

The Heart of Coaching

*Using Transformational Coaching To
Create a High-Performance Coaching Culture*

FOURTH EDITION



Thomas G. Crane
with Lerissa Patrick

FTA
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**The Heart of Coaching: Using Transformational Coaching To Create a
High-Performance Coaching Culture**

Fourth Edition, January 2012

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DEDICATION

My first coach was Hubert Hansel. He was my science and physical education teacher in seventh grade and coached my junior high school basketball team.

*Since becoming a consultant and helping leaders to become coaches for their organizations, I have reflected on the effect my coaches had on me. It is clear that the beliefs and values on which I've constructed my life were articulated, taught, and strengthened on the basketball court by Coach Hansel. Although I've had many coaches since Coach Hansel, none so completely epitomized the essence for me of **who** a coach is.*

I learned the following life principles from Coach Hansel, who served as a role model for them all:

- *Be a good sport; play by the rules*
- *Practice the fundamentals; how you practice is how you play*
- *Give it your best effort; never hold back*
- *Commit to winning, but lose gracefully*
- *Work hard at getting better; you can always improve*
- *Cheer and support your teammates on and off the court*
- *Live life in a spiritual context with a purpose*
- *Be a role model; other people are watching you*

*I can track the successes I've had in my life back to these principles of life success. With sincere gratitude, I dedicate this book to Coach Hansel, for his unselfish giving and his commitment to bringing his heart and the best of **who** he is to the practice of coaching.*

Changes in the Fourth Edition

As we keep *The Heart of Coaching* a vibrant and contemporary resource, we offer this Fourth Edition. Coaching has clearly emerged as a powerful practice in leading-edge organizations. It is our intention to make the practice of Collegial Coaching one in which *all* members of an organization have access to the coaching tools necessary to maximize their performance. We think these upgrades continue to make the full roadmap conversation very systematic and robust, yet simple to understand and easy to apply. Here is what has been enhanced.

The Foundation Phase

We changed the term in the second bullet from Set “Context” to Set “Course” to more clearly indicate “where we are headed.” The five main components still apply but the term is more consistent with other language in the workshop. In the Learning Loop (now called the Feedback Loop) the word “context” included there is the only time “Context” appears.

The Learning Loop—renamed the Feedback Loop

By changing the name from Learning Loop to Feedback Loop, we directly describe what actions are the focus of the conversation. The heart of the coaching conversation is dialogue used to deliver feedback that leads to learning. One could call the phase any of those three names—the Dialogue, Feedback or Learning Loop. We think “Feedback Loop” is the clearest.

The companion model used directly in the Feedback Loop is The Results Cycle. This is truly a “Feedback Map” to guide the details of the feedback, encouraging specific, not general feedback.

Another small change is to include the “context” for the coaching conversation to occur along with stating the topic.

We also have specified that instead of describing “sharing perceptions” of behavior, that is it even more clear to state

"Describe Behavior." Again, we more clearly indicate exactly what is being suggested to do—deliver feedback.

To be even more explicit, we stated the secondary part of the second main bullet with action verbs: *Reinforce* Progress and *Identify* Opportunities. These give it clarity and punch.

In the third bullet, we added the word "Experience" to what is explored through the questions that are asked. The coachee's engagement and "buy-in" will never be fully realized unless the coachee feels fully part of the conversation.

The fifth bullet has been "tweaked" to reflect that the accountability that is being explored, needs to absolutely be *mutual*, and is not about the future, but the *current situation* that is being discussed.

Forwarding-the-Action Phase

The first bullet emphasizes that the vision for success really needs to be the shared vision of both parties.

We combined the "Offer Support" into the step of Clarifying Action Commitment, and defining the Follow-Up Plan. This feels more timely to identify the support alongside the actions for which the support is offered.

The final bullet now more clearly takes the form of a short, collaborative debrief of "what worked, what did not work so well, and how we would change conversations in the future." Then as the final, powerful, concluding step, appreciate the person, the process, the willingness, and anything else that signifies the relationship is growing and/or the conversations are improving. Heartfelt appreciation is key.

In the spirit of coaching,

– Thomas G. Crane
January 2012

Why Coach?

Implications of a Paradigm Shift

In the past few years, an old term, coaching, has received renewed interest in business literature. One author after another urges managers and leaders to develop and apply the motivational skills of athletic coaches to their work teams. Business conditions today have made coaching an essential element of success. Let's take a look at the business conditions that are driving this change.

The Business Case for Coaching

By now, most of us know that a *paradigm* is a mental model that describes a particular view of the world—a set of rules and regulations that define boundaries and provide a means for being successful within those boundaries.

A *paradigm shift* is a big change—a surprising, abrupt, unprecedented, revolutionary, rules-alerting change. When a business paradigm shifts, the success of the past becomes less relevant, because the criteria for success has been altered and a new standard established. The victories of the past no longer apply to the present or the future. The rules change, the roles

change, and the required results change. Everyone goes back, however temporarily, to a lower point on the learning curve.

The business world is in the midst of just such a paradigm shift, as is shown below. The rules have changed. The processes that people previously used to achieve their objectives are no longer valid, and the traditional roles and hierarchical working relationships are no longer effective. High performance is no longer an *option*; it is a *requirement* for the survival of both individuals and organizations. Competition is worldwide and technological change brings new challenges on a daily basis. Leadership skills are needed now more than ever.

The Changing Paradigm

Dimension	From	To
The Competitive Environment	Local competition	Regional and global competition
Technological Change	Incremental	Relentless
Organizational Strategy	Growth through satisfying customers	Survival through meeting and exceeding expectations
Structure & Systems	Hierarchical with central authority	Networks with distributed authority
Culture	Turf protection Conflict Command and control	Shared purpose/goals Collaboration Empowerment
Leadership Roles	Manager: <ul style="list-style-type: none"> • Boss • Decision maker • Supervisor • Traffic cop • Delegator 	Leader: <ul style="list-style-type: none"> • Coach • Facilitator • Servant • Role model • Visionary
Leadership's Core Skills	Telling Directing Controlling	Questioning Influencing Role modeling

In this new world, the paradigm-shift question is: *What is impossible to do today (or is not done today) in your business that, if you could do it, would fundamentally change the way you do business?*

The answer is: *Transformational Coaching*. This chapter examines how and why this is so.

Corporate Culture and Performance

Corporate culture sets the organizational context for human behavior. It creates the framework for performance expectations and the ways in which people relate to one another.

Authors John Kotter and James L. Heskett wrote *Corporate Culture and Performance* to explore the consequences of the paradigm shift for corporate culture.¹ Kotter describes three theories that link cultural characteristics with financial performance.

¹The Free Press, a Division of Macmillan, Inc. (New York, 1992).

THE STRONG CULTURE

Theory I hypothesizes that a “strong culture” will produce vitality and long-term financial performance.

In a strong corporate culture, almost all managers share a set of relatively consistent values and methods of doing business. New employees adopt these values very quickly. The style and values... tend not to change much when a new CEO takes charge—their roots go deep.

(p. 15)

Strong cultures are characterized by broad goal alignment (all employees marching to the same drummer), high motivational levels and the presence of structure and controls (but without a stifling bureaucracy). IBM is probably the most famous strong-culture company, with loyal and highly motivated employees. Wal-Mart, Procter & Gamble, and Time are also examples of strong-culture companies.

Contrary to the Theory I hypothesis, strong cultures are not guaranteed long-term financial vitality and high performance. Although Kotter and Heskett’s data do suggest that strong culture correlates with long-term economic performance, the correlation is only modest.

THE STRATEGICALLY APPROPRIATE CULTURE

Theory II holds that a “strategically appropriate” culture is the secret to long-term economic performance. Kotter and Heskett define a strategically appropriate culture as one in which

... values and behaviors are common, (and are) as important if not more important than its strength. ... a culture is good only if it “fits” its context. ... only those contextually or strategically appropriate cultures will be associated with excellent performance. The better the fit, the better the performance. (p. 28)

Kotter and Heskett say that, for example, “rapid decision making and no bureaucratic behavior” would be appropriate “in the highly competitive deal-making environment of a mergers acquisitions advisory firm.” They cite Swissair as a good example of a strategically appropriate culture, as is the VF Corporation. The appeal of Theory II is obvious: it suggests that one uniform culture will not work for every company and that each culture must create its own strategy to meet the needs of the industry it serves. The culture must “fit” its business conditions.

But even a strategically appropriate culture is not immune to failure. Kotter and Heskett’s study showed that, even in companies with a good fit between strategy and culture, change in the business environment (because of, for example, increased competition) produced deterioration in performance when the company’s culture did not change. Companies that did well in the face of change, they said, “successfully adapted to change, despite having reasonably strong cultures.”

Which leads us to Theory III.

THE ADAPTIVE CULTURE

Theory III hypothesizes that the cultural characteristic most highly correlated with high performance is *adaptability*—the ability of the organization to continuously respond to changing markets and new competitive environments. “Only cultures that can help organizations anticipate and adapt to environmental change will be associated with superior performance over long periods

of time," Kotter and Heskett say. They further define "adaptive culture" as one in which:

... managers throughout the hierarchy... provide leadership to initiate change in strategies and tactics whenever necessary to satisfy the legitimate interests of not just stockholders, or customers, or employees, but all three. (p. 46)

Digital Equipment, 3M, and Hewlett-Packard are good examples of adaptive companies. The following Performance Measure shows how important adaptability is to the bottom line.

Performance Measure (over an eleven-year period)

	Organizations with Performance-Enhancing Cultures	Organizations Without Performance-Enhancing Cultures
Revenue Growth	682%	166%
Employment Growth	282%	36%
Stock-Price Growth	901%	74%
Net-Income Growth	756%	1%

The Economics and Social Costs of Low-Performance Cultures (1977-1988), (Kotter & Heskett, 1992)

According to Kotter and Heskett, adaptive organizations tend to:

- Be run by strong leaders who are committed to winning the hearts and minds of people
- Give balanced attention to serving all three constituents of the organization: customers, employees, and stockholders
- Be highly energized and aligned on common goals
- Be receptive to change, responsive to opportunity, and dedicated to creative risk taking
- Provide a cheerleading, encouraging environment that builds confidence and morale

- Provide a high-trust environment that identifies and confronts problems
- Be filled with supportive and enthusiastic people who recognize initiative
- Emphasize fairness, integrity, and “doing the right thing”

It sounds like a great place to work, doesn't it? This almost perfectly describes a high-performance organization. As a matter of fact, progressive leadership recognizes that these characteristics as important to supporting high performance. My experience in large organizational change efforts, however, has shown that one element critical to creating these conditions is frequently missing from the equation.

The missing element is *coaching*.

Mixed Messages

In 1979, *Training and Development Journal* published an article in which the following two figures appeared.

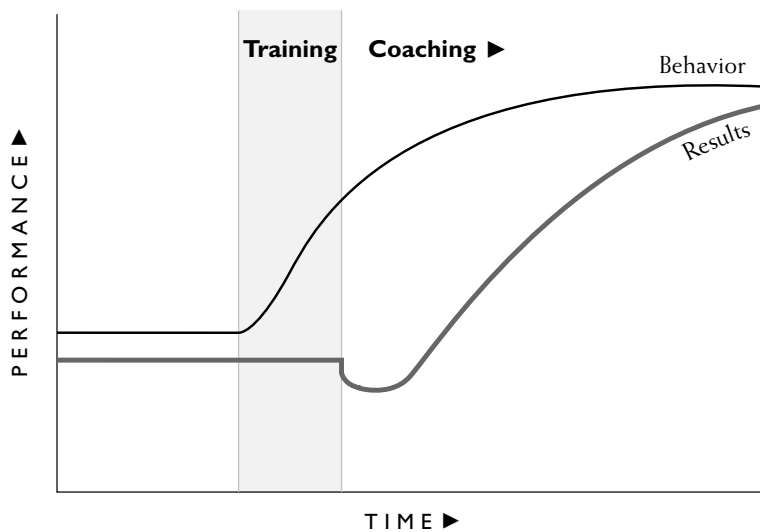
Figure A illustrates what seems to be a reasonable expectation of training: it will produce new behaviors that, over time (and in spite of a small and temporary dip in performance immediately after training), will lead to improved results.

Figure B shows what actually happens after training if no coaching is provided: old behaviors quickly resurface, and sustained performance improvements never materialize. Without coaching, the opportunity that training provides for permanently improving behavior—and for the improved results that could have followed—is lost.

By not providing coaching to people after providing them with behaviorally based skill training, we set them up to fail. Such approaches offer a mixed message; to the employee's face, we say:

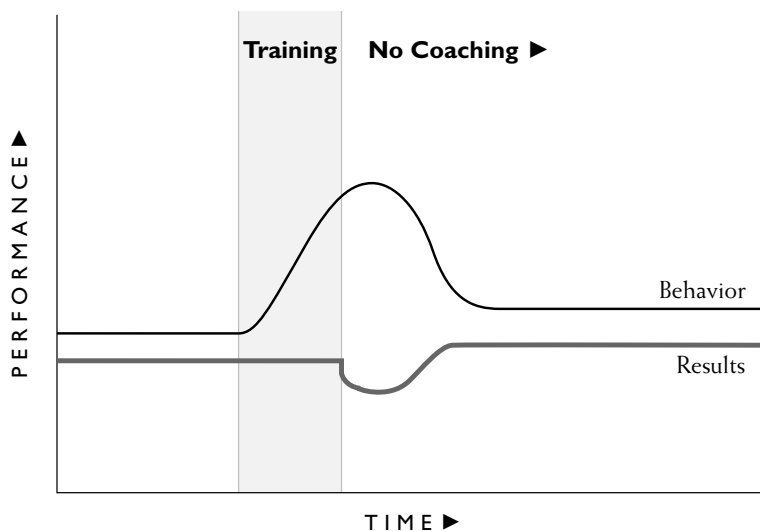
We will send you to this training program in which you will learn new skills and behaviors to apply on the job. We have selected you because we believe you can do a better job afterward and, of course, we expect to see improved performance after you return. Now, go and learn.

A. What Should Happen with a New Skill (with Coaching)



Adapted from *Training and Development Journal*, November, 1979.

B. What Actually Happens with a New Skill (Without Coaching)



But the unspoken organizational truth the employees hear and usually experience is more like this:

We hope you can implement all the changes we expect to see without any help from us, because we are just too busy to coach you or reinforce new skills after you return. But we know from experience that you probably won't be able to do it—the effect of training frequently is negligible. That's why it is the first thing we cut when times get tough. Thanks for going to the workshop!

Feedback and Leadership Effectiveness

A study led by Marshall Goldsmith of Keilty, Goldsmith & Company adds another dimension to developmental training and follow-up. It surveyed more than 8,000 “direct reports” about their perceptions of their managers’ levels of effectiveness after participating in a leadership-development program. During the leadership-development process, each manager was asked to respond to direct reports who provided feedback to him or her, implement an improvement plan that responded to the feedback, and follow up with the direct reports as to progress made. Eighteen months later, direct reports were asked about their managers’ current levels of effectiveness and to what degree the managers had responded to feedback and followed up.

The data were clear: the higher the level of response and follow-up, the higher the direct reports rated their bosses’ effectiveness (see the following two tables for summaries of the data). Leadership effectiveness is dramatically affected through asking for, responding to, and following up on feedback, and those are the essential steps of Transformational Coaching. In table B, the trend toward more perceived effectiveness is pronounced and dramatic, shifting from 7 percent to 55 percent in the highest degree of improvement (the +3 category).

Let’s take a look at another good reason to coach: the effect it has on the hearts and minds of human beings.

A. Leadership Effectiveness and Feedback Follow-Up (Keilty, Goldsmith & Company, 1994)

	Perception of Effectiveness as a Percentage		
	Worse	Same	Better
No Response/No follow-up	19*	34	48
Response/No follow-up	21*	34	45
Response/Little follow-up	10	24	66
Response/Some follow-up	3	9	89
Response/Frequent follow-up	1	5	95
Response/Consistent follow-up	1	4	95

* Expectations were raised with responding and fell with no follow-up.

B. Detail of Shaded Area in A

Degree of Follow-Up	Degree of Improvement in Relative Effectiveness			
	%	+1	+2	+3
“Some”	89	44	38	7
“Frequent”	95	21	53	21
“Consistent”	95	9	31	55

The Human Case for Coaching

The traditional approach to management has its roots in an autocratic, military-style “command-and-control” model that works well in the environment for which it was designed: war. But in most business settings, it has serious unintended consequences.

Theories X,Y, and Z

Business researchers have described a number of management approaches over the decades. Two of the most famous are Theories X and Y, articulated by Douglas McGregor.²

Theory X, a traditional style of management, assumes that people are lazy, uncreative, and need clear directions and penalties to support productivity. Two different metaphors are associated with the Theory X explanation of motivation: the “carrot” (based on using *reward* as the motivator) and the “stick” (based on using *fear* as the motivator). The drawback with these two motivators is that they are polar opposites and, therefore, provide no middle ground to guide a manager’s actions in today’s environment.

Nor do they bring out the best in people. The stick approach achieves compliance, at best. The carrot approach frequently leaves people feeling manipulated. We either threaten someone’s job or throw money at the problem. Neither strategy works for very long.

One of the first essential things lost under Theory-X management is initiative. People learn to wait for “The Boss” to tell them what to do. In the worst situations, they degenerate into a state of “learned helplessness,” allowing small problems to reach critical proportions because no one has given them orders. People learn to delegate up.

Employees managed by a Theory-X leader never develop a sense of ownership of problems. If The Boss makes all the decisions, these decisions never become the employee’s solution. Consequently, people’s sense of accountability and responsibility is lower than what is required for high performance.

²*The Human Side of Enterprise*,
(New York, McGraw-Hill,
1960).

The carrot and stick are pervasive and persuasive motivators. But if you treat people like donkeys they’ll perform like donkeys.

John Whitmore

Creativity suffers. Most autocratic bosses throttle their employees' creativity by ignoring their ideas or ridiculing them for getting "outside the box" or creatively interpreting the rules. People treated this way become poorly motivated and ineffective in creating innovative solutions.

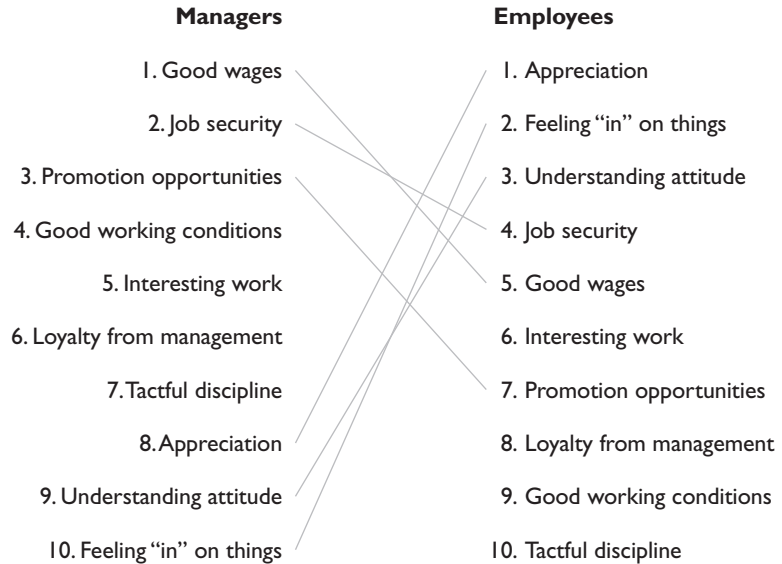
When people are treated like cogs in a wheel—or worse, like children—they are stripped of their dignity and feel diminished in the process. Spirit sickens and dies. Unmotivated, emotionally dead people never contribute their discretionary energy to their work. They do the minimum they believe is required of them to keep their jobs, then they go home.

Theory Y is a much more humanistic approach to working with people. It presumes that people are creative, capable, and internally motivated to achieve. The resulting management style is more supportive and nurturing of people. This outlook forms the philosophical basis for much of the material in this book.

The Z organization, typified by Japanese companies, takes the long view toward building relationships and decision processes that involve the collective whole. It works well for Japan, but American workers are usually too individualistic to be able to buy in to this approach.

A New Theory

We need a new theory. Perhaps we could call it "Theory C," for "coaching." This theory builds on the best of Theories X, Y, and Z and is supported by the results of research conducted by Glenn Tobe & Associates. In this survey, managers and employees were asked to rank a list of ten performance motivators. What managers thought employees wanted most from their jobs and what employees said they wanted most bore little resemblance to each other. Here are the results:



The three top motivators on the employees' list—appreciation, feeling “in” on things, and an understanding attitude—landed in the bottom three positions on the managers' list. Managers' assumptions of the top three only made the middle of the employees' list. Many managers, however, still operate on these erroneous assumptions—with disappointing results.


Theory C would hypothesize that people are motivated by:

- The intrinsic satisfaction of accomplishing the work itself
- Emotional ownership of the work, which occurs when they are allowed to be creative (and creativity can be nurtured in anyone)
- The opportunity to understand and contribute to goals that are meaningful to the organization
- Leaders and managers who provide *direction* (vision) rather than *directions*, who are honest yet compassionate in all their communications, and who challenge and support people in achieving their goals
- Feeling appreciated and knowing that they matter to the company they work for and the people they work with

This is a theory of empowerment and it is the foundation for everything in *The Heart of Coaching*. The four management theories are compared below.

Comparison of Management Theories

Attitude Toward	Theory X	Theory Y	The Z Organization	Theory C: Transformational Coaching
Work	Is essentially distasteful	Is natural, at least under favorable conditions	Is provided for a lifetime	Is one source of fulfillment and growth
Creativity	Workers have little capacity	Workers have much capacity	Subsumed by the collective wisdom	Creative choices unleash commitment and a sense of ownership
Motivation	People are irresponsible and lazy; they need a boss and orders to follow	People are internally motivated; motivation operates at social, self-esteem, and self-actualization levels	Belonging to the whole is the motivation. High social involvement; blending	Opportunity to contribute to meaningful goals; focus is on self-esteem and self-actualization
Management Approach	Highly structured and controlled; short-term fixes are the order of the day	Openness and trust; support and encouragement	Consensus decision-making; slow process; holistic concern	People are treated as adults, with honesty; vision is provided for direction; coaches challenge and support performance



*Nothing happens without personal
transformation.*

W . EDWARDS DEMING

Transformational Coaching Defined

What It Is and Its Connection to Leadership

The working definition of Transformational Coaching is:

*“the art of assisting people enhance their effectiveness,
in a way they feel helped.”*

To accomplish this outcome, coaching must be a comprehensive communication process in which the coach provides performance feedback to the coachee. Topics include all work-related dimensions of performance (personal, interpersonal, and technical or business skills) that affect the coachee’s ability and willingness to contribute to meaningful personal and organizational goals.

A coach acts as a guide by challenging and supporting people in achieving their personal and organizational performance objectives. If this is done as a trusted learning partner, people feel helped by the coach and the process. As they say, help is only help if it’s perceived as help.

This coaching process becomes the foundation for creating the true “high-performance, feedback-rich” culture that is

supported by feedback flowing in a full 360° fashion—down to direct reports, across to peers, and up to one’s supervisor.

The Meaning of Transformation

Let’s talk about what “transformation” is and why this process fits that description.

Transformation is huge, sweeping change. To transform means to change in the way that a caterpillar transforms into a butterfly, or a baby into a child, and then into an adult. After the process is completed, the previous form ceases to exist. Ice no longer resembles water after its transformation; steam no longer has the properties of water.

The outcomes from applying the approach described in *The Heart of Coaching* are transformational in these ways. The process is transformational because it creates egalitarian, mutually supportive partnerships between people that transcend the traditional boss/subordinate relationship. The process changes the way that you, as coach, begin to think about these roles. It transforms your actions and your relationships. With transformed thought and behavior on behalf of the coach, and transformed working relationships built on mutual trust and respect, the working results are transformed. Greater resiliency and trust in the relationship create a more resourceful, creative reservoir from which to draw business solutions for challenges faced by individuals and the enterprise.

Using a big word like “transformational” to describe this process has many benefits. It certainly signals change. It encourages the coach and the coachee to engage fully in personal and professional development to support the accomplishment of goals and objectives. It sets the expectation that something big is going to happen.

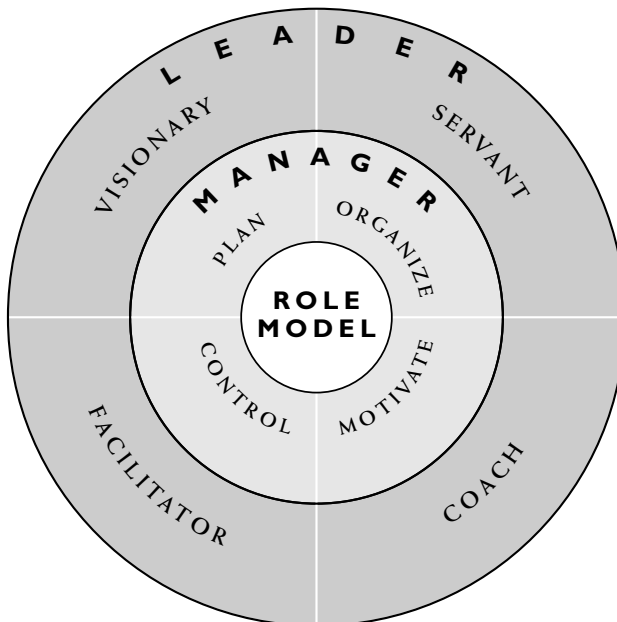
In Transformational Coaching, we learn to look at business success factors differently—more broadly. Rather than focusing only on the bottom-line financial results, a Transformational Coach appreciates and develops the people and the processes by which they achieve those results.

Transformational Coaching and Other Leadership Roles

Transformational Coaching and leadership are inextricably linked; “coach” is one of the key roles a leader must play. Leadership is not restricted to the few people at the top and in charge of organizations. A broader definition of leadership is:

The constructive influencing of others in the achievement of organizational goals and objectives by providing direction, support, and a positive example through role modeling.

In my work with leaders at all levels of organizations, I have synthesized a model that captures the essence of the transition from “manager” (the person at the top, performing the traditional role) to “leader” (an expansive, new-paradigm role). This model (described below) builds on what Peter Drucker has identified as core management competencies (planning, organizing, motivating, and controlling) by adding five roles that form the essence of contemporary business leadership: visionary, servant, coach, facilitator, and role model.³



We lead by being human.

We do not lead by being corporate, by being professional or by being institutional.

Paul Hawken

³ These concepts appear in current business literature but are uniquely combined in this model.

*If you can dream it,
you can do it.*

Walt Disney

*I don't know what your
destiny will be, but one
thing I do know: The
ones among you who
will be really happy are
those who have sought
and found how to serve.*

Albert Schweitzer

*A manager's task is
simple—to get the job
done and grow his staff.
Time and cost pressures
limit the latter. Coaching
is one process which
accomplishes both.*

John Whitmore

Visionary

Leaders must be visionaries. They must have a clear, bright, compelling vision to provide the people they lead with a sense of direction. Their vision sets the context for strategy, mission, and goals; it serves to lift people's expectations to the possibility of creating a more desirable future together. Even leaders who are not directly involved in creating the organization's vision can use it as a guidance system and a touchstone for themselves and the people they lead. Leaders continually connect themselves and others to the vision of the business.

Servant

The ability to be "in service" is a vital component of modern leadership. To become servants, leaders must mentally place themselves in that role, visualizing themselves in an upside-down organization in which the leaders serve others in the organization who, in turn, serve the customers. It is a huge mindset shift and is difficult to achieve. It is the rare leader who steps back and looks, listens, and appreciates the wonder of humanity surrounding him. Truly helping and being helped by others is an awesome experience, one we do not spend much time pondering. Making a real difference in people's lives is a privilege we all search for. Leaders are in a position to accomplish this by touching people in ways that honor them for the special people they truly are. The opportunity to serve others as a leader is a gift.

Coach

Leaders can vastly increase their leverage by becoming coaches. Each of the other roles the leader plays is enhanced by the abilities he or she develops when learning to coach, because coaching is a communication process that focuses on connecting people to performance. Coaching helps people to clarify objectives and to discover more effective approaches for achieving those objectives.

Facilitator

To “facilitate” means “to make easy.” The purpose of facilitation is to draw people and their ideas out and to connect them (like an alchemist combines substances) with other people in a way that leads to positive outcomes. Leaders facilitate communication, change, collaboration, healing, connection, decision making, continuous improvement, and more. This list is incomplete but provides a sense of the initiatives, activities, and processes for which leaders need to assume a facilitative role. The paradigm-breaking portion of this role is to empower others to act on the organization’s behalf by relinquishing control. This is easy to say and harder to accomplish.

*When actions are
performed without
unnecessary speech,
the people say,
“We did it ourselves.”*

Lao-Tsu

Role Model

The heart of leadership is to model the attitudes and behaviors valued by the organization. Those leaders at or near the top of organizations, by virtue of their highly visible positions, possess an incredible amount of influence over people’s attitudes and behaviors. They define the culture by their words, actions, and deeds. They set the tone, pace, expectations, and standards for conduct across the organization. The shadows they cast are bigger than life, endure after they are gone, and constitute how they are remembered. In being role models, they create their legacies. Mid-level leaders, including first line supervisors, have the same ability to influence others by their actions.

*Modeling may not only
be the best way to teach,
it may be the only way
to teach.*

Albert Schweitzer

Training, Counseling, Confronting, Mentoring, and Transformational Coaching

What about other common management practices—training, counseling, confronting, and mentoring? Each of these management processes is a unique expression of coaching and occupies a place on the long continuum of Transformational Coaching. Although there are significant areas of overlap, and the terms are frequently used interchangeably, each practice has its own character. The most helpful distinctions may be in purpose, process, and content. Let’s see how they relate.

The Coaching Continuum

Training	Counseling	Confronting	Mentoring
Technical & job skills	Personal problems	Negative attitudes	Career development
Policies & procedures	Personal-growth issues	Behavioral problems	Political orientation
Work-task orientation	Coping/healing strategies	Substandard performance	Networking & exposure
Goals & objectives	Physical & mental health	Persistent concerns	Cultural fit

Training is the instructional process by which specific knowledge and skills are transferred to the trainee. Training usually focuses on technical job skills and orientation to the rules and regulations under which the trainee is expected to perform his or her role. Training is not optional, and usually occurs early in the employment cycle at any time when new skills are required. In a high-performance learning organization, training is an ongoing and never-ending process of continually improving the capacity and quality of the organization's biggest asset—its people.

Counseling is helping people who have personal or interpersonal issues, inside or outside of work, that are interfering with work performance. Often, this type of intervention leads to external professional counseling services, in which the focus is on clarifying the exact nature of the problems and healing the emotional issues. When counseling is needed, most organizations fulfill their sense of responsibility by finding a helpful way to see that these needs are addressed. Counseling usually is not optional, especially when management is aware of issues on which people need help.

Confronting is how we deal with negative or disruptive behavior or less-than-acceptable job performance. In this form of Transformational Coaching, the coach directly addresses issues and concerns about what is not working. The coach clarifies goals

and objectives and the related shortfall of current performance, and then helps the coachee move toward solutions. When confrontation is handled effectively, it results in positive resolution and changed (or enhanced) behavior and/or performance. Confronting is not optional; it is required for teams and individuals who want to achieve high performance.

Mentoring is a process in which mature and more experienced managers share their wisdom and experience with younger employees on a one-on-one basis. Mentoring typically addresses issues of inculturation, career growth, political savvy, and personal networking in the organization. It usually occurs within a formal, structured program. Mentors assist their “mentees” to gain perspective, exposure, and opportunities within the organization. Although highly desirable, mentoring is optional for both the individual and the organization.

Because each of these practices can be viewed as a specific expression of coaching, the Transformational Coaching model you are about to see should provide a deeply helpful framework to support your ongoing development in these related areas.

Characteristics of the Transformational Coaching Process

As a practitioner of Transformational Coaching, I am always trying to learn and grow and become more effective. As I used and studied a variety of coaching models, I became aware of their strengths and limitations—especially the limitations of what I regard as the “telling” approaches. In designing the Transformational Coaching model, I incorporated the best of what I have seen, addressed problems inherent in some of the models, and added my own ideas. As a result, the process of Transformational Coaching is distinctive. Its characteristics include the following:

First, **it is data-based**. It is important that any coaching process be based on objective facts; the coach shares perceptions of an event or a situation in objective, behavioral terms. Although it is impossible for anyone to filter out all of his or her subjective

evaluations and judgments, it is essential to base a coaching session on as objective a description of the situation as possible.

Second, **it is performance focused.** It is important to focus on behaviors in the context of the effect they have (or do not have) on individual and organizational performance. Organizations exist to provide products and services for their customers. Consistently achieving that objective extremely well is becoming more complex and difficult. Our ability to remain our customers' choice by providing those products and services at competitive prices is what this process facilitates. This model is designed to help keep the focus on addressing issues that either enhance or inhibit performance.

Third, **it is relationship focused.** As you may have noticed, the quality of people's working relationships form the context for their ability and willingness to work together effectively. Your effectiveness as a coach is directly proportional to the quality of your relationship with the coachee. Rapport, trust, and permission are the essential building blocks of an effective coaching relationship. Therefore, in this book you will find many communication processes that create a connection and mutual respect between people.

Fourth, **it is slower, not faster.** Most of us work at a breakneck pace. The unintended consequence of this fire-fighting mentality is often a diminished quality of interaction and communication between people. The Transformational Coaching process, when effectively used, requires people to slow down, listen more deeply, learn, and become less reactive. It requires more patience than most people are accustomed to exercising in their interpersonal communications. This allows them to become better connected. Personal connection is one of the missing elements in contemporary society and in many people's work lives.

Fifth, **it requires "dialogue."** Transformational Coaching is not based on telling. Assuming nothing, sharing feedback, asking questions, listening to answers, making suggestions, and exploring options are key Transformational Coaching skills. This usually means that a different kind of relationship is necessary.

Information-age working relationships are becoming more egalitarian and less autocratic and include a mindset shift from being “The Boss” to being “The Coach.” This will be discussed in more detail later.

Sixth, **it requires more heart.** I have been touched by the concept of *unconditional positive regard*.⁴ This phrase defines “more heart.” Being able to value and esteem people establishes a tone of openness, compassion, vulnerability, and humility on the part of the coach. Invariably, this improves the quality of the human connection and the coach’s ability to work effectively with people.

Bringing more heart into work represents a dilemma for most managers in modern organizations. We have been conditioned to believe that the appropriate way to treat employees is to keep them at a distance. We think, “*Don’t get too close to people. If you do, you can’t retain your impartiality. They will take advantage of you.*” We carry these messages around in our heads—what Peter Senge, in *The Fifth Discipline*, calls our “mental models”—and they prescribe how we are to act as managers.

Transformational Coaching is a very personal process; it will be neither helpful nor effective unless the coach is able to develop mutual positive regard with the coachee. Our humanity enables us to connect through the heart.

Seventh, **it requires humility.** I have worked with feedback and coaching models that assume that the coach’s observations are always correct and the accompanying recommendations are always appropriate for the coachee, as if the coach sees all, understands all, and has all the coachee’s answers. Nothing is further from the truth. Transformational Coaching is based on mutual dialogue, with the intentions of eliminating arrogance and fostering a mutual understanding between the parties. In this approach, learning occurs for *both* the coach and the coachee *throughout* the process.

Eighth, **it requires balance.** The intent of Transformational Coaching is to improve the balance in the thinking, language, and behavior of both the coach and the coachee. It aims to improve the balance between head and heart; performance and relationships; what is known and what is unknown; and mind,

⁴A phrase originated by pioneering psychologist Carl Rogers

Self-responsibility is the understanding of, and acceptance of, the fact that your interpretations, not outer circumstances, determine your ability to respond to people and situations.

Dr. David Grudermeyer,
Sensible Self-Help

body, and spirit. To this end, legitimate areas for Transformational Coaching include not only the measurable results that management usually focuses on but also the subjective areas of attitude and behavior.

Finally, **it requires self-responsibility.** People sometimes need encouragement to be fully accountable for the aspects of their behavior that affect others. An intentional and challenging thread of self-responsibility runs through Transformational Coaching. It is there to assist coaches and coachees to take conscious ownership of their thinking, feelings, and actions and the effect they have on their co-workers. A coach role models this value (among others) and explicitly uses assertive and self-responsible approaches to communicate clearly and effectively.

What is Possible?

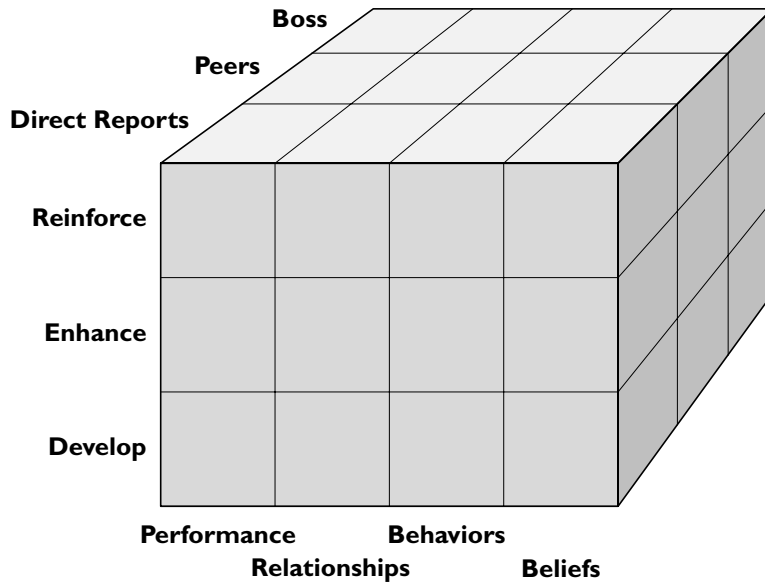
As mentioned earlier, the power of a paradigm is that it reflects deeply held beliefs which describe what is acceptable and expected. It is clear that if we are to shift people's behaviors, we must ultimately shift their underlying beliefs. (More is described in the next chapter about The Results Cycle that shows the connection between Beliefs, Behaviors, Relationships, and Results.)

If the intention of an organization is to truly transform their culture into one that is egalitarian and built upon high mutual trust, a new organizational belief system may be necessary.

The Transformational Coaching Paradigm shown here opens up the possibility of coaching becoming a cultural practice where feedback flows up, down, and sideways throughout the organization. This three-dimensional figure shows how deep and wide the feedback patterns can become. It replaces the belief system that coaching *only* comes top down from the boss to the direct report. Feedback is delivered to Reinforce, Enhance, and Develop people and their skills. It covers the spectrum of Performance, Relationships, Behaviors, and the Beliefs lying beneath the behaviors.

This paradigm becomes the foundation for the practice called *Transformational Coaching*.

The Transformational Coaching Paradigm





*Coaching is a profession of love. You can't
coach people unless you love them.*

EDDIE ROBINSON

Head Football Coach, Grambling University

(One of only four football coaches to win over 300 games)

An Overview of the Transformational Coaching Process

This chapter gives you a job description of the coach and a bird's-eye view of the process.

The 7 Key Elements of a Transformational Coach's Job Description

A job description for a coach would look something like this:

The coach must:

- Invest time to get to know people as people
- Understand people's roles, goals and challenges on the job to be helpful
- Set clear context and GRRATE expectations
- Observe people's work closely enough to have relevant and substantive feedback
- Provide timely, candid and specific feedback regarding what you observe and interpret as the impact on yourself, other people and performance

- Stimulate learning, growth and performance improvement by asking effective learning questions—offer suggestions as necessary
- Leave people feeling supported and empowered to contribute at increasingly higher levels

This job description represents a compilation of thousands of people's input regarding what truly effective coaches do. The model that follows is a systematic and comprehensive framework that will help you meet all the requirements of the job description.

As the field of coaching has evolved, there are two relevant *genres* of coaching that we see in organizations. Besides the traditional "athletic" coaching process that many readers would have directly experienced, the two genres are "professional" and "collegial" coaching.

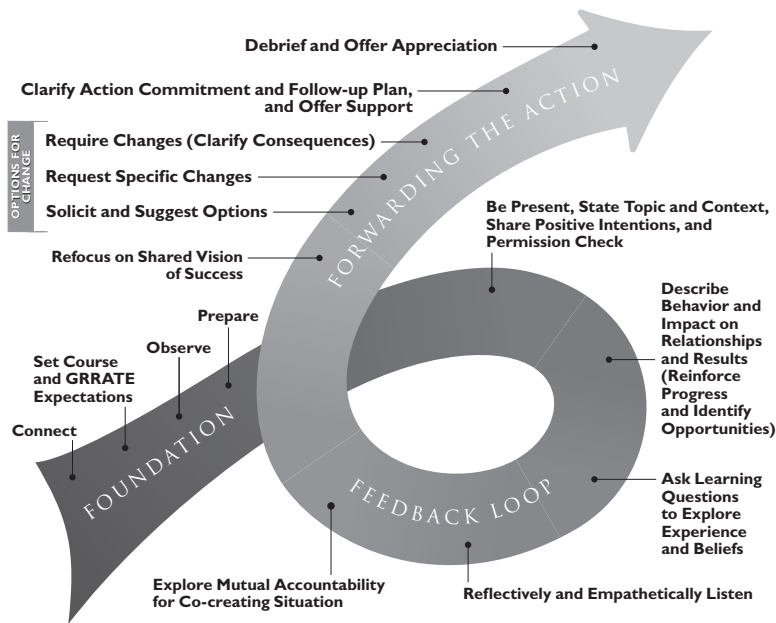
Professional coaching is a "question-based" approach to coaching (frequently provided by a hired, certified coach) who expertly uses questions to stimulate insights that leads to action on behalf of the coachee (usually referred to as the client). This process is described in Chapter 9 as Executive Coaching.

Collegial coaching is a very different process because the relationship is different. It is between colleagues who actually work together in the same organization and usually on the same team. Anyone could act as the coach with another colleague in any given conversation. The person who initiates the conversation is acting in the role of the coach and the party invited into the conversation is the coachee. These roles can and do alternate.

Collegial coaching is a "feedback-based" approach to coaching. It certainly includes questions, and its focus is on collaborative problem solving of challenges faced by the colleagues in the conversation.

Throughout this book, the term "coach" refers to the colleague who is initiating the conversation, and can be the coachees Direct Manager, their Direct Report, or their Peer. In a coaching culture, feedback flows in all directions—up, down, and laterally—and anyone can be the coach anytime.

The Transformational Coaching Model



The Three Phases of Transformational Coaching

Transformational Coaching is accomplished in three phases:

- **The Foundation Phase**, in which you create a coaching relationship (the climate where coaching occurs) and in which you prepare for a particular coaching session;
- **The Feedback Loop**, in which you share behaviorally based feedback and engage in dialogue to learn from the exchange; and
- **The Forwarding-the-Action Phase**, in which you create positive momentum and a commitment for change.

This chapter provides a brief overview of the process itself; Chapters 4, 5, and 6 describe each phase and step of the process in detail. In Chapters 7, 8, and 9 you will find specific guidance about what you might say during a coaching session and how you might say it.

Phase I: The Foundation Phase

Transformational Coaching requires a foundation of trust and shared expectations, laying important groundwork for all of the conversations to follow. The foundation phase consists of four elements:

- **One: Connect.** In this step, you establish an explicit coaching relationship, whether with a direct report, a peer, or one's supervisor. It occurs in a series of interactions between you and your prospective coachee. Use this time to establish rapport, clarify your expectations of each other, review the Transformational Coaching process, and make a commitment to using the coaching process in your work. It is also important to identify what job-related challenges each of you would like to address, especially with one's peers or supervisor.
- **Two: Set Organizational Course and GRRATE Expectations.** After the ground rules, coaching roles, and an effective connection have been established, the second step for coaching relationships between a supervisor and a direct report is being clear on direction. Setting organizational course is the process of clarifying the background situation for the person you are coaching. Organizational course is composed of the following five elements—organizational vision, mission, strategy, key objectives, and the core values for the organization.

GRRATE Expectations consist of Goals, Roles, Resources, Accountabilities, Timeframe, and Empowerment.

When you combine all the elements of organizational context with the acronym GRRATE, you create a comprehensive overview of how and where the coachee in their role fits into the larger picture. This is key for their success.

In peer coaching relationships, in addition to those elements that outline direction, it may also be helpful to explore how each might support the other more effectively on shared work processes or special projects on which they directly interface. In a coaching relationship with one's

supervisor, beyond context and expectations, each might also share developmental goals and relationship issues that could be worked on together in the coaching partnership.

- **Three: Observe.** Observe your coachee's performance, how he or she interacts with others, and your perceptions of the outcomes and results. Coaches need data on which to base their coaching. The challenge is to gather it with as little subjective distortion as possible to set up the conditions for optimal mutual learning.
- **Four: Prepare.** This is your internal and independent work as the coach. Become conscious of your thinking (the values, assumptions, beliefs, interpretations, and judgments) that may be influencing your perceptions. With this heightened awareness, collect your thoughts and develop the information and strategy for the coaching conversations. This self-awareness pays huge dividends in helping you to be objective and self-responsible in the exchange that follows.

The Foundation Phase is covered in detail in Chapter 4.

Phase II: The Feedback Loop

This is of central importance to the Transformational Coaching process that is essentially a feedback-based coaching methodology. Its purpose is to create mutual learning, and deepen insights and respect for one another. Although the other two phases of Transformational Coaching are slightly more linear, the Feedback Loop is purposefully circular, thus more "organic." Continue to iteratively use this part of the coaching process as long as needed to clearly communicate and "get on the same page." It consists of six steps:

- **One: Be Present, State Your Topic and the Context, Share Your Positive Intentions, and Request Permission.** Focus your conscious attention on the person and the situation at hand. Establish the topic and the background (context) that leads you to initiate this conversation, and establish positive outcomes you intend to

achieve during the coaching session. Do a "permission check" with your coachee to ensure you are about to exchange coaching at a time and place that works for both parties. These actions set the tone for the coaching session, which might continue on the spot, or be scheduled for later.

- **Two: Share Feedback by Describing Behaviors and the Impact(s) of Those Behaviors.** The Results Cycle (described in more detail in Chapter 5, and found on the back side of the reference card in the back of this book) captures the essential elements of how we go about getting results. It is really a companion model as it provides a "feedback map" for the conversation. It suggests a "causal relationship" as you rotate around what becomes a self-reinforcing cycle. Simply, our *beliefs* drive our *behaviors* which influence our *relationships* that lead to our *results*, which impact our *beliefs*.

Any and all of these aspects are appropriate for the coaching conversation, and include: **Behaviors** (style, habits, work practices, sense-of-urgency, etc. observed or reported to you by others); **Impact of behaviors on relationships** (between yourself and the coachee, or between the coachee and others and includes trust, rapport, respect, collaboration, sharing, etc.); and **Results** (as quantified and expressed in dollars, time, quality, customer satisfaction, etc.).

To make the conversation one in which real learning can occur, share your perceptions of the above factors in objective and non-judgmental terms. Since most of us have been conditioned to focus on what is wrong or could go wrong, it is important to balance your feedback. So, do that by reinforcing progress and identifying opportunities. It is a more accurate reflection of reality and perceived to be fairer by the coachee if we cover both what is working and what can be improved. These two areas of feedback can be used together or independently based on the current need.

"I'll see it when
I believe it."

Wayne Dyer

In this second step, we are most helpful to the coachee if we are willing to share the connections we perceive exist between their behavior and the results, outcome, or impact (the ROI) upon their working relationships and performance.

- **Three: Ask Learning Questions to Explore Experience and Beliefs.** This final aspect of The Results Cycle includes assumptions, interpretations, values, judgments, and sense of accountability that stand behind one's actions. People usually do things with a purpose in mind. Our primary job as a coach is to understand our coachee's purpose and perceptions. Once we better understand their perceptions of performance or a specific event, we are in a better position to figure out what we each might do differently. It is clearly helpful to surface differing beliefs, and deepen the conversation to reflect on the implications of the parties holding those differing beliefs. If the coach and coachee have the time and the inclination, great learning can occur.
- **Four: Reflectively and Empathetically Listen.** Listen deeply to people's answers. Simple reflection or mirroring back to the coachee is a powerful process that supports you being fully present with your coachee and listening with both your mind and heart. Additionally, making statements that demonstrate your sense of empathy (not agreement, but understanding) deeply enriches the conversation. This deeper listening demonstrates respect and builds trust and rapport, even though you may not agree with the ideas you hear.
- **Five: Explore Shared Accountability in Co-creating the Situation.** It becomes critical in many coaching relationships—if they are to be built upon trust and mutual respect—that true accountability, emotional honesty, and heartfelt humility characterize the relationship. This final step in the dialogue process is intended for each party engaged in the conversation to be able to share and explore

their perceptions of what each of them might have done in contributing to the outcomes that have just been described. To the extent that mutual ownership can be created, both coach and coachee will continue to build trust and deepen the rapport they feel with one another.

If the dialogue process has been effective, you and the coachee feel listened to, respected, and “on the same page.” The Feedback Loop is covered in detail in Chapter 5.

Phase III: The Forwarding-the-Action Phase

In this phase, the coach moves the action forward in several ways. How this occurs depends on the situation and who you are dealing with. Regardless of whether you are working with a direct report who is on the verge of being fired or a star employee who is meeting all expectations and then some, or your peer or supervisor, you will forward the action by some combination of the following six steps.

- **One: Refocus on the Shared Vision for Success.** At this point in the conversation, the focus is turning to action steps that might be taken. To provide an appropriate focus, it is often helpful to calibrate by revisiting the vision for success going forward, as perceived by the coach and the coachee. This vision may, indeed, be a restatement of the organizational vision, or it may consist of a simple restatement of the goal, objective, or current priority to be achieved.

The next three steps represent options for change depending on the type of situation that is faced. Most successful coaching occurs at the first level, given there is a positive coaching history and relationship between the coach and the coachee. The second and third optional steps require more assertiveness on behalf of the coach and would be utilized if the first option yields unsatisfactory results over time. The three progressive optional steps are:

- **Two: Solicit and Suggest Options.** Since the best improvement ideas usually come from people who are actively engaged in doing a task, first ask the coachee for the options they see available to them. Being asked for input continues the feeling of a collaborative conversation, and, ultimately, leaves the coachee feeling empowered to act on idea(s) that may end up coming from them. If the coach has suggestions that have not been identified by the coachee, offer them up as well. As a coach, resist the tendency to “show how smart you are” by solving the problem first. Be patient. Continue to ask questions. The coach can best focus on supporting the coachee developing their critical thinking skills, being actively engaged in the solution, and building competencies and confidence.
- **Three: Request Specific Changes.** Based on your ongoing experience and perception of the coachee’s recent attitude, behavior, results, and the state of your relationship, you may need to escalate beyond offering suggestions. As coach, you be more assertive by specifying the nature of the change you want or need to see. Being specific by explicitly stating your needs can clarify expectations for both parties. These types of conversations may feel a little less collaborative, but are important in helping a coachee who is either struggling or resisting the previous approach of step two above.
- **Four: Require Changes and Clarify Consequences.** This option is highly assertive and direct. It only applies when the coach is the direct manager of the coachee. It is used only when the other preceding strategies have been ineffective at creating a positive, sustained change. By this point, you may have begun an informal or formal progressive-discipline process, and need to state the behavior and performance level required for continued employment. It could also simply be a non-negotiable goal connected to a strategic imperative, a matter of saving a customer, or a legal requirement. If this is a progressive discipline matter, it includes a timetable and full disclosure of the conse-

quences of not meeting the requirements. If there is still hope for a “turn-around” this step is appropriately characterized as coaching. Only if hope is gone and the person is in the final stages of being terminated, does it cease to be a coaching conversation.

The final two steps bring coaching conversations to closure.

- **Five: Clarify the Action Commitment and Follow-up Plan, and Offer Support.** Often, it helps the coachee gain focus if the coach asks them to state their understanding of their action commitment regarding what is going to happen and when. This is especially helpful if the conversation has explored various options and alternatives, and potential confusion exists on either side. This is also a good step to complete for assignments or projects that either the coachee or coach has a large stake in the outcome. The follow-up plan simply addresses when and how the next progress check might occur. Given the fullness of people’s job responsibilities these days, this accountability-setting step may be critical for the coachee’s/project’s success.

To effectively offer support, explore the support needs. Ask the question, “How can I support you?” Without taking ownership of any “problem” or action steps that belong to the coachee, this signifies commitment on behalf of the coach. It is designed to uncover possible actions the coach can take to optimally support the coachee, which reinforces the feeling of a true partnership between both parties.

- **Six: Debrief and Offer Appreciation.** A powerful way to conclude a collaborative coaching session is for the coach and coachee to debrief how this conversation went for each. What was helpful and added value? What could be enhanced in the process for their next communication?

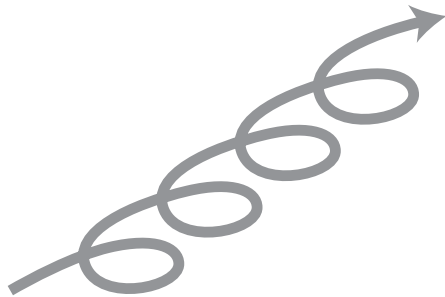
The act of offering appreciation goes a long way to continue building goodwill and trust in the relationship. There is an appreciation deficit in most organizations, so this concluding comment reinforces the interaction.

Chapter 6 covers the details of the Forwarding-the-Action Phase.

If this third and final part of the process model seems familiar, it is. Most managers and leaders have a tendency to focus on Forwarding-the-Action. "Make things happen NOW!" is classic Theory X in action—driving, pushing, and demanding results. It may be comfortable and familiar, yet this vital part of the coaching process often leads to unproductive stress, resistance, and resentment on behalf of all parties because little or no learning occurs. At best, Theory X achieves compliance.

The first two phases of the Transformational Coaching process are designed to create the relationship to support committed action that evolves through the collaborative, high trust dialogue. If people are not fully engaged at work, they are simply "going through the motions." Coaching that engages the heart leads to the release of discretionary energy, passion, and best efforts.

It is also important to note that the coaching process repeats itself. The content from one session becomes the context for the next session. It is really a threaded dialogue through time that becomes more focused and empowering for both players who are co-creating the future in a collaborative partnership.



The Transformational Coaching process both guides the creation of the coaching relationship and guides each ongoing coaching conversation.

Let's look at this process in more detail.