 demonstrates the widening gap in agreement per round for each statement that reached no agreement.
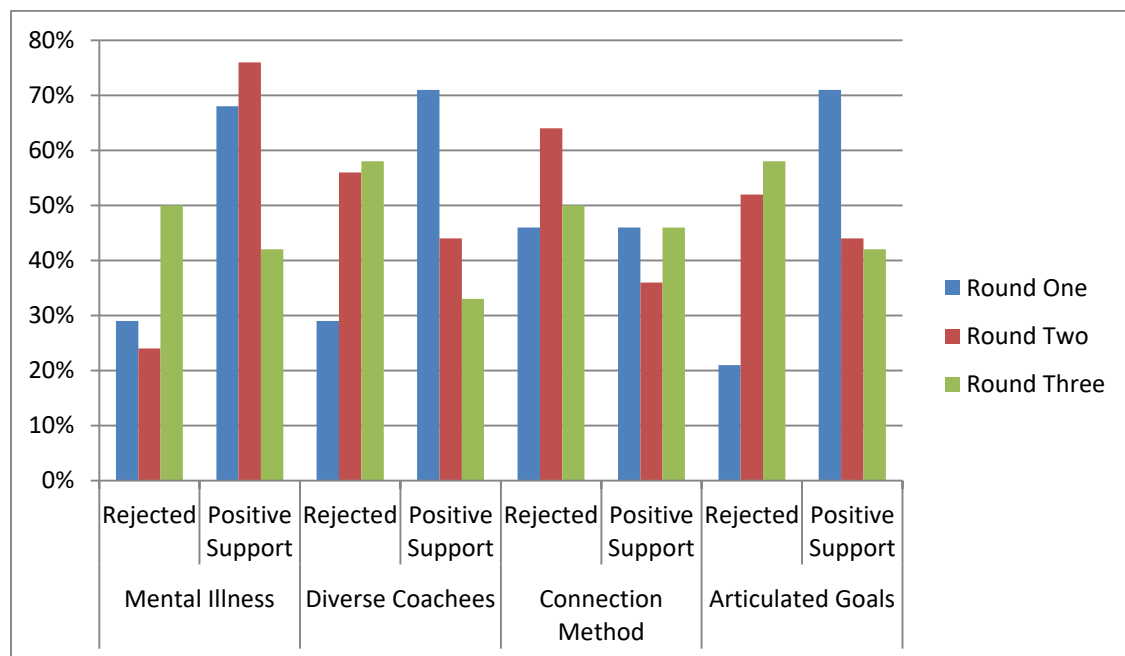

Figure 2. No Agreement Likert Statement Results by Round. This figure shows how expert participant opinions changed by round.

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Statements *Mental Illness*, *Diverse Coachees*, *Connection Method*, and *Articulated Goals* did not reach agreement after round three of data collection. Expert participant responses to each of these statements shifted significantly during sequential survey rounds based on the indirect conversation the Delphi afforded. Figure 6 visually outlines how the expert participant's responses changed throughout the three rounds of this study based on indirect peer feedback. In almost every case, statements that were rejected in the first round gained more support in successive rounds and vice versa.

Statement *Mental Illness* pertained to whether coaches should be trained to recognize the signs of mental illness. Representative remarks from respondents that rejected the statement emphasized that there are "other avenues…than training for this" (Participant 1035) and that "training coaches in minimal signs and symptoms could actually confuse this, leading to amateur diagnosis" (Participant 1028). The concern is that if a coach is trained to recognize signs of mental illness, they will be more likely to try and diagnose others even though they are not clinical psychologists.

Conversely, respondents providing positive support "agree that there are other ways for coaches to inform themselves about signs of mental illness, if it is a required part of their coach training…the profession can be assured that most if not all certified coaches will have some awareness of warning signs" (Participant 1034). Additionally, other respondents agreed that "coaches need to be trained in how to recognize situations in which referral to a mental health professional would be helpful" (Participant 1017). In essence, participants believed that some level of awareness is important so that coaches know what to do if their client is not moving forward in the process or is showing signs of mental illness. Participant 1040 noted that this should be an awareness level training.

Statement *Diverse Coachees* addressed whether coaches need comprehensive training to accommodate the diverse personalities of coachees. Representative remarks from

respondents that rejected this statement indicated that "coaching is a process that works for many kinds of personalities. No need to become a personality expert" (Participant 1029). Similar responses suggest that "common sense…and an ability to work with people" (Participant 1023) is sufficient for knowing how to properly coach others.

Representative remarks from respondents that provided positive support for the statement indicated that knowing how to cater to diverse personalities is key to being a good coach. For example, Participant 1034 suggested that:

many people call themselves [a] coach who have not been trained in core competencies of coaching. A comprehensive training program provides evidence that the coach has been equipped with the tools and skills needed to provide the best service to their clients.

Participant 1025 stated:

when a manager is coaching, it will be helpful for the manager to know how personality differences impact mental processing, decision-making, goal setting, action planning, motivation, communication, relationship to deadlines, etc…some training in this area will likely help the manager-as-coach avoid the common pitfall of trying to coach the employee to "do it like the manager does it."

Expert participants indicated that some level of coach training would be needed to ensure that the coach has proper knowledge of how to cater their approach to diverse coachees.

Statement *Connection Method* referred to the method of how coach and coachee connect with one another throughout the coaching process. Representative remarks from individuals who rejected the statement strongly felt that "the best coaching occurs in real-time…asynchronous communication has severe limitations for spurring creativity, brainstorming, problem solving, and practicing active listening" (Participant 1025). The common thread

between most open-ended comments surrounded the need to connect face-to-face whether that be in-person or through another medium such as Skype.

Respondents that provided positive support for this statement placed more emphasis on the relationship than the mode of communication. For example, Participant 1038 stated that "email, Skype, phone, in-person, etc. all work. What is most important is the relationship between the manager/coach and the coachee, and the skills and competence of the manager/coach." In other words, the method of communication did not matter unless there was a solid relationship and the coach was well educated on how to coach others.

Statement *Articulated Goals* reported that coaching programs should be evaluated in terms of whether the coachee met their defined goal(s). Representative remarks from individuals that rejected this statement noted that "many factors could enter into the results other than just the client's execution" (Participant 1023). Participant 1032 reiterated that this approach "looks outside of the coachee for the answer" rather than looking at the coachee themselves.

On the other hand, respondents that provided positive support for this statement suggested that, "the form of measurement must align to the purpose for coaching. Management skills could be needed for…providing constructive feedback [however this]…might not be tied to employee performance" (Participant 1005).

This means that goal attainment is not necessarily equivalent to success. Often there are "other, highly significant benefits that occur in addition to or instead of the pre-determined goals" (Participant 1029) as coaching need continually evolves from within the coachee.

Statements *Mental Illness*, *Diverse Coachees*, *Connection Method*, and *Articulated Goal*s all address coach training to some degree. This indicates that there may be different coaching skill sets taught by independent coach training programs. As indicated throughout this study, the practice of professional coaching is relatively unregulated therefore the practice has

allowed coach trainers to make their own assumptions about what is right and wrong. This not only includes general coaching skill sets but also effects how planning, implementation, and evaluation practices are perceived.

Chapter Four: Findings

The goal of this research study was to find agreement among coaching experts in order to determine best practices in four central areas: general guiding principles for manager-as-coach programs, planning manager-as-coach programs, implementing manager-as-coach programs, and evaluating manager-as-coach programs.

Restatement of Research Questions

As previously noted, the premise for this research study is based on the following research questions:

- What are the *general guiding principles* for coaching?

- What considerations are necessary when *planning* for the adoption of manager-as-coach programs in business?

- What considerations are necessary when *implementing* manager-as-coach programs in business?

- What considerations are necessary when *evaluating* manager-as-coach programs in business?

Reiteration of Delphi Survey Statements

All research statements are directly related to the literature review conducted in chapter two and outlined in chapter three (see pages 42-44). Statements one through four pertain to the general guiding principles for coaching. Statements five through eight pertain to necessary considerations for planning the adoption of manager-as-coach programs in business. Statements nine through twelve pertain to necessary considerations for implementing manager-as-coach programs in business. Statements thirteen through sixteen pertain to necessary considerations for evaluating manager-as-coach programs in business.

General guiding principles. *Statement One* – Coaches should have the same basic skill set as mentors. That is, there is no difference between how someone approaches coaching versus mentoring.

Coded as *Coach versus Mentor*, statement one refers to the lack of distinction (Reeves, 2006) between coaching and mentoring in practitioner-based and empirical literature.

Statement Two – Coaches do not need to have specific knowledge about a problem in order to help the Coachee find an effective solution.

Coded as *Specific Knowledge*, statement two was drawn from the idea that the coachee should set the agenda (Evers et al., 2006) and determine meeting goals so the coach does not necessarily need to be an expert in the same domain to be effective.

Statement Three – Active listening is the most important skill a Coach should have.

Coded as *Active Listening*, statement three draws from the importance literature places on active listening as a key skill (Gavriel, 2014) for coaches to learn. Active listening is viewed as important because coaching is about the coachee, not the coach, so an effective coach must listen for verbal and non-verbal cues to guide the conversation.

Statement Four – Coaches must be trained to recognize signs of mental illness so they can refer Coachees to external resources if needed.

Coded as *Mental Illness*, statement four recognizes that coaching, mentoring, and clinical therapy all stem from a similar theoretical research base (Hart et al., 2001) however they are not the same in practice. As a result, coaches need to know when it is not productive to coach (Ellinger et al., 2011) as an intervention.

Planning. *Statement Five* – The compatibility of Coach and Coachee should be taken into consideration when assigning coaching relationships. For example, if a Coachee does not get along with their manager-as-coach, they should be able to select a different Coach.

Coded as *Compatibility*, statement five draws from Grant's (2014) research that examines how the coaching relationship may affect coaching outcomes as no empirical research (McComb, 2012) currently exists on what characteristics comprise a good match between coach and coachee.

Statement Six – Managers make the best coaches for their direct reports.

Coded as *Direct Reports*, statement six addresses the popularity of managerial coaching or manager-as-coach programs in business because it is seen as a low cost (Ellinger, 1999) way to improve both employee and manager performance.

Statement Seven – Coaches require comprehensive training on how to meet the needs of diverse Coachee personalities.

Coded as *Diverse Coachees*, statement seven acknowledges that workplace learning is rapidly changing (Pace, 2012) due to the rise of younger generations in the workplace. Since coaching is about what the coachee wants and needs, coaches must be prepared to tailor their coaching approach to the individual.

Statement Eight – Coachees should be able to opt out of participating in coaching programs.

Coded as *Opt Out*, statement eight draws from Grant and Hartley's (2013) belief that participants should be allowed to self-select out of coaching programs. Forcing an individual to participate will create animosity (Bowles et al., 2007) between the coach and coachee.

Implementing. *Statement Nine* – It is critical for Coaches and Coachees to have a written and agreed upon coaching contract that includes stated goals and clearly outlines the responsibilities of both parties.

Coded as *Coaching Contract*, statement nine was drawn from Tofade's (2010) research that indicated goal setting as a central step to creating a successful coaching relationship.

Statement Ten – Coaches should help Coachees figure out a solution rather than telling them what to do.

Coded as *No Telling*, statement ten was developed under the premise that managers do not develop people (Gilley, Gilley, and Kouiter, 2010) rather they give coachees the tools they need to develop themselves.

Statement Eleven – The method of how a Coach and Coachee connect (e.g. face-to-face versus email) is inconsequential to the intended outcome.

Coded as *Connection Method*, statement eleven acknowledges that the mode of communication (King & Eaton, 1999) for coaching should remain flexible (Murphy et al., 2005) in order to accommodate busy work environments.

Statement Twelve – Coaches should be coached themselves if they are expected to coach others.

Coded as *Coach Coaches*, statement twelve was drawn from a study conducted by Ellinger et al. (2003), which found that managerial coaches often rated their coaching performance higher than the individuals they actively coached. Furthermore, Ellinger (1999) found that managers were not frequently coached themselves despite being asked to coach others.

Evaluating. *Statement Thirteen* – 360 evaluations are the best way to measure a Coach's impact on a Coachee.

Coded as *360 Evaluations*, statement thirteen emerges from the literature, which indicates that 360 degree evaluations (Luthans & Peterson, 2003; Thach, 2002) have become the most widely cited approach to determining return on investment for coaching programs.

Statement Fourteen – Coaching effectiveness needs to be evaluated on a regular basis.

Coded as *Regular Evaluation*, statement fourteen reflects the notion that coaching practices have been widely criticized for its lack of evaluation processes (Grant & Cavanagh,

2007) as little empirical evidence exists on managers' perceptions (Grant, 2010) of the return on investment for adopting workplace coaching.

Statement Fifteen – It is impossible to measure return on investment for coaching intangibles. For example, leadership, sociability, etc.

Coded as *Coaching Intangibles*, statement fifteen recognizes the difficulty in measuring "effectiveness" because there is no guarantee that learning has occurred (Atkinson, 2012) as feedback focuses heavily on self-reflection (Gilley et al., 2010) rather than concrete data.

Statement Sixteen – Coaching programs should be evaluated in terms of whether or not the Coachee met their articulated goal(s). For example, improved management skills should be assessed by looking at improved team performance.

Coded as Articulated Goals, statement sixteen was drawn from the fact that there is no standardized practice (Chung & Gfroerer, 2003) for workplace coaching. As a result, practitioners rely on goal-attainment to measure the effectiveness of coaching.

Findings

The results for this research study are discussed sequentially by research question group. For the purpose of analysis, the groups will be labeled as *general guiding principles*, *planning*, *implementing*, and *evaluating*. By presenting survey results in this fashion, the data will be easier to interpret based on indirect participant conversations.

General guiding principles. There were four items in the section asking about general guiding principles for coaching. They explored the definition, the goals, and the prevailing best practices of coaches should follow while coaching. The panelists reached agreement on three of four statements.

The expert participants agreed that coaching is a not the same thing as mentoring. Participant 1045 said:

mentoring is based on prior experience related to job function or role. Coaching is not based on the coach having had experience similar to that of the coachee. In this sense, mentoring is based on job-specific expertise. The dynamic is that of a "more" experienced person sharing that experience with a "less" experienced person, so the dynamic of partnering and shared learning is generally not evident in mentoring. The coach as co-discoverer and partner is central to coaching. There is no seniority difference between coach and coachee as there is between mentor and mentee. Participant 1025 said:

While both mentoring and coaching are valuable and helpful relationships, they are very different. A mentor shares his/her experience-based expertise in order to help the mentee make progress along a pathway similar to one the mentor has traveled. Meanwhile, a coach draws out the expertise of the coachee to help the coachee make progress along his or her own pathway. While a coach might do 10% mentoring and a mentor might do 10% coaching, they are not the same thing.

According to the expert panelists, this distinction apparently not only matters but is, at least in the minds of the respondents, clearly demarcated. The commentary provided in the survey focused on mentoring being an experience-based relationship whereas coaching did not require any knowledge of the job or related expertise. Coaching is a partnership between coach and coachee so seniority and other hierarchical structures do not exist.

Similarly, participants agreed that coaches do not need to have specific knowledge about a problem in order to help the coachee find an effective solution. This item also reached criterion for agreement in round one, without need for persuasion in subsequent rounds. This seems to suggest that the idea is one widely held among coaches.

Participant 1019 stated that "coaches are experts in the process, not the topic…coaches help to understand the situation so the client [coachee] can make better choices by themselves." Participant 1038 said:

Coaching someone about a problem is about coaching that person to find their own solution. I, as the coach, shouldn't have an opinion on what the solution is and if it will work etc. Coaching in not about fixing a problem, it's about coaching your client/coachee to discover his/her own solutions to the problem, while broadening the scope of understanding and learning about self. The coach is connected to his/her client/coachee - and the client/coachee is connected to his/her problem. Coach is not connected to, nor has a relationship with, the client's problem.

This implies that, according to the expert participants, the coach's job is to help the coachee self-discover a resolution to the problem(s) they face. The solution to the coachee's problems are found within so even though, "coaches can help clients manage their responses to a specific situation" (Participant 1008) the focus is always on the person (i.e. the coachee) and action is ultimately their choice.

Additionally, expert panelists agreed that active listening is important but may not be the most important skill a coach should have. Participant 1028 said, "calling out a single skill as most important distorts the coaching process." Others agreed that "most" was too strong of a word indicating that there are other skills equally as important for coaches to have.

Participant 1025 noted that "while no one skill replaces or stands in for others, I would say active listening and powerful questioning are the twin skills most needed to support clients in creating awareness and designing actions." The majority of open-ended responses to this survey item mentioned that active listening was important but so was the ability to ask the right question (Participant 1002; 1008; 1017; 1020; 1023; 1025; 1028; 1032; 1034; 1035). The

strong consensus around active listening and strategic questioning suggests that coaches' need a targeted skill set that compliments the coaching process.

Summary. What are the general guiding principles for coaching?

The expert panelists generally agree that there is content to master in the practice of coaching in the workplace. They are also clear there is a difference between coaching and mentoring, with the former being mostly focused on knowledge and the latter on relationships. In a workplace program that is intended to improve worker skills, coaching may not be the best approach depending on circumstances. If the goal is to pass down knowledge, mentoring is preferred however if the goal is to assist others with independent problem solving, coaching is the right choice.

Expert participants were also clear that coaches do not need to have specific knowledge about a problem in order to help the coachee find an effective solution. This reflects the agreed upon differences between mentoring and coaching because as previously defined, a mentor has specific knowledge about a situation where as a coach assists others through the process of self-discovery. This means that a coach focuses on the person, not on the problem.

Lastly, expert responses reflected that active listening is an important skill however it may not be the most important coaching skill. Individuals agreed that coaches must have a core skill set to be successful, which indicates that the skills needed are complementary of one another rather than being standalone tools. Strategic questioning was repeatedly brought up as another important skill and it is not possible to ask strong questions if one does not listen first.

Planning. There were four items in the section asking about planning manager-as-coach programs in business settings. They explored prevailing best practices that coaches should follow when outlining the parameters for a new program. The panelists reached agreement on three of four statements.

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The expert participants agreed that compatibility between coach and coachee is important to the coaching relationship. Participant 1019 said, "coaching is strongly based on a relationship level, so it is not possible a quality Coaching without a good relationship between Coach and client."

Participant 1030 said:

assignment generally fails - the relationship is a partnership for exploring what is not yet realized in potential and often resides in a blind spot or invisible way of thinking. The vulnerability required for learning and new choices must have an equal measure of safety that resides in the relationship itself. Being at choice about who to engage with for coaching conversations is optimal for creating trust and intimacy.

Many expert participants also agreed that trust between coach and coachee was crucial to the coaching relationship and that the manager-as-coach model may not be conducive to good coaching practices (Participant 1012) because of an indirect bias that may already exist between manager and employee thus resulting in a lack of trust. Also, if a manager is forced to act as a coach as well, they are violating what the expert panelists believe to be important; choice. Manager-as-coach programs imply that the manager is coaching their direct reports thereby negating the idea that the coachee should have a say in who coaches them.

Similarly, expert panelists agreed that managers do not make the best coaches for their direct reports. Participant 1010 said, managers:

lack the ability to take a step back and put things into perspective when it comes to digging into a coworker's state of mind…managers will tend to focus on hard skills and minimize the importance of soft skills… [which] play a key role in a coaching relationship.
Participant 1038 commented:

some managers may be good coaches, however, I feel strongly that this does not make the manager the best coach for their direct reports. Rather, to the contrary. What can

get in the way of this coaching relationship being effective are - the relationship that is already in place between the manager and the direct report - trust, experiences; manager's preconceived judgments and assumptions of the direct report and vice versa; manager's preconceived notions of what the direct report should/shouldn't do, etc. Coaching is about the client's agenda, not the manager's agenda. The coach's knowledge of the business is irrelevant to the effectiveness of the coaching. Also, direct reports can feel they have no choice but to work with the manager, and have to do what the manager says - difficult to say something if they feel the coaching relationship is not working for the direct report. Coaching is about being open and honest, and exploring at a deep level with the client – [it may be] difficult for a direct report (client) to do this and to feel that anything discovered in the coaching conversation won't be used negatively against him/her.

Expert participants brought up a number of points relevant to the traditional manager/employee relationship. Although some managers can be good coaches, it is difficult for any manager to separate themselves from managerial duties and responsibilities while coaching their direct reports.

Lastly, the vast majority of participants reported that coachees should be able to opt out of participating in coaching programs because "if someone is forced to be coached then they are not part of the process, the process is being done to them" (Participant 1002). Since coaching is about self-regulation, coaching is an opportunity "for learners…to self-develop (Participant 1020). Participants must buy-in to the program, not be forced to go through the motions in order to satisfy employer requirements.

Furthermore, Participant 1020 said:

These are opportunities for learners and people wanting to self-develop...and if some

choose not to then we honour their request. There's nothing worse than having prisoners

in your training program!

Expert panelists felt strongly that coachee's should be able to withdraw from coaching

programs if they do not want to participate because otherwise the process is a waste of time for

both coach and coachee. If someone chooses not engage, they are accepting whatever

consequences the alternative provides.

Summary. What considerations are necessary when planning for the adoption of

manager-as-coach programs in business?

The expert panelists generally agree that there are considerations to take into account

when planning a coaching program in the workplace. They are also clear that compatibility

between coach and coachee is crucial to creating successful coaching environments. Trust is

important to creating meaningful, working relationships between coach and coachee so it is

important that the coachee has a say in who they are coached by.

Expert participants were also clear that managers do not make the best coaches for their

direct reports. Managers may struggle with the idea that they need to be impartial and allow the

coachee to direct the conversation. Also, being able to switch between managerial and

coaching mindsets may be difficult for managers who act as coaches. Respondents agree that

these conflicting roles may hinder the coaching process.

Lastly, expert panelists agree that coachees should be able to opt out of coaching. By

allowing coachees to self-select out, they are making a conscious decision to not participate

thereby indirectly accepting whatever consequences might occur. For example, this may mean

that the coachee cannot be considered for a promotion or accepted into a leadership

development program. Although opportunities can be afforded to individual's they must be able

to choose their actions otherwise the coaching process could be greatly diminished.

Implementing. There were four items in the section asking about implementing manager-as-coach programs in business settings. They explored prevailing best practices that coaches should follow when instituting a coaching program. The panelists reached agreement on three of four statements.

Expert participants agreed that it is critical for coaches and coachees to have a written contract that indicates goals and outlines each party's responsibilities. Respondents generally felt that it is "important to have… [a contract] to cover the manager/employee relationship… [which should outline] confidentiality, boundaries, roles, client's agenda, client's goals, etc." (Participant 1038) as it will help establish clear guidelines for how the manager-as-coach and employee-as-coachee establish guidelines for interaction. Participant 1008 emphasized that a contract "is an important step to creating the confidentiality and boundaries of the coach-coachee relationship." Panelists believed that a coaching contract ensures the coach and coachee are on the same page and understand what to expect moving forward.

In addition, expert panelists strongly agreed that coaches should help coachees find a solution rather than telling them what to do. Participant 1002 said that "coaches should not give advice…if you tell them what to do, they [will] not learn". According to many respondents, this is the essence of coaching (Participant 1008; 1010; 1012; 1021; 1026; 1028; 1029; 1031; 1036; 1042) and, as previously noted, what separates coaching from mentoring.

Assisting people in the discovery of a solution supports individual buy-in because the coachee inevitably came to their own conclusions. If someone comes up with an idea (Participant 1023), they are going to be more willing to follow through on necessary actions than if they were simply told to do something.

Finally, 100% of expert participants reported that coaches should be coached if they are expected to coach others. Consensus was achieved after the first round of data collection indicating that this statement is not only important, it is a distinguishing characteristic of

successful coaching programs. Participant 1025 said, "managers who coach… [do not necessarily have] a professional coaching skill set. By being coached, [managers] are exposed…to quality coaching that expands their own awareness and competence." In other words, "to be an effective coach, you yourself need to be coachable" (Participant 1036) and fully understand what it means to be a good coach.

   Summary. What considerations are necessary when implementing manager-as-coach programs in business?

   The expert panelists generally agree that certain considerations need to be taken into account when implementing a coaching program in the workplace. They agree that a coaching contract is crucial to the execution of successful coaching relationships. Contracts allow the coach and coachee to set standards, expectations, and boundaries upfront, giving them guidelines to follow.

   Experts also agreed that the coach should not tell a coachee what to do rather they should help them discover the answer for themselves. This was reported by many to be the essence of coaching and what separates coaching from mentoring. If a manager tells someone what to do, they are managing, not coaching.

   Lastly, experts reached 100% consensus that coaches should be coached if they are being asked to coach others. Managers may have difficulty extracting themselves from managerial duties so it is important that they receive on-going education about what it means to be a coach. One way to accomplish this is to have coaches participate in the act of coaching by being the coachee. This role reversal will give coaches the chance to experience effective coaching first-hand so they may incorporate positive experiences into their own coaching practices.

   Evaluating. There were four items in the section asking about evaluating manager-as-coach programs in business settings. They explored how coaching programs can be best

evaluated in order to demonstrate effectiveness. The panelists reached agreement on three of four statements.

Expert participants agreed that 360 Evaluations were not the best way to measure a coach's impact on a coachee. Participant 1008 said, "there are multiple assessment tools, including interviews and conversations, besides the business metrics of an organization" (Participant 1008). Others agreed that " 360s are so dependent on personality, office politics and other factors…[that] they are not a strong indicator of what is going on within the client" (Participant 1034). In other words, coaching is about the individual, not necessarily how others perceive the individual.

Participant 1038 added that 360s are "not THE best way, [rather] it is one way that should be used in conjunction with a self-assessment [or] feedback from the client." Expert participants agreed that evaluated programs using only 360 evaluations can skew the intent of the coaching relationship. Multiple evaluation types can be combined to get a better picture of what is actually occurring.

Similarly, expert panelists agreed during round one and with no dialogue that coaching effectiveness needs to be evaluated on a regular basis. Participant 1045 said that regular evaluation "helps ensure the coach is remaining attuned to the coachee's needs."

In addition, Participant 1032 suggested that regular evaluation should happen as a part of the coaching relationship meaning that no formal evaluation needs to take place. Coaching effectiveness can be simply measured by coachee satisfaction. If the coach and coachee have regular dialog about what is working, where the coach is at with their personal progress, and whether their original goals are still viable, it should be sufficient enough.

Lastly, expert panelists agreed that it is possible to measure return on investment for coaching intangibles however in general, respondents thought it would be challenging.

Participant 1036 said "there are lots of ways to measure…impact [such as]…surveys on climate and culture, absenteeism, productivity, etc."

Participant 1017 said:

there are observable impacts of improvement in those factors. If at the start of the engagement the stakeholders, coach and coachee agree on a measurable impact through improvement or growth in those areas, then there is a way to measure a return.

Although coaching intangibles can be measured, it was suggested that these qualities must be correlated with specific behaviors or goals to set a benchmark for determining whether change occurred.

Summary. What considerations are necessary when evaluating manager-as-coach programs in business?

The expert panelists generally agree that certain considerations need to be taken into account when evaluating a coaching program in the workplace. They also agree that 360 evaluations are not the best way to measure a coach's impact on the coachee. 360 evaluations can be deceiving if the participants are not told what to evaluate the coachee for. There is also the concern that office politics may come into play whereby someone purposefully skews the results. Lastly, 360 evaluations that examine the coach's impact on the coachee implies that it is the coach's job to change the coachee. Expert panelists previously stated that coaching should be about the coachee, not the coach.

Experts also agreed that coaching effectiveness should be evaluated on a regular basis however this does not need to be done in a formal manner. Successful coaching is subjective to the individual being coached and so their general level of satisfaction is enough to determine whether the coaching process is working. Satisfaction should be regularly evaluated through informal conversations between coach and coachee.

Finally, expert participants agreed that although it may be difficult, it is possible to measure coaching intangibles. As previously stated, coaching contracts created at the beginning of the coaching process may provide a baseline for what needs to be evaluated. For example, if it is the coachee's goal is to be better at working with clients, they can measure return on investment through increased sales or repeat business.

Chapter five will discuss wider implications for manager-as-coach programs in business and how the results of this study may be applicable to real-world settings.

Chapter Five: Discussion of Findings

As noted throughout this study, workplace coaching has gained popularity over the past twenty-five years as a solution to individual and organizational dysfunction (Green et al., 2006). Empirical studies (Gilley et al., 2010) have grossly lagged behind practitioner-based literature resulting in a highly unregulated profession. Although associations such as the International Coaching Federation have made strides to define coaching standards, successful coaching practices still primarily remain as anecdotal experiences. This chapter will summarize the research findings and discuss conflicting conclusions drawn from the literature base and Delphi participant responses.

Review of Findings

This Delphi study answered four research questions:

- What are the *general guiding principles* for coaching?

- What considerations are necessary when *planning* for the adoption of manager-as-coach programs in business?

- What considerations are necessary when *implementing* manager-as-coach programs in business?

- What considerations are necessary when *evaluating* manager-as-coach programs in business?

General guiding principles. Based on the open-ended responses provided by expert survey respondents, it is concluded that the general guiding principles for coaching are as follows:

- Coaches and mentors do not have the same basic skill sets

- Coaches do not need to have specific knowledge about a problem in order to help the coachee find an effective solution

- Active listening is not the most important skill a coach should have

Planning. Based on the open-ended responses provided by expert survey respondents, it has been concluded that considerations necessary for planning the adoption of manager-as-coach programs are as follows:

- The compatibility of coach and coachee should be taken into consideration when assigning coaching relationships

- Managers do not make the best coaches for their direct reports

- Coachees should be able to opt out of participating in coaching programs

Implementing. Based on the open-ended responses provided by expert survey respondents, it has been concluded that considerations necessary for implementing manager-as-coach programs are as follows:

- It is critical for coaches and coachees to have a written and agreed upon coaching contract that includes stated goals and clearly outlines the responsibilities of both parties

- Coaches should help coachees figure out a solution rather than telling them what to do

- Coaches should be coached themselves if they are expected to coach others

Evaluating. Based on the open-ended responses provided by expert survey respondents, it has been concluded that considerations necessary for evaluating manager-as-coach programs are as follows:

- 360 evaluations are not the best way to measure a coach's impact on a coachee

- Coaching effectiveness needs to be evaluated on a regular basis

- It is possible to measure return on investment for coaching intangibles

Limitations of Theory in Coaching

Established by the three primary learning theories (behavioral, cognitive, social) examined in Chapter Two of this study and the Delphi survey results analyzed in Chapter Four, the researcher would propose that no single approach to learning can define general skill sets and best practices among coaching experts. Although all three learning theories have potential applications in regard to the way in which coaches' approach coaching in the workplace, this study revealed limitations to each theory as it applies to workplace coaching. The following section examines the limits of behavior, cognitive, and social theories as they apply to manager-as-coach programs.

Limits of behavioral theory in coaching. Behavioral learning theory may only work when the manager-as-coach is trying to shape specific behaviors. Some expert respondents felt that behavior-based coaching was not effective because it places "ownership of the outcomes on the coaches, rather than the coachees" (Participant 1025). This means that if a coachee is asked to alter a behavior based on what the coach perceives as important, the blame will reside with the coach if the coachee fails.

In this case, there is no buy-in from the coachee to change their actions if they do not value the outcome. For example, if a manager-as-coach wants to groom one of their coachees for promotion, they may assign them specific tasks that would prepare the coachee for the promotion itself. However, if the coachee does not want to be promoted they will have little incentive to follow through with the coach's advice. In other words, administrative controls can shape individual behaviors but not individual beliefs.

In addition, it is clear from the Delphi survey results that telling someone what to do is not coaching. As Participant 1020 suggests, coaching is about giving coachees an opportunity to learn how to solve problems for themselves. If a manager-as-coach is telling the coachee what to do because the coachee wants a promotion, they are essentially not engaging in the art

of coaching. Coaching is about helping the coachee move toward their own defined goals, and if you "tell them what to do, they do not learn" (Participant 1002).

Limits of cognitive theory in coaching. This study briefly explored the interpersonal dynamics between coaching and mentoring and concluded that differences emerge when looking at the relationship itself. The coach/coachee relationship needs to be one that inspires changes in a person's thinking and acting whereas the mentor/mentee relationship provides more of a guided path based on their mentor's previous experiences. This means that a coach must manage the emotional climate and find a balance between risk and trust in order to give the coachee the confidence they need to move forward. In order to do this, coaches must use a variety of elicitation skills that will stimulate others to think differently.

One aspect of how cognitive learning theory does not apply to coaching is through the direct transfer of knowledge. As continually recognized, a coach's job is to help the coachee draw their own conclusions on how to pursue or react to any given situation. From this perspective, coaches facilitate the process (Participant 1031), but do not necessarily need to know much about the topic at hand. This aspect of coaching negates the underlying theory of knowledge transfer because it does not rely on telling rather it emphasizes the coachee's ability to draw conclusions through supported questioning.

Limits of social theory in coaching. As indicated in chapter two, Vygotsky (1980) laid the foundation for social learning theory by suggesting that thought is formed by a person's lived experiences. In this respect, the practice of coaching can be directly related to socio-cultural influences because it is the coach's job to provide the coachee with assistance in learning and development. Coaches can help coachees frame their goals through questioning in a way that support share discovery.

A coach's job is to question the coachee's actions by assisting them in the process of reflection. As many survey participants noted, active listening is an important coaching skill but

so is "the ability to ask the right question" (Participant 1002). In this regard, coaches must be

engaged in the learning process as well because "the better educated you are [the] better able

you may be to attend to the agenda of the [coachee]" (Participant 1032). In this regard, a

canned approach to coaching is not sufficient because it does not take into account the diverse

needs of the individual nor does it support learning communities. As a result, survey

participants have concluded that coaches should be coached themselves if they are expected to

coach others.

Suggestions for Future Research

Among the many conclusions drawn from this study, it is evident that future research on

the topic of coaching warrants more attention from scholars. The topic of coaching allows the

researcher flexibility to focus on a single coaching type (e.g. manager-as-coach, peer coaching,

etc.) or to focus on the field of coaching as a whole. Regardless of the proposed framework, the

researcher suggests that basic coaching guidelines, practices, and processes would benefit

from further investigation.

The statements that did not reach agreement in this study are suggested to be a starting

point for future research studies. For example, a study that attempts to define general guiding

principles for coach training programs would allow for some consensus and consistency around

what needs to be taught in coaching academies.

Another proposed area for future research could focus on how technology assists in or

detracts from the coaching process. In this study, it was not possible to conclude whether the

method of communication between coach and coachee had an impact on coaching outcomes.

As a result, the researcher proposes that it would be important to look at how technology

influences the quality of coaching programs.

Similarly, it is apparent that more research needs to be devoted to defining

measurements for coaching success. Coaching literature heavily relies on pre-existing

assessment tools such as 360 degree evaluations. Very few articles offer alternatives to standard measurements, which were not necessarily designed to have an application in the coaching profession. Coaching is about the individual's goals therefore an assessment tool that caters specifically to the unique needs of this practice would provide structure to how coaching is best evaluated in organizations.

One last suggestion for future research was not born from this coaching study rather it was derived from a recent article published by Forbes (Matuson, 2016). This article indicates that coaching should not last forever rather it should be time bound. Manager-as-coach programs suggest that coaching is an on-going process or cyclical in nature.

For example, the Catalytic Coaching model (see page 47) works in a cyclical fashion where coaches engage in coaching instead of performance reviews. Each year, coachees are told to self-reflect on their performance and goals and coaches are expected to set development recommendations for their coachees based on the self-reflection. As determined by this study, this model is not coaching and as indicated by Matuson (2016) it does not subscribe to the idea that coaching has a beginning and an end. For this reason, the researcher suggests that future research on advertised coaching models be compared for differences and similarities which should include timeframes for coaching to occur.

Implications for the Workplace

Based on practitioner-based and empirical literature reviews as well as the responses collected from expert participants in this study, the researcher suggests that manager-as-coach programs are only functional in environments where coaches are coached (i.e. they receive continuing education through being coached themselves) and there is an acute understanding of manager-as-coach programs versus manager-as-mentor programs. That is, managers need to understand when it is appropriate to coach, when it is appropriate to mentor, and when it is appropriate to manage.

Participant 1025 noted that "the reason managers don't make the BEST coaches is that they (rightly so) have an agenda for the direct report. Managers manage resources toward an effective end, and direct reports are resources in this sense." This means that managers may have ulterior motives driving their conversation with their direct reports. In this sense, most managers cannot fundamentally be good coaches because they have conflicting priorities, which are aimed at what is best for the business, not necessarily what is best for the coachee.

Similarly, managers may not be able to fully separate themselves from preconceived biases against certain employees; a huge issue because coaches per the results of this study, they must be non-judgmental to be effective. Although it is recognized that some managers may be able to act as a coach in addition to their managerial duties, not everyone can stop being the "boss." For example, a manager/coach can help people think through issues but they cannot necessarily separate the issue from employee accountabilities. As a result, it is important to understand the limits that manager-as-coach programs have in the workplace.

The researcher believes that the current state of workplace coaching focuses too much on the creation of programs rather than looking at the actual needs of employees. The idea of a manager-as-coach program appeals to many companies because it has the potential to confront issues and opens up dialog between a manager and their direct reports. Although increased communication is positive and in many cases, the best tool for assessing need, coaching is not a one-size-fits-all approach to solve workplace dilemmas.

Coaching does however provide a proven method for assisting others in clarifying and working towards their own goals. The key here is that coaching must be asked for, not forced upon. You cannot force someone to want to work on self-improvement if they are not willing to put forth the effort to take action. In fact, the statement Opt Out received a 93% agreement rating among expert participants. Participant 1015 used a good analogy when explaining the

reasoning for letting someone voluntarily opt out of coaching programs; "in some way coaching is like going on a date, if I don't want to be there or vice versa, it is not fun for either party."

Coaching systems do not need to be expensive and many times companies can utilize resources already available to them. Sustainable change should start small and focus on what is already happening in the organization. For example, it would make sense to focus on developing natural mentoring relationships that may already exist within the workplace. The researcher believes that workplace coaching is best left to individuals who are impartial to the objectives of the organization therefore an internally designated coach or external coach contractor may be the best way to incorporate a coaching program into business.

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APPENDIX A

Notice of Approval for Human Research

Date: April 08, 2016

Protocol Investigator Name: Katie Frazier

Protocol #: 16-03-225

Project Title: Planning, Implementing, and Evaluating Manager-as-Coach Programs in Business:

A Delphi Study

School: Graduate School of Education and Psychology

Dear Katie Frazier:

Thank you for submitting your application for exempt review to Pepperdine University's Institutional Review Board (IRB). We appreciate the work you have done on your proposal. The IRB has reviewed your submitted IRB application and all ancillary materials. Upon review, the IRB has determined that the above entitled project meets the requirements for exemption under the federal regulations 45 CFR 46.101 that govern the protections of human subjects.

Your research must be conducted according to the proposal that was submitted to the IRB. If changes to the approved protocol occur, a revised protocol must be reviewed and approved by the IRB before implementation. For any proposed changes in your research protocol, please submit an amendment to the IRB. Since your study falls under exemption, there is no requirement for continuing IRB review of your project. Please be aware that changes to your protocol may prevent the research from qualifying for exemption from 45 CFR 46.101 and require submission of a new IRB application or other materials to the IRB.

A goal of the IRB is to prevent negative occurrences during any research study. However, despite the best intent, unforeseen circumstances or events may arise during the research. If an unexpected situation or adverse event happens during your investigation, please notify the IRB as soon as possible. We will ask for a complete written explanation of the event and your written response. Other actions also may be required depending on the nature of the event. Details regarding the timeframe in which adverse events must be reported to the IRB and documenting the adverse event can be found in the *Pepperdine University Protection of Human Participants in Research: Policies and Procedures Manual* at community.pepperdine.edu/irb.

Please refer to the protocol number denoted above in all communication or correspondence

related to your application and this approval. Should you have additional questions or require clarification of the contents of this letter, please contact the IRB Office. On behalf of the IRB, I wish you success in this scholarly pursuit.

Sincerely,

Judy Ho, Ph.D., IRB Chairperson

cc: Dr. Lee Kats, Vice Provost for Research and Strategic Initiatives

Mr. Brett Leach, Regulatory Affairs Specialist

APPENDIX B

Script for Participant Solicitation – LinkedIn

Attention Coaches

My name is Katie and I am a doctoral candidate at Pepperdine University researching general coaching guidelines as well as the planning, implementation, and evaluation of manager-as-coach programs in business. I am conducting research using the Delphi methodology, which means that I need a panel of adult volunteers who are experts in the field of coaching in order to complete this study.

All participants will receive an executive summary of my findings. If you are interested in participating, please email me at Katie.Frazier@pepperdine.edu and I will provide you with additional information. The identities of all participants will remain strictly confidential.

Thank you for your consideration.

- Katie Frazier

APPENDIX C

Email Script for Participant Solicitation – International Coaching Federation

Coaches -

My name is Katie and I am a doctoral candidate at Pepperdine University (http://gsep.pepperdine.edu/) researching general coaching guidelines as well as the planning, implementation, and evaluation of manager-as-coach programs in business.

I am conducting research using the Delphi methodology, which means that I need a panel of adult volunteers who are experts in the field of coaching in order to complete this study. I have attached an informational document that explains the purpose of this study, your role, research procedures, and other pertinent details. The first survey round is expected to begin April 24th.

All participants will receive an executive summary of my findings. If you are interested in participating or know someone who may be interested in participating, please reply to this email or contact me at @pepperdine.edu. The identities of all participants will remain strictly confidential.

Thank you for your time and I hope you will consider taking part in this research study.

-Katie Frazier, M.Ed.

Principle Investigator
Pepperdine University

APPENDIX D

Response Email to Volunteer Participants

Thank you very much for your willingness to participate in this research study. I am grateful for your time and dedication to furthering research in the coaching community. The first survey round will begin April 24th and I will send additional instructions at that time.

Please do not hesitate to reach out if I can answer questions otherwise I will be in contact again soon.

-Katie Frazier

Principle Investigator
Pepperdine University

APPENDIX E

Delphi Survey Email – Round One

Thank you again for your willingness to participate in this research study. I would not be able to fulfill my doctoral requirements without the help of generous experts like you. The timeline for completion of the secure online surveys is as follows:

- Survey Round 1 Open: April 24 – May 8
- Survey Round 2 Open: May 15 – May 29
- Survey Round 3 (if needed) Open: June 5 – June 19

The beginning of the survey during Round 1 will request you to provide electronic consent (i.e. agree to the terms of the study); consent will be assumed during sequential survey rounds. Note that you must complete the survey in-full as your responses cannot be saved and returned to at a later time; they survey should take approximately 30 minutes to complete.

When prompted, please enter the unique participant identification number listed below. Feel free to reach out to myself, the Principle Investigator, if you have questions.

DETAILS

- Participant ID #: xxxx
- Survey Round 1
   Link: https://pepperdinegsep.az1.qualtrics.com/SE/?SID=SV_6DMpYk25B9WEk4t

Sincerely,

Katie Frazier, M.Ed.
Principle Investigator

Pepperdine University
Graduate School of Education & Psychology

Informed Consent

PEPPERDINE UNIVERSITY
GRADUATE SCHOOL OF EDUCATION & PSYCHOLOGY

INFORMATION/FACTS SHEET FOR EXEMPT RESEARCH

Planning, Implementing, and Evaluating Manager-as-Coach Programs in Business: A Delphi
Study

You are invited to participate in a research study conducted by Katie Frazier, M.Ed. and Linda
Polin, Ph.D.at Pepperdine University, because you have identified as a coach practitioner,
coach trainer, or human resources professional and have coached at least one person in a
professional business environment. Your participation is voluntary. You should read the
information below, and ask questions about anything that you do not understand, before
deciding whether to participate. Please take as much time as you need to read this document.
You may also decide to discuss participation with your family or friends.

PURPOSE OF THE STUDY

The purpose of this research study is to obtain expert agreement on general coaching guiding
principles as well as to identify best practices in planning, implementing, and evaluating manager-
as-coach programs in business.

PARTICIPANT INVOLVEMENT

This study uses the Delphi method to collect data from experts who elect to participate. The
Delphi methodology asks experts a series of questions using a Likert survey scale intended to
spark discussion and in some cases, achieve agreement regarding general coaching guiding
principles as well as identifying best practices in planning, implementing, and evaluating manager-
as-coach programs in business. Each respondent must have at least coached or trained coaches
one time to participate.

STUDY PROCEDURES: The Delphi method will employ three rounds of survey questions using
a five-point Likert scale. The scale will include the options of strongly disagree, disagree, agree,
strongly agree, and no opinion. In addition to rating each question, participants will be asked to
explain their choice in a comment box. After the initial iteration, the principal investigator will
compile participant answers and revise the survey to spur further expert discussion, and
achieve clarification as needed. A maximum of three rounds will be executed with revised
survey questions in rounds two and three. Each iteration will take participants between fifteen
and thirty minutes to complete.

RISKS AND BENEFITS: This study poses no foreseeable risks to participants other than
boredom. The benefits of participating are two-fold: (a) The data may help other businesses
understand general coaching guiding principles, and better plan, implement, and evaluate

manager-as-coach programs; (b) all participants will receive an executive summary describing the survey results. This research study has been reviewed by and adheres to Pepperdine University's Institutional Review Board procedures to conduct human subjects' research.

PARTICIPATION AND WITHDRAWAL

Your participation is voluntary. Your refusal to participate will involve no penalty or loss of benefits to which you are otherwise entitled. You may withdraw your consent at any time and discontinue participation without penalty. You are not waiving any legal claims, rights, or remedies because of your participation in this research study. To withdraw from this study, please contact the Principal Investigator.

ALTERNATIVES TO FULL PARTICIPATION

The alternative to participation in the study is not participating.

CONFIDENTIALITY

I will keep your records for this study confidential as far as permitted by law. However, if I am required to do so by law, I may be required to disclose information collected about you. Examples of the types of issues that would require me to break confidentiality are if you tell me about instances of child abuse and elder abuse. Pepperdine's University's Human Subjects Protection Program (HSPP) may also access the data collected. The HSPP occasionally reviews and monitors research studies to protect the rights and welfare of research subjects.

The data will be stored on a password protected computer in the principal investigators place of residence. The data will be stored for a minimum of three years. Your contact information (i.e. email address) will be coded and all participants will be assigned an identification number. Sequential survey iterations may use excerpts from respondent's open-ended answers however it will be presented in a format that does not personally identify the participant.

INVESTIGATOR'S CONTACT INFORMATION

I understand that the investigator is willing to answer any inquiries I may have concerning the research herein described. I understand that I may contact Katie Frazier (@pepperdine.edu) or Linda Polin (@pepperdine.edu) if I have any other questions or concerns about this research.

RIGHTS OF RESEARCH PARTICIPANT – IRB CONTACT INFORMATION

If you have questions, concerns or complaints about your rights as a research participant or research in general please contact Dr. Judy Ho, Chairperson of the Graduate & Professional Schools Institutional Review Board at Pepperdine University 6100 Center Drive Suite 500 Los Angeles, CA 90045, 310-568-5753 or gpsirb@pepperdine.edu.

ELECTRONIC CONSENT

By clicking on the link to the survey questions, you are acknowledging you have read the study information. You also understand that you may end your participation at any time, for any

reason without penalty. <u>If you would like documentation of your participation in this research you may print a copy of this form.</u>

I Agree to Participate

I Do Not Wish to Participate

Delphi Survey – Round One

PEPPERDINE UNIVERSITY GRADUATE SCHOOL OF EDUCATION & PSYCHOLOGY

Planning, Implementing, and Evaluating Manager-as-Coach Programs in Business:
A Delphi Study

Please enter your participant identification code:

Demographic Information

The demographic information being requested below is to assist in the analysis of the data collected.

P1Q1) What gender do you most identify with?

P1Q2) Current job title

P1Q3) How many years have you formally been a coach, trainer of coaches, or human resources professional?

Section I: General Coaching Guiding Principles

In this section, you will be asked to consider the various guiding principles Coaches need to follow in order to be successful in the coaching process.

P2Q1) Coaches should have the same basic skill set as mentors. For example, there is no difference between how someone approaches coaching versus mentoring.

Strongly Disagree   Disagree   Agree   Strongly Agree   No Opinion

Please explain your choice above:

P2Q2) Coaches do not need to have specific knowledge about a problem in order to help the Coachee find an effective solution. For example, the Coach does not need to have the same professional expertise as the Coachee.

Strongly Disagree   Disagree   Agree   Strongly Agree   No Opinion

Please explain your choice above:

P2Q3) Active listening is the most important skill a Coach should have.

Strongly Disagree   Disagree   Agree   Strongly Agree   No Opinion

Please explain your choice above:

P2Q4) Coaches must be trained to recognize signs of mental illness so they can refer Coachees to external resources if needed. For example, Coaches need to be aware of their limitations when coaching others.

Strongly Disagree   Disagree   Agree   Strongly Agree   No Opinion

Please explain your choice above:

Section II: Planning a Coaching Program

In this section, please consider what needs to be taken into account when planning a manager-as-coach program in business. Manager-as-coach programs require managers to both supervise employees AND act as their coach.

P3Q1) The compatibility of Coach and Coachee should be taken into consideration when assigning coaching relationships. For example, if a Coachee does not get along with their manager-as-coach, they should be able to select a different coach.

Strongly Disagree   Disagree   Agree   Strongly Agree   No Opinion

Please explain your choice above:

P3Q2) Managers make the best coaches for their oversights.

Strongly Disagree   Disagree   Agree   Strongly Agree   No Opinion

Please explain your choice above:

P3Q3) Coaches require comprehensive training on how to meet the needs of diverse Coachee personalities.

Strongly Disagree   Disagree   Agree   Strongly Agree   No Opinion

Please explain your choice above:

P3Q4) Coachees should be able to opt out of participating in coaching programs.

Strongly Disagree   Disagree   Agree   Strongly Agree   No Opinion

Please explain your choice above:

Section III: Implementing a Coaching Program

In this section, please consider what needs to be taken into account when implementing a manager-as-coach program in business. Manager-as-coach programs require managers to both supervise employees AND act as their coach.

P4Q1) It is critical for Coaches and Coachees to have a written and agreed upon coaching contract that includes stated goals and clearly outlines the responsibilities of both parties.

Strongly Disagree   Disagree   Agree   Strongly Agree   No Opinion

Please explain your choice above:

P4Q2) Coaches should help Coachees figure out a solution rather than telling them what to do.

Strongly Disagree   Disagree   Agree   Strongly Agree   No Opinion

Please explain your choice above:

P4Q3) The method of how a Coach and Coachee connect (for example, face-to-face versus email) is inconsequential to the intended outcome.

Strongly Disagree   Disagree   Agree   Strongly Agree   No Opinion

Please explain your choice above:

P4Q4) Coaches should be coached themselves if they are expected to coach others.

Strongly Disagree   Disagree   Agree   Strongly Agree   No Opinion

Please explain your choice above:

Section IV: Evaluating a Coaching Program

In this section, please consider what needs to be taken into account when evaluating a manager-as-coach program in business. Manager-as-coach programs require managers to both supervise employees AND act as their coach.

P5Q1) 360 degree evaluations are the best way to measure a Coach's impact on a Coachee. For example, before and after 360 degree evaluations are the best way to measure how much a Coachee has changed due to the coaching intervention.

Strongly Disagree   Disagree   Agree   Strongly Agree   No Opinion

Please explain your choice above:

P5Q2) Coaching effectiveness needs to be evaluated on a regular basis. For example, the effectiveness of coaching programs should be evaluated more than one time per year.

Strongly Disagree   Disagree   Agree   Strongly Agree   No Opinion

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Please explain your choice above:

P5Q3) It is possible to measure return on investment for coaching intangibles. For example, leadership, sociability, etc.

Strongly Disagree   Disagree   Agree   Strongly Agree   No Opinion

Please explain your choice above:

P5Q4) Coaching programs should be evaluated in terms of whether the Coachee met their articulated goal(s). For example, improved management skills should be assessed by looking at improved team performance.

Strongly Disagree   Disagree   Agree   Strongly Agree   No Opinion

Please explain your choice above:

APPENDIX H

Delphi Survey Email – Round Two

Thank you for participating in this research study. I genuinely enjoyed reading your comments and found them to be extremely powerful; I am grateful for your input. The timeline for completion of survey rounds 2 and 3 is as follows:

- Survey Round 2 Open: May 15 – May 29
- Survey Round 3 (if needed) Open: June 5 – June 19

Please remember that you must complete the survey in-full as your responses cannot be saved and returned to at a later time; they survey should take approximately 30 minutes to complete. When prompted, please enter the unique participant identification number listed below.

DETAILS

- Participant ID #: xxxx
- Survey Round
  Link: https://pepperdinegsep.az1.qualtrics.com/SE/?SID=SV_eRoo7LmwXIbQVKt

Sincerely,

Katie Frazier, M.Ed.
Principle Investigator

Pepperdine University
Graduate School of Education & Psychology

Delphi Survey – Round Two

PEPPERDINE UNIVERSITY GRADUATE SCHOOL OF EDUCATION & PSYCHOLOGY

Planning, Implementing, and Evaluating Manager-as-Coach Programs in Business:
A Delphi Study

Thank you for participating in round one of this research study. Some of the statements were retired after reaching an 80% agreement level. For your information, retired items are listed at the end of the survey along with representative quotes. The first section of this survey contains items for which there is still no clear majority response. Before answering questions in survey round two, please consider the representative quotes from comments made in the first round pertaining to these items.

Please enter your participant identification code:

SECTION I: GENERAL COACHING SKILL SET

In this section, you will be asked to consider the various skills Coaches need to have in order to be successful in the coaching process.

> P2Q4) Coaches must be trained to recognize signs of mental illness so they can refer Coachees to external resources if needed.

> Strongly Disagree   Disagree   Agree   Strongly Agree   No Opinion

Representative remarks from respondents who selected strongly disagree/disagree include:

"Common sense is adequate to recognize when a client presents issues that the coach is not qualified to work with. Whether those are legal, medical, or involving some other specialty."

"A coach needs to understand the limits of their capabilities/ethical [boundaries] and to recognize when they are outside the scope of their capabilities. While mental illness (drug use, alcohol abuse, etc.) is outside the capability/boundary of coaches, there are avenues other than training for the coach to understand the limits of their capabilities and ethical boundaries."

Representative remarks from respondents who selected strongly agree/agree include:

"Personally I believe that all coach training should include how to recognize when coaching is not the answer and how to recommend an alternative therapeutic option. I have done this with some clients as counselling and/or psychotherapy was a more effective route for them."

"This is an absolute must for coaches. They need not be trained psychologists, but they should be informed about the clear warning signs of depression, substance and other abuse, and other common problems."

Please explain your choice above given the rationale provided in round 1:

SECTION II: PLANNING A COACHING PROGRAM

In this section, please consider what needs to be taken into account when planning a manager-as-coach program in business. Manager-as-coach programs require managers to both supervise employees AND act as their coach.

P3Q2) Managers make the best coaches for their direct reports.

Strongly Disagree   Disagree   Agree   Strongly Agree   No Opinion

There were too many no opinion responses to retire this question. Representative remarks from respondents who selected strongly disagree/disagree include:

"I believe that managers can understand business situations clearly but lack the ability to take a step back and put things into perspective when it comes to digging into a coworker's state of mind. Indeed, managers will tend to focus on hard skills and minimize the importance of soft skills that are part of each individual and play a key role in a coaching relationship."

"Coaching is about the client's agenda. As a manager, the business agenda comes first. It is a clear conflict of interest."

Please explain your choice above:

P3Q3) Coaches require comprehensive training on how to meet the needs of diverse Coachee personalities.

Strongly Disagree   Disagree   Agree   Strongly Agree   No Opinion

Representative remarks from respondents who selected strongly disagree/disagree include:

"Coaching is a process that works for many kinds of personalities. No need to become a personality expert."

"Coaching relationship should be natural. Although the coaches should be flexible and able to adapt their styles according to the coachee personalities it is better if this comes naturally."

Representative remarks from respondents who selected strongly agree/agree include:

"Understanding diversity is a key requirement for coaches and managers. Not only personalities, but also multicultural, gender, age, work styles, and other diversity aspects."

"Many people call themselves coaching who have not been trained in core competencies of coaching. A comprehensive training program provides evidence that the coach has been equipped with the tools and skills needed to provide the best service to their clients."

Please explain your choice above:

SECTION III: IMPLEMENTING A COACHING PROGRAM

In this section, please consider what needs to be taken into account when implementing a manager-as-coach program in business. Manager-as-coach programs require managers to both supervise employees AND act as their coach.

> P4Q1) It is critical for Coaches and Coachees to have a written and agreed upon coaching contract that includes stated goals and clearly outlines the responsibilities of both parties.
>
> Strongly Disagree   Disagree   Agree   Strongly Agree   No Opinion

Representative remarks from respondents who selected strongly disagree/disagree include:

"I believe a leader can use coaching skills in their style of leadership without a formal written agreement. The written agreement is only for formal internal or external coaching arrangements."

"I think this line of question is confusing the issue. Manager-as-coach programs are training managers in a skill set to use in leading their employees. The roles and responsibilities aren't subject to a separate contract for the coaching part of the manager/employee relationship."

Representative remarks from respondents who selected strongly agree/agree include:

"That's a very important competence. That sets the basis for the relationship."

"This is an important step to create the confidentiality and boundaries of the coach-coachee relationship."

Please explain your choice above:

> P4Q3) The method of how a Coach and Coachee connect (e.g. face-to-face versus email) is inconsequential to the intended outcome.
>
> Strongly Disagree   Disagree   Agree   Strongly Agree   No Opinion

Representative remarks from respondents who selected strongly disagree/disagree include:

"I believe the best coaching occurs in real-time -- either in person or via phone/video conferencing. Asynchronous communication has severe limitations for spurring creativity, brainstorming, problem solving, and practicing active listening."

"It could be irrelevant, but often isn't. Some people find face-to-face daunting and skype or phone may be a better option. Email is too impersonal (in my opinion) and leaves too much opportunity for misunderstanding!"

Representative remarks from respondents who selected strongly agree/agree include:

"Email, skype, phone, in person, etc. all work. What is most important is the relationship between the manager/coach and the coachee, and the skills and competence of the manager/coach."

"Preferences for learning and discovery that builds courage for taking risks to behave and in new ways is important to consider in choosing the way to engage. Blended approaches often work quite effectively so that the choice is negotiated based upon the client's sense of what supports learning best."

Please explain your choice above:

SECTION IV: EVALUATING A COACHING PROGRAM

In this section, please consider what needs to be taken into account when evaluating a manager-as-coach program in business. Manager-as-coach programs require managers to both supervise employees AND act as their coach.

> P5Q1) 360 evaluations are the best way to measure a Coach's impact on a Coachee.

> Strongly Disagree   Disagree   Agree   Strongly Agree   No Opinion

Representative remarks from respondents who selected strongly disagree/disagree include:

"There are multiple assessment tools, including interviews and conversations, besides the business metrics of an organization."

"360s are so dependent on personality, office politics and other factors. They are not a strong indicator of what is going on within the client."

Representative remarks from respondents who selected strongly agree/agree include:

"This is a good non-threatening way to gain honest feedback. However, how the feedback is used is most important to the effectiveness of the evaluations and its intent."

"Two parts to this answer. For a client/coachee to be recognized as changing, others must see those behaviors. 360, interview or survey, can get some of that information. For it to be most valid, in my opinion, the client must let those participating in the 360 to know/be aware of his behavioral goals. Otherwise they will NOT recognize his/her change! People put others "in a box" and see what they expect to see (re: Leadership and Self Deception)."

Please explain your choice above:

> P5Q4) Coaching programs should be evaluated in terms of whether or not the Coachee met their articulated goal(s). For example, improved management skills should be assessed by looking at improved team performance.

> Strongly Disagree   Disagree   Agree   Strongly Agree   No Opinion

Representative remarks from respondents who selected strongly disagree/disagree include:

"Employees should be evaluated based on whether or not they met their goals, but not a coaching program. Stating it this way (the way of the question) seems to necessarily put ownership of the outcomes on the coaches, rather than the coachees. Coaching works best when ownership of outcomes is clearly, solely, and squarely placed on the client. Only when clients are owners of their agenda and their outcomes are they in a position to truly succeed."

"Many factors could enter into the results other than just the client's execution."

Representative remarks from respondents who selected strongly agree/agree include:

"Coaching should have a practical impact."

"Yes, but the measurement shouldn't stop there. There are often other, highly significant benefits that occur in addition to or instead of the pre-determined goals."

Please explain your choice above:

RETIRED STATEMENTS

The following statements have been retired as they exceeded the 80% agreement threshold. Please be sure to scroll to the bottom of this page and click the "next" button to submit this survey.

SECTION I: GENERAL COACHING SKILL SET

In this section, you will be asked to consider the various skills Coaches need to have in order to be successful in the coaching process.

> P2Q1) Coaches should have the same basic skill set as mentors. That is, there is no difference between how someone approaches coaching versus mentoring.

This question was retired because the 80% agreement threshold was met. The following quotes provide representative remarks collected during survey round 1:

"While both mentoring and coaching are valuable and helpful relationships, they are very different. A mentor shares his/her experience-based expertise in order to help the mentee make progress along a pathway similar to one the mentor has traveled. Meanwhile, a coach draws out the expertise of the coachee to help the coachee make progress along his or her own pathway. While a coach might do 10% mentoring and a mentor might do 10% coaching, they are not the same thing."

"Mentoring is based on prior experience related to job function or role. Coaching is not based on the coach having had experience similar to that of the coachee. In this sense, mentoring is based on job-specific expertise. The dynamic is that of a "more" experienced person sharing that experience with a "less" experienced person, so the dynamic of partnering and shared learning is generally not evident in mentoring. The coach as co-discoverer and partner is central

to coaching. There is no seniority difference between coach and coachee as there is between mentor and mentee."

P2Q2) Coaches do not need to have specific knowledge about a problem in order to help the Coachee find an effective solution.

This question was retired because the 80% agreement threshold was met. The following quotes provide representative remarks collected during survey round 1:

"Coaches are experts in the process, not the topic. Coaches help to understand the situation so the client can make better choices by themselves."

"Coaches can help their clients to manage their responses to a specific situation with the focus on the person, not the problem. The objective of the relationship is to help the coachee to become aware of their own possibilities to find the solution to their problems."

P2Q3) Active listening is the most important skill a Coach should have.

This question was slightly below the 80% agreement threshold however it was retired because the strongly disagree/disagree and strongly agree/agree comments were the same. The following quotes provide representative remarks collected during survey round 1:

"Active listening is very important but so is the ability to ask the right question as well as numerous other skills."

"I somewhat agree with this. Listening alone is not enough. When I speak of active listening, I mean listening beyond content. Some define active listening as parroting back the client's words. That is not enough. The coach must take the conversation further by asking penetrating questions."

"I think that calling out a single skill as most important distorts the coaching process. Active listening without presence, powerful questioning, and direct communication is inadequate."

SECTION II: PLANNING A COACHING PROGRAM

In this section, please consider what needs to be taken into account when planning a manager-as-coach program in business. Manager-as-coach programs require managers to both supervise employees AND act as their coach.

P3Q1) The compatibility of Coach and Coachee should be taken into consideration when assigning coaching relationships. For example, if a Coachee does not get along with their manager-as-coach, they should be able to select a different Coach.

This question was retired because the 80% agreement threshold was met. The following quotes provide representative remarks collected during survey round 1:

"If the objective is helpful change, you need someone the coachee feels safe with."

"The relationship may be complementary, antagonistic, or reinforcing, but a poor fit between coach and coachee will result in frustration at best and damage at worst. Trust is key, and if the two people are not in some way compatible, then trust will be missing."

P3Q4) Coachees should be able to opt out of participating in coaching programs.

This question was retired because the 80% agreement threshold was met. The following quotes provide representative remarks collected during survey round 1:

"Forcing someone creates an obstacle to co-creating a successful coaching relationship. Maybe require at least one meeting with the coach, who may be able to help the potential coachee identify the perspectives that lead him/her to turn down company-paid support. Some illumination about what coaching is and can be might be worthwhile. Then, if the coachee really wants out, let that person go. With the door open."

"Coaching is always a choice. If someone is forced to be coached then they are not part of the process, the process is being done to them."

SECTION III: IMPLEMENTING A COACHING PROGRAM

In this section, please consider what needs to be taken into account when implementing a manager-as-coach program in business. Manager-as-coach programs require managers to both supervise employees AND act as their coach.

P4Q2) Coaches should help Coachees figure out a solution rather than telling them what to do.

This question was retired because the 80% agreement threshold was met. The following quotes provide representative remarks collected during survey round 1:

"Coaches should not give advice. If you tell them what to do they do not learn. If it works they have no sense of achievement. If it doesn't work it's the coach's fault!"

"The point of coaching is that the client has the time, space and support to come to their own solutions. The coach will never have the "whole picture" that the client has. The coach cannot fully understand how the client is motivated to take action, or what their most important criteria are."

P4Q4) Coaches should be coached themselves if they are expected to coach others.

This question was retired because the 80% agreement threshold was met. The following quotes provide representative remarks collected during survey round 1:

"I believe this is true, in large part, because managers who "coach" often do so out of their own personal skill set instead of a professional coaching skill set. By being coached, they are exposed (hopefully) to quality coaching that expands their own awareness and competence.

"It is nearly impossible to model behaviors (of learning and a willingness to be vulnerable) if we are not experiences that journey ourselves."

SECTION IV: EVALUATING A COACHING PROGRAM

In this section, please consider what needs to be taken into account when evaluating a manager-as-coach program in business. Manager-as-coach programs require managers to both supervise employees AND act as their coach.

P5Q2) Coaching effectiveness needs to be evaluated on a regular basis.

This question was retired because the 80% agreement threshold was met. The following quotes provide representative remarks collected during survey round 1:

"Success measures should be defined in the beginning and regularly monitored. Also, it is important to check in with coachees and ask about whether/how [their] needs are being met."

"Helps assure coach is remaining attuned to the coachee's needs at any given time. On the right track, so to speak."

P5Q3) It is impossible to measure return on investment for Coaching intangibles. For example, leadership, sociability, etc.

This question was retired because the 80% agreement threshold was met. The following quotes provide representative remarks collected during survey round 1:

"It is possible, but it requires design up front and deliberate measurement of outcomes and changes in business outcomes."

"There are lots of ways to measure the impact. Surveys on climate and culture, absenteeism, unplanned leave, staff turnover, productivity etc."

APPENDIX J

Delphi Survey Email – Round Three

Thank you for participating in rounds 1 and 2 of this study. Your feedback has been invaluable to furthering the research and understanding of manager-as-coach programs in business. The final round only requests your consideration of 4 statements, therefore this 3rd survey will be open until 11:59pm on June 12th.

Please remember that you must complete the survey in-full as your responses cannot be saved and returned to at a later time; they survey should take approximately 30 minutes to complete. When prompted, please enter the unique participant identification number listed below.

DETAILS

- Participant ID #: xxxx
- Survey Round 3 Link:
  https://pepperdinegsep.az1.qualtrics.com/SE/?SID=SV_cMZrki8Mr7IFAmV

Sincerely,

Katie Frazier, M.Ed.
Principle Investigator

Pepperdine University
Graduate School of Education & Psychology

Delphi Survey – Round Three

PEPPERDINE UNIVERSITY GRADUATE SCHOOL OF EDUCATION & PSYCHOLOGY

Planning, Implementing, and Evaluating Manager-as-Coach Programs in Business:
A Delphi Study

Thank you for participating in rounds one and two of this research study. Some of the statements were retired after reaching an 80% agreement level. For your information, newly retired items are listed at the end of the survey along with representative quotes. The first section of this survey contains items for which there is still no clear majority response. Before answering questions in survey round three, please consider the representative quotes from comments made in the second round pertaining to these items.

Please enter your participant identification code:

SECTION I: GENERAL COACHING SKILL SET

In this section, you will be asked to consider the various skills Coaches need to have in order to be successful in the coaching process.

> P2Q4) Coaches must be trained to recognize signs of mental illness so they can refer Coachees to external resources if needed.

> Strongly Disagree   Disagree   Agree   Strongly Agree   No Opinion

Representative remarks from respondents who selected strongly disagree/disagree include:

"Training coaches in minimal signs and symptoms could actually confuse things, leading to amateur diagnosis. Common sense and understanding of the limits of one's own skill set and ethical boundaries are the best tools for recognizing issues that are beyond the scope of coaching."

"I agree with the response that says there are other avenues other than training and that: "a coach needs to understand the limits of their capabilities/ethical [boundaries] and to recognize when they are outside the scope of their capabilities. While mental illness (drug use, alcohol abuse, etc.) is outside the capability/boundary of coaches, there are avenues other than training for the coach to understand the limits of their capabilities and ethical boundaries." I am a recovering alcoholic and recognize this (it is not mental illness), and recognize where coaching is not appropriate for the client - we talk about it and a conscious decision is made by the client."

"A coach needs to know that they are NOT being trained to do therapy - or be a diagnostic mental health professional. I do believe it is the coach's responsibility to 1. ask the prospective coaching client if they are taking responsibility for creating their own life and 2. refer the client to

a trained therapist when it is clear the client is stuck in the past or dealing with an issue that is not responding to coaching."

Representative remarks from respondents who selected strongly agree/agree include:

"While I agree that there are other ways for coaches to inform themselves about signs of mental illness, if it is a required part of their coach training, we in the profession can be assured that most if not all certified coaches will have some awareness of warning signs. I disagree that common sense alone is enough. Particularly with depression, the client may be doing many things to mask the depression, like constant activity, that can look to a coach like motivation. In addition, addicts are adept at hiding their problems, so without training about precisely what to look for, the coach wouldn't know that there was a problem."

"Coaches must realize that in coaching sessions, they may be confronted with psychopathology. For this reason, it is important for coaches to be proficient in identifying clients who may need mental health counseling. It is equally important for coaches to recognize their own need to be trained to spot mental health issues or signs of potential mental illness."

"I think it's important to be trained at least in the basics so the coach can tell when a referral is necessary. We can't expect our clients to know when they're in the grips of depression, for example, if they've never realized that. Coaches DON'T make diagnoses but we can express concerns and send clients to experts."

Please explain your choice above given the rationale provided in round 2:

SECTION II: PLANNING A COACHING PROGRAM

In this section, please consider what needs to be taken into account when planning a manager-as-coach program in business. Manager-as-coach programs require managers to both supervise employees AND act as their coach.

> P3Q3) Coaches require comprehensive training on how to meet the needs of diverse Coachee personalities.
>
> Strongly Disagree   Disagree   Agree   Strongly Agree   No Opinion

Representative remarks from respondents who selected strongly disagree/disagree include:

"I am a master coach and a masterful coach - and I am not the best coach for all types of personalities, cultures (age, race, etc.) - a much better question is - how can the coach and prospective coaching client determine if they have (or can create) a great chemistry that has deep compassion and trust."

"What is "comprehensive training"? The ability to listen and respond to what a coachee offers in the moment is what is needed. "Comprehensive training" could end up backfiring to the extent that it predisposes coaches to categorize coachees according to perceived personality traits. Coachees are more than a set of traits."

"The term comprehensive is too high a standard. Sensitivity in perceiving to be curious beyond one's own bias, preference, habit and assumptions is very important for a practitioner that seeks to work cross-cultural. As the world truly becomes global rather than regional or national, this question will dissolve into being available to engage with the unique person each client is."

Representative remarks from respondents who selected strongly agree/agree include:

"The better educated you are but better able you may be to attend to the agenda of your client."

"Coaches need training in recognizing a client's communication style, learning style, core values, purpose and priorities."

"When the coaching process takes in consideration the uniqueness of the client, his/her cultural background and other diversity aspects (gender identification, age, styles, etc.), the coaching process is richer, and the coach can help the client to understand the impact of his actions in others and how others' differences can impact him/her."

Please explain your choice above given the rationale provided in round 2:

SECTION III: IMPLEMENTING A COACHING PROGRAM

In this section, please consider what needs to be taken into account when implementing a manager-as-coach program in business. Manager-as-coach programs require managers to both supervise employees AND act as their coach.

> P4Q3) The method of how a Coach and Coachee connect (e.g. face-to-face versus email) is inconsequential to the intended outcome.
>
> Strongly Disagree   Disagree   Agree   Strongly Agree   No Opinion

Representative remarks from respondents who selected strongly disagree/disagree include:

"Is it the coach and client's choice? Great, let them decide. Do not pre-structure how "you must do your coaching" if you do you will reap the horrors of your inconsequential approach!"

 "I think written communication can be an addition to real-time communication but no there is substitute for conversation, whether by phone/video or in-person."

"I like real-time coaching and the richness of voice tone/qualities, body language and getting the "feel" for the conversation vs email. Email is a hotbed of opportunity for misunderstanding."

Representative remarks from respondents who selected strongly agree/agree include:

"I believe we can connect with client in a number of different ways and be effective. That said which mode we choose could be determined be the client."

"While an individual practitioners comfort and capacity to work in different modalities may vary widely - the capacity to be present in any circumstance is the hallmark of a well-trained, artful

professional coach. While some clients demand having sessions with physical presence, most discover out of necessity that phone and now the ease of video conference provides intimacy plus flexibility. Training coaches to use all modalities is important."

"I agree, tailor the coaching to the client's style."

Please explain your choice above given the rationale provided in round 2:

SECTION IV: EVALUATING A COACHING PROGRAM

In this section, please consider what needs to be taken into account when evaluating a manager-as-coach program in business. Manager-as-coach programs require managers to both supervise employees AND act as their coach.

> P5Q4) Coaching programs should be evaluated in terms of whether or not the Coachee met their articulated goal(s). For example, improved management skills should be assessed by looking at improved team performance.
>
> Strongly Disagree   Disagree   Agree   Strongly Agree   No Opinion

Representative remarks from respondents who selected strongly disagree/disagree include:

"All coaching programs should be evaluated and whether the coachee achieved their goal should be a factor. However, there are a number of reasons why a goal may not be achieved. Therefore it is important to look at the different aspects."

"Ownership for outcomes is on the coachee, not the coach. Many times, due to changing situations and/or increased awareness, goals may or may not be met, new goals may be introduced and met, etc. Many factors may influence meeting goals, not meeting goals, etc. The key is to revise goals during the process of coaching based on the perspective and needs throughout the process."

"Coaching works best when ownership of outcomes is clearly, solely, and squarely placed on the client. Only when clients are owners of their agenda and their outcomes are they in a position to truly succeed."

Representative remarks from respondents who selected strongly agree/agree include:

"There's assessing the coaching program and assessing the employee's (client's) development and performance. Two separate assessments that should be done independently - i.e. not connected to each other, for the most accurate results. Coaching is a program/process, and client's development and performance are behaviours and results. Measured separately and differently. Effective coaching is about who the client is becoming in achieving his/her goals, not just in achieving the goals. I concur with the statement below. "Yes, but the measurement shouldn't stop there. There are often other, highly significant benefits that occur in addition to or instead of the pre-determined goals.""

"Coaching must have a visible impact on behaviours."

"Understanding that the goals set at the beginning of the coaching session may be modified by the client and reset during the coaching process. Coaching should and can produce results which may or may not be measured objectively."

Please explain your choice above given the rationale provided in round 2:

RETIRED STATEMENTS

The following statements have been retired as they exceeded the 80% agreement threshold. Please be sure to scroll to the bottom of this page and click the "next" button to submit this survey.

SECTION II: PLANNING A COACHING PROGRAM

In this section, please consider what needs to be taken into account when planning a manager-as-coach program in business. Manager-as-coach programs require managers to both supervise employees AND act as their coach.

      P3Q2) Managers make the best coaches for their direct reports.

This question was retired because the 80% agreement threshold was met. The following quotes provide representative remarks collected during survey round 2:

"Some managers may be good coaches, however, I feel strongly that this does not make the manager the best coach for their direct reports. Rather, to the contrary. What can get in the way of this coaching relationship being effective are - the relationship that is already in place between the manager and the direct report - trust, experiences; manager's preconceived judgments and assumptions of the direct report and vice versa; manager's preconceived notions of what the direct report should/shouldn't do, etc. Coaching is about the client's agenda, not the manager's agenda. The coach's knowledge of the business is irrelevant to the effectiveness of the coaching. Also, direct reports can feel they have no choice but to work with the manager, and have to do what the manager says - difficult to say something if they feel the coaching relationship is not working for the direct report. Coaching is about being open and honest, and exploring at a deep level with the client - difficult for a direct report (client) to do this and to feel that anything discovered in the coaching conversation won't be used negatively against him/her (client)."

"In Coaching process, the space should be open and safe that requires objectivity. Managers can use the coaching skills however coaching their employee is not the same thing."

SECTION III: IMPLEMENTING A COACHING PROGRAM

In this section, please consider what needs to be taken into account when implementing a manager-as-coach program in business. Manager-as-coach programs require managers to both supervise employees AND act as their coach.

      P4Q1) It is critical for Coaches and Coachees to have a written and agreed upon coaching contract that includes stated goals and clearly outlines the responsibilities of both parties.

This question was retired because the 80% agreement threshold was met. The following quotes provide representative remarks collected during survey round 2:

"I feel that this is important to have, as the Employment Agreement covers the manager/employee relationship; this is a coach/client relationship that requires some different agreements - e.g. confidentiality, boundaries, role of coach/client, client's agenda, client's goals, etc. - therefore, a Coaching Agreement is required between the Coach and the Client."

"There is a distinction between using coaching skills and being in a coaching relationship. I agree that anyone can use coaching skills, but if there is a formal coaching relationship, over time, both people need to know what to expect in terms of time, money and what the coach will and will not be able to deliver."

SECTION IV: EVALUATING A COACHING PROGRAM

In this section, please consider what needs to be taken into account when evaluating a manager-as-coach program in business. Manager-as-coach programs require managers to both supervise employees AND act as their coach.

P5Q1) 360 evaluations are the best way to measure a Coach's impact on a Coachee.

This question was retired because the 80% agreement threshold would have been met if the "no opinion" comments were not included in the results. The following quotes provide representative remarks collected during survey round 2:

"This assumes that everyone scoring the 360 knows the coachee's agenda and is in a position to evaluate whether it was achieved. This is a preposterous idea."

"Assessment tools are useful for creating awareness, particularly when an individual is new to the process of self-reflection to gain self-awareness and self-knowledge. Interpreting assessment results is not coaching. It is an input to the development of a coaching plan and then a framework to understand bias, habits and preferences that are showing up behaviorally and causing an un-desirable impact or, a highly desirable impact in terms of strengths. Measurement of impact is best done in a multi-faceted approach with agreement developed by the client, the client's boss and the program manager based on the development expected through the coaching and then supplemented with third party feedback such as provided by a 360 instrument."