CHANGE MANAGEMENT COACHING

How Coaching Supports Organisational Transformation

David J. Rohrmann

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Prof. Rudolf Schüssler

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Submitted by

David Rohrmann

Badstr. 32

95444 Bayreuth / Germany

+49 177 47 96 50

david.rohrmann@web.de

Matriculation Number 957946

PHILOSOPHY & ECONOMICS

UNIVERSITÄT BAYREUTH

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1 | "Introduction"

1.1 Abstract and Motivation

"We can learn everything about China –
that alone will not make us Chinese" (Anonymous).

This work is about change, about management and about coaching. There are literally thousands of books on each subject already. However, I could not find a single one concentrating on all three aspects together, trying to analyse and understand their interdependencies. The title of this paper can be read in two different ways: Either it is change in management coaching or it is coaching for change management. Each way is adequate and needed at the same time. They all pay into the constituting triad of change – change management – management coaching. The thesis of this paper is that in order to cope with external change, organisations need internal change management, which itself relies heavily on coaching. Change management has to take into account the external dynamics (change) but also must understand more of the possibilities to influence interpersonal dynamics (coaching). Coaching strongly depends on how targeting it is. Therefore it must be aware of the individual but also organisational needs to survive in the eco-system. Consequently, all three aspects can best be mastered when seen and thought together.

The genesis of this paper was the desire to comprehend the dynamics of organisational changes and the possibilities to influence it, to shape it at best. However, examining only the organisation, the endeavour seemed useless and limited as it is useless to try to explain clouds without understanding weather conditions. I decided to take the largest most relevant frame an organisation can have: its socio-economic environment. This also led to the terminological addition of transformation, underpinning the need for broader and more profound organisational changes. The organisational capability to do so is subsumed as agility. Another type of limitations became clear to me when I looked at the inside of organisational change, exploring the characteristics of water inside the cloud so to say. Changing the structures, processes, policies, corporate identities and strategies alone, is not what confounds the sustainable development of a company's agility. It is the people each organisation consists of, who bear the burden of change and who drive it at the same time. They have to suffer personal setbacks but they can also profit from the great chances and opportunities coming along with it. Not everyone has the same affinity towards change and transformation, although some are obliged to deal with it. I am talking about leaders here that stand in the very front line of any change, often as leading examples and often as miserable resistors. Either way they are significant multipliers, for better or worse. The translation of dearly needed organisational agility into terms of leadership has led me to transformational leadership. This kind of leadership is a big challenge for every leading individual as it means great organisational responsibility and entails extensive personal requests. So, how to support leaders in times of change so they can fulfil their tasks with the best possible outcome – and without sacrificing their selves?

I think coaching is a very satisfying answer due to its methodological flexibility, task-orientation and systemic fitting. Coaching in business is relatively new and still far from established. This offers the opportunity to take influence on the understanding of coaching and its application without running against traditional walls of scientific segmentalism. With this paper, I hope to contribute to research and understanding of. Therefore I also did an empirical explorative study in the German speaking economy, asking 26 companies to see what the general distribution, the common understanding and usage of coaching is. The results of the study show that coaching is a widely known phenomenon. However, the scope of application is no proof of relevance for change and change management. Most questions give reason to confirm the argumentation suggested by this paper, yet there are also vague parts without clear indication. Altogether, there is still room for improvement of coaching in both, theoretical discussion and practical implementation.

1.2 Methodology and Overview

> "It is more exciting to think that you are creating a world
> than to feel you are merely replicating it" (Handy 1996: 17).

This paper does not contain extensive lists of miracle-orgs, no top ten of those companies that "did it", no star-coaches. The endeavour was to build a compelling theoretical construct that would not lack of practical relevance. Thus, the perspective of this paper is primarily academic, yet when it seems useful, practice examples are introduced. The selection of those is partially influenced by my coaching and consulting experiences. Also the literature about change, change management and coaching is so extensive that I had to make choices. I was trying to find a balance between the presentation of own ideas, the profound consideration of authorative authors from science and practice and the careful selection of sources, enriched by illustrating examples, in order to create a sound paper that is scientific, interesting, good to read and of practical use. There is always the possible danger of running into practical eclecticism but I personally think it does not apply here.

The aimed-at scientific validity and practical usability is not necessarily given in intercultural contexts. The incorporated view of this work is clearly dominated by western values and economic perspectives from developed industrialised countries. Cross-cultural particularities were not considered as this would have overstretched the size of this paper.

For reasons of readability, I have refrained from distinguishing between female and male descriptions throughout the work and used male terms only. Whenever there is the notion of “he”, “him”, “his” or “himself” this also holds true for the female counterpart and is in no way expressing any evaluation or discrimination.

The work is clustered in three main parts embedded in introduction and summary. It represents a three-step logic of why, what and how. “Why” entails the socio-economic frame for organisational changes. “What” describes the inner-organisational dynamics of change. “How” discusses the possibilities to positively influences these dynamics through coaching. Whenever suitable, this logic has been used in a fractal manner, thus each chapter itself tries to stick to a why-what-how structure without being dogmatic. First reasons and causes are given, followed by explanations and examples and finally concluding with in-depths elaborations of effects, functioning or empirics.

After the introductory part, the course of this paper starts in chapter two with presentation of external large-scale changes, its causes and effects in the eco-system of organisations. This chapter is the “Why” frame of organisational change and transformation. It entails the digital revolution, which is followed by the information age. Three phenomena of the information age that are important for organisations are given by the discussion of exponential technologies, abundance and customer experience.

Against this background, chapter three derives the need of organisations to transform in order to survive competition. In general, chapter three constitutes the realm of “What” organisations do and have to do to cope with the dynamic changes from the previous chapter. A comprehensive model describing the organisational difficulties to change is given with the Sigmoid-Curve. It is followed by the introduction of a systematicity of organisational change, organisational development and change management. Each discipline is discussed and together they form the field of possible changes in organisations. To gain a deeper understanding of change dynamics, a force field analysis of enablers and obstacles for change is done. It covers organisational learning, resistances to learn and change, the Vector-for-Change model and a compilation of organisational hurdles for transformation. It is secluded by a discussion that points out the main findings. These findings are then counter-checked with the empirics of a recent study about change management by Capgemini. The result is a widely confirmation with a strong support for the importance of leadership in change activities.

This is picked up in the beginning of chapter four, where the relevance of transformational leadership for facilitating organisational and individual changes is discussed along with an explanation of transformational leadership characteristics. It is followed by the introduction of coaching as support for transformational leaders. Together they both form the “How” character of this chapter. The introduction of coaching consists of its definition, distinction to other disciplines and basic forms of application. Transformational leadership and coaching are the core aspects of the “How” role of whole chapter. The next section, principles of coaching, provides a thorough examination of the functioning of coaching through feedback and trust. Right afterwards, prerequisites of coach and coachee to ensure successful coaching are expressed. Based on these theoretic conceptions of coaching, three different concrete coaching approaches are presented. They are: GROW and ACHIEVE coaching, NLP based coaching and systemic coaching. Each approach is screened by how suitable it is to support transformational leaders and thus to foster organisational agility. At the end of chapter four stands the empirical study about coaching in the German speaking economy. It is examined to see in how far the theoretical claims of the relevance of coaching for transformation are backed by the empiric findings and what could be possible reasons for and against it. Chapter five summarises the argumentation of the whole paper and critically reviews the achievements. A résumé and further perspectives in research and practice close the work.

Due to the amount of empiric material within the study about coaching, most of it will not be presented in the text. All of the results, at full length and with all statistical details can be found in the appendix.

2 | “Change” | Why

2.1 Framework

“Technology is neither good nor bad, nor is it neutral” (Kranzberg 1985: 50)

From the old Pharaohs in ancient Egypt through to the gold diggers in Alaska or the high-tech companies in the New Economy, most of the human beings strive and have striven for prosperity and economic success. Although success is rather an abstract term, meaning achievement of a significant goal that results in a higher social status, over 100,000 books are offered on Amazon.com, claiming to know something about success. With such a vast offer of solutions it should be easy for anyone to be successful: individuals, managers and organisations. The only problem is the relativity and alteration of critical success factors. They are not steady, they are coming up, diminishing, changing. Trivial but true, the question of economic success is strongly connected to the state of the very economy in society. Thus, along with the development of our societies and eco-systems, the critical factors of economic success are ever faster shifting, too.

> “’We are living in a changing world’ is a phrase that appears almost daily in newspapers and journals. As a generalization, however, it is fairly meaningless. It is given a content only if we define and describe where and what changes are taking place” (Lievegoed 1991: 37).

This chapter concentrates on providing an actual reference frame of changes in the western socio-economic system. It intends to illustrate and explain what will be needed for successful organisational adaptation to today’s upcoming evolutionary leap of society and economy. Describing the extra-ordinary dynamics and constituting drivers of recent and ongoing developments shall shape a vital image to get a profound background for the next chapter, where strategic necessities to transform organisations in order to stay alive and competitive will be discussed.

2.2 Changing Times

“In medieval times, as you approached the city, your eye was taken by the cathedral.
Toady, it’s the towers of commerce. It’s business, business, business”
(Campbell unpublished, quoted by Bennis / Thomas 2002: 167)

Already in 1992, Fombrun wrote that “globalization, technological change, deregulation and social recklessness are creating a revolution in corporate environments” (Fombrun 1992: 44). Times are changing organisations, yet organisations also change times. The worldwide deregulation and privatisation of state owned bureaucracies, the breakdown of the organisational giant project socialism, the new order in industrial capitalism after the end of pure mass production and last but not least the organisational crisis in education and culture make it easier to get the understanding that on the field of organisations, many decisions are made regarding what is socially possible or impossible (Baecker 1999: 9).

The structural break in the economy can be located in the shift from a social to a global market economy (Krusche 2008: 41). The foreplay of this paradigm shift was a change in political economy in the '70s and '80s. In the first decades after World War II the economic theory of Keynes (1936) dominated the political scene, resulting in large deficit spendings and a strong understanding of the state as economic power. The state was the largest investor and employer at the same time only until, starting in the Anglo-Saxon area, new neo-liberal thinking took over. The influential Chicago School with members like Coase (1937) and Freedman (Friedman / Schwartz 1963) reformulated the economic and political framework for markets and national economies at the same time. The state was no longer a player in the game but should pull back and restrict itself to a referee-like role of rule-setting and rule-enforcing. The new star on the field was private capital, the more the better (Krusche 2008: 41). Its relevance was supported by the growing focus on shareholder value. A term finally coined by Rappaport (1986).

Be it state-owned or private capital, in the epoch of industrial production, capital constituted the scarce resource because large investments into machines and production plants are impossible without capital. The bearers of this critical success factor were the banks. They became also an architectonic symbol for success. As the entrance quotation suggests, in former times churches or palaces were standing in the centres of most cities. In modern cities the banks usurped that space and changed the skylines of urban areas. This dominance lasted until a new kid was in town: information (and) technology. Both go together as well as separately, constituting the digital revolution by which they sound the bell for the end of the industrial age and lead to the information age.

2.2.1 Digital Revolution

A few decades ago, one had to call a telephone operator, tell him to whom one wanted to talk and a line for telephone communication was established. Today one digitises a phone number or uses the voice control function of a cell phone and the line is established immediately (Rodriguez / Ferrante 1996: 2). Instead of writing and receiving paper letters, today email has completely conquered the world of written communications with an estimated 247 billion emails per day in 2009.[1] Another example could be taking and sharing a picture. Starting with expensive analog cameras, over expensive analog film

[1] 81% of the worldwide email traffic is supposed to be spam. Both numbers come from a press release about the study "Email Statistics Report, 2009-2013" by The Radicati Group, Inc. in 2009 [www.radicati.com/?p=3237 15.08.20109].

rolls, to expensive film development on expensive photo paper, resulting in expensive albums to store it together with unhandy accessibility, this process consumed at least half a day and significant money. The digital answer to this sounds differently: Take a picture with affordable equipment, print it out yourself or store it virtually and send it instantly, without loss of money, quality or time to whomever you want to, anywhere around the globe. All of these technologies deal with information processing, transmission and storage.

> "However, the one characteristic of computer technology that sets it apart from earlier analog technologies is that it is digital. Analog technologies incorporate a combination of light and sound waves to get messages across, while digital technology, with its system of discontinuous data or events, creates a 'universal model' to represent information that is expressed by almost anything using light and sound waves" (Covell 2000: 58).

The digital revolution is at first a technological one, similar to the industrial revolution. It is a revolution as the progress of the new cannot be well captured in terms and scale of the old (even if "horse power" is still in use for describing the power of engines). Gains in productivity from traditional to digital photography, rise in efficiency from letters to emails and the multiplication of storage capacities while changing from analog to digital, all are off-chart and mind-blowing. A modern digital 2 terabyte 89-millimeter hard drive outperforms an analog 90-minute audio cassette in recording capacity by factor 25,435 with 4,680,000 compared to 184 minutes per square meter (Bollacker 2010: 107).

Digitalisation is like introducing a meta-language everyone can understand. The result is connectivity. Everything with a digital interface can potentially get connected to anything else with such an interface. It does not matter whether an email is sent in English or Chinese, every computer can read it. Computers can call telephones that can send SMS to cell phones that can watch television. TVs can go online for news-feds as well as washing machines can go online for updates of their washing routines. Even fridges go shopping on Amazon.com, while the house owner is busy watching his GPS equipped law-mower do its work automatically, programmed via Google Maps.

Lallana and Uy (2003: 8-9) define six aspects of digital technology that bring about the digital revolution:

- *Media Integrity*. Analog data cannot be reproduced without potential degradation whereas digital data lacks such deterioration.
- *Media Integration*. The examples above show the possibility of integrating multiple forms of media to different purposes, forming multimedia experiences.
- *Flexible Interaction*. In digital domains interactions can easily be re-assigned through versatile interfaces. Communicative channels do not have to be fixed but can be ad hoc and greatly varying in content, capacity and audience.

- *Transactions*. Transaction costs and speed of transaction accelerate the business environment nearly to real time, like movies and music on demand, or real time trading and banking.
- *Tailoring*. Easy and cheap reproductivity make it interesting to tailor digital goods strongly for different customer needs or simply for the own usage.
- *Editing*. Together with high connectivity, editing is another pillar of the digital world. Digital contents can be edited by almost everyone. Blogs, wikis, forums and Youtube already have outperformed classical encyclopaedias.[2]

Besides the aforementioned aspects the digital revolution is a revolution of information in many aspects like creation, storage, distribution, availability. Digitalisation made all these things easier, faster and cheaper. Digital contents are easier to produce, e.g. documents, films, photos, music, books. Even virtual arts or relationships share this phenomenon. The digital advantages of storing and accessing information have already been elucidated with the example of the tape vs. hard discs. Distribution via digital broadband glass-fibres and the internet as world wide informational backbone signifies a quantum leap in terms of usability, speed and price of information. This all results in an enormous availability of information and at the same time makes the availability of information a crucial success factor. There are no numbers about the net value of Google's database of the world wide web but it is certainly billions of dollars. The iTunes store sells music, digital audio information so to say, round the clock 24/7 a day, 365 days a year. And despite all the ready information, industrial espionage and copyright violations increase more than ever because information is worth bare money.

2.2.2 Information Age

The digital revolution heralded the start of the information age, which is characterised by the three aspects informational, global and connected. It is informational due to the central relevance of information as resource and good. Productivity and hence the competitiveness of agents, units or organisations fundamentally depend on their capacity to efficiently create, process and apply knowledge-based information. It is global since central activities of production, trade and consumption, together with their respective input factors like labour, capital, resources and knowledge are organised on a global, often circular level. It is connected because this globalisation is acted out through economic entities that are either directly linked or trough a network of linkages. Information as critical success factor is primarily generated in effectively connected collectives, constituting not only productivity but also competition (Castells 2010: 77).

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[2] [http://www.ftd.de/it-medien/medien-internet/:brockhaus-kapituliert-vor-dem-internet/316489.html 15.08.10].

The beginning of the information age can be linked to two events that extremely important for the presence of the characteristics above. Both took place within a narrow time frame in the '90s. The first was the invention of the first graphics-based web browser for the Internet in 1993, as it was a landmark in world wide information exchange. Whereas muscle power had been substituted in the industrial, in the information age computers were now replacing brainpower. Triggered through the invention of microchips and their continuous improvement in performance, the breakthrough came when large analog calculating machines were taught digital language. Miniaturized circuits (hardware) able to communicate in highly efficient digital ways (software) confound the dawn of the information age. The rise started when these small computer brains were linked with each other and could effectively build an interconnected network the internet, easy to access for everyone through personal clients equipped with web-browsers.

The second event was the foundation of the World Trade Organization (WTO) in 1994. This was the base for the economy in the information age to become truly global, an inherent characteristic of the information age. Through new technological possibilities the global economy has come closer to the capacity to work as one unit on a planetary scale and in real time (Lallana 2003: 14). Left were national frontiers that tried to protect national state interests and their economies to be merged in the global one. The WTO is mainly responsible to reduce these boundaries. It enforced to minimise trade barriers and tariffs among the member countries. The enactment of GATS (General Agreement on Trade in Services) in 1995, for example, was a significant step to ease the trade with transboundary services. The effects can be seen in numbers of Foreign Direct Investments (FDI). They are an important measure for the degree of globalisation because the show the connectedness between national economies. In the US alone FDI outflow has raised from $ 206 billion in 1980-89 to 1,629 billion in 2000-07 and FDI inflows from $ 329 billion to $ 1,421 billion.[3] These are more than 790%, respectively 432% increases in less than two decades.

In such a connected economy, the frontiers of the national state become less and less constitutive for international organisations. Ongoing discussions about outsourcing, relocating production sites, comparative advantages in productivity, cross-boundary currents of goods, capital and services make it clear that beyond all governmental efforts to control or at least to influence the economic scenery, the aspirations fall short behind reality (Krusche 2008: 31). Thus, globalisation in the information age can be referred to as "diminution or elimination of state-enforced restrictions on exchanges across borders and the increasingly integrated and complex global system of production and exchange that has emerged as a result" (Palmer 2002: 1).

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[3] [http://www.bea.gov/international/xls/table1.xls 12.08.10].

Interestingly, late losers of the information age will be banks. Money and capital is still handled but information becomes the lifeblood of economies. Already in 1998, Bill Gates was ascribed the quotation “Banking is necessary, banks are not” (Petzel 2005: 185). Of course, monetary transactions are still needed. That is the banking part. However, due to technological development and the following high connectivity, this can be done by most of the people themselves, any time and any where. Banks will not survive by merely providing the transaction service and charging for it. They have to engage in the information game, namely consulting, marketing and sales (Darlingtion 1998: 115). The world financial crisis has only give a hint of the following transitions the banking sector will undergo and that these transitions will not pass by easily.

2.3 New Market Dynamics

> “Contingent is something which is neither necessary nor impossible,
> what like it is (has been, will be) can be
> but is also possible in other ways” (Luhmann 1984: 152).

Changes in the information age became so fast paced, recursive and dynamic that they are hard to predict. Economy and society are in ever closer reciprocity, turning markets upside-down. In the dotcom-bubble in 2001, many learned the hard way and paid dearly for their exaggerated hopes in quick money. Nevertheless, money is faster to make than ever before. After not even two years of existence with only $ 11.5 million, the online streaming portal Youtube was sold for $ 1.65 billion. With 2 billion site views per day, the company is responsible for 10% of the global internet data traffic and 20% of the HTTP traffic.[4] Nobody could foresee this hype of small video clips being sent around the world, yet it happened. The Youtube example shows three traits that will be discussed in the following sections. First, it is not only based on exponential technology as prerequisite for its occurrence but also pushed the development and demand for further technologies like faster broadband connections or mobile devices with streaming and receiving capabilities. Second, Youtube in many forms is a leading example of abundance. Its content is plentiful with 65,000 new videos uploaded per day in average and Youtube itself is part of global media abundance with an overwhelming offer of radio, TV, music, film, picture and news consumption possibilities. Finally, the success of Youtube lies in how it serves a need for spot on entertainment and information. It touched a nerve by delivering a customer experience that has outrun other media in unpredictable dimensions.

These new paradigms of market dynamics are the contemporary and future challenges for organisations – till the next revolution sets in. Until then, companies will have to seek

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[4] [http://de.wikipedia.org/wiki/youtube 13.08.10].

their path through the jungle of possibilities and potential failures and find ways how to survive. Future in the information age is clearly contingent with great windows of opportunity and even greater uncertainties. Humanity probably would also have survived without Youtube. However, now that it is there, it changed the usage of the internet, the content industry and traditional broadcasters. Like mobile phones, that came and did not leave so far.

2.3.1 Exponential Technologies

How many years did it take for new media inventions to reach 50 million users? The invention of the radio, end of 19th century: 38 years, television: 13 years, internet: 4 years (Hannemyr 2003: 111). Facebook, the biggest social community platform in the world, needed about 9 month to generate 100 million users. If Facebook were a country it would be the world's 3rd largest after China and India with over 500 million users.[5]

"Technology is leading to the creation of new products, services, channels of distribution and even industries" (Holbeche 2006:34). Taking that for granted, one might ask then what leads to technology. Discussions of technological dynamics have offered contrasting perspectives of technological change as gradual or incremental like the doubling of processing power every one to two years, know as Moore's law (Moore 1965) "and the image of technological change as being rapid, even discontinuous" (Levinthal 2005: 237) like the classical waves of creative destruction phrased by Schumpeter (1934). Levinthal bridges both perspectives by using the analogy of the punctuated equilibrium (Gould / Eldredge 1977) in evolutionary biology. It suggests that species experience little evolutionary change for most of the time. When evolution takes places it does so in rare and rapid events of branching speciation, forming new lineages instead of gradually transforming whole lineages. The idea applied to technological change is that "discontinuities are generally not the product of singular events in the development of a technology" (Levinthal 2005: 238). The critical point is often a speciation event where more aspects come together. Existing technological knowledge is applicated to a new domain, a niche. First, this new niche is characterised by different selection criteria, like certain attributes of functionality or different price sensitivity, which put a higher selection pressure on a technology. The result is an accelerated and refined development process. Second, successful lineage development depends on a sufficient resource pool that is distinct from the old application domain. Otherwise the needed development cannot be nurtured since resources will flow to the established technology in its realm of application. New resource pools are for example easily acquired when the application domain entails new markets. The initial shift in domain usually implies quite minor technological changes.

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[5] [http://www.facebook.com/press/info.php?statistics 16.08.10].

Sometimes technology even stays the same for a while. But then change speeds up due to the different context. Eruptive notion mostly takes place when the newly developed technology that emerged from speciation is able to invade other niches, possibly including the original domain of application.

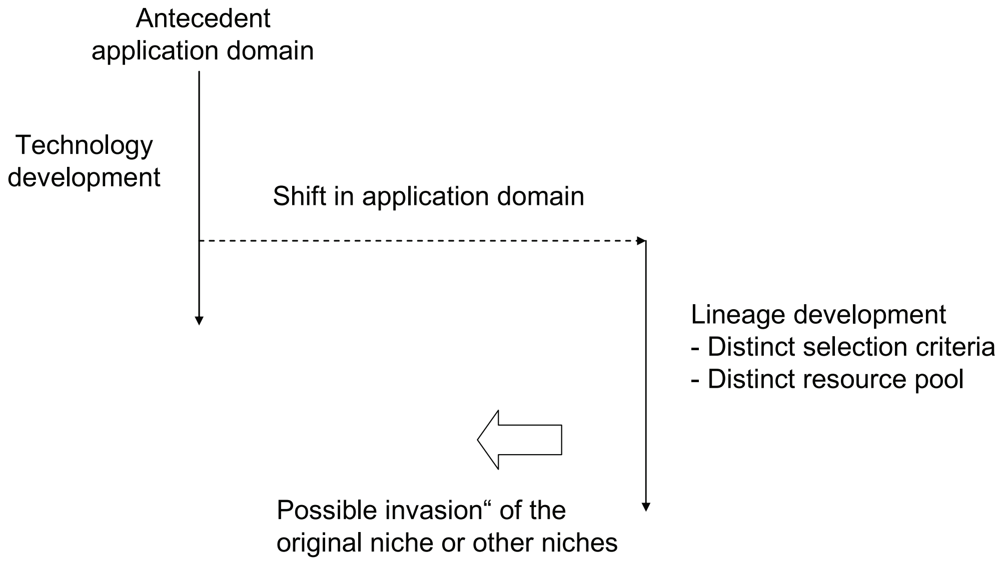

Figure 1 - Speciation in Technological Development (source: Levinthal 2005: 243)

One example where this happened was identified by Christensen and Rosenbloom, who analysed the hard disk drive industry. Initially developed for portable computers, rugged drives with low power consumption, smaller profile and less noise, eventually became a great success in the desktop computer market (Christensen / Rosenbloom 1995: 239-241).

An example of initial failure and late success is the development of tablet computers. Microsoft was developing touch screen devices years ago, yet it failed to address a new application domain, a distinct niche, where it had sufficient selection pressure and more important enough resources. For writing emails and mobile computing these early, highly costly devices could not compete against laptops or desktop computers. It was Apple that reframed the application domain to its digital lifestyle universe with wealthy customers and promising attributes of functionality like e-reading, easy usability, extendibility through the app-store and nice design. Consequently, Apple launched the iPad with the enormous success of selling over 3 million devices in 80 days, though the used technology was not revolutionary at all.[6]

Other examples are microwave cooking devices, using technology that was originally developed for military purposes, Teflon-coated pans, with materials that came from space ship insulations or radial tires, developed for race cars. Cell phones turned the application domain of mobile communication upside-down when two-way radio wave technology was re-used after it had been established in World War II.

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[6] [www.spiegel.de/netzwelt/gadgets/0,1518,711270,00.html 13.08.2010].

This model found entrance into this paper for three reasons. First, it captures the different and sometimes overlapping dynamics in technological change. Long lasting periods of slow progress, single alterations in context, newly thought application domains, ingenious steps in research, exponential or even recursive developments, all together create the accelerating swirl of technology we face these days. Second, this provides a vital frame to illustrate the difficulties for society, organisations or managers to predict, anticipate or initiate technological change. It appears to be a chaotic jungle of technological evolution, hard to be analytically penetrated, only to be fully understood ex post. Yet, to be at the right time at the right market becomes more crucial than ever for any innovative firm, deciding about success or failure. Third, besides the already mentioned examples supporting the model, there are many more that can help to refine one's understanding of the dynamics and to extract some best practice cases. This might be needed in times where "technology is both driving and enabling change. Technological advances are now of a different order than in the past. Rapid advances in new forms of communication technology are already dissolving barriers of distance and time" (Holbeche 2006: 34).

2.3.2 Abundance

Technology, productivity and globalisation lead to what Gross calls the multi-options society (*"Multioptionsgesellschaft"*) (Gross 1994: 11). Formerly local markets, tastes and target groups converge to a global shopping mall where everyone can sale or buy beyond imagination. Two scientist of the Stockholm School of Economics state:

> "In Norway – population 4.6 million – you can choose from 200 different newspapers, 100 weekly magazines and some 20 TV channels. In Sweden – population 9 million – the number of beers to choose from has increased from around 50 to over 350 in little more than 10 years. A single year can see the publication of 1,700-plus business books in the American market. Major label record companies launched 30,000 albums in the US in one year. In the same country, the number of annual grocery product launches has increased from 2,700 to some 20,000. To keep up with all the product launches, Procter & Gamble has more scientists on its payroll (over 7,000) than Harvard, Berkeley and MIT combined. There are more than 10 million blogs on the Internet and 40,000 new ones are added every day" (Ridderstråle / Nordström 2007: 71).

The number of possible options, interfaces, realms of possibility and alternative conceptions increases to incalculable dimensions (Krusche 2008: 21). This development is primarily affecting, yet also driven by, the industrial sector. The high degree of maturity in many industry sectors has led to an abundance of similar products because the companies tried to differentiate themselves from their competitors over the product. A good example for abundance in a mature sector is the mobile phone market. Nokia has launched 21 different models in their first decade of mobile phone production from 1982 to 1992. In the next ten years, 1993 to 2003, this number has undergone a nine-fold increase to 187 different products.[7] This was even before the smart phone boom. In 2003, the first mobile phone that could take pictures was launched. All other 186 phones could basically not do more than providing voice and text communications. Meanwhile some companies recognised the lucrativeness to offer intelligent services and solutions that are connected to their products. Apple earned $ 1.6 billion in one quarter with its iPhone compared to $ 1.1 billion that Nokia made with its whole product range of more than 50 phones.[8]

Explanation lies in changed customer needs. In the abundant information age, prosperity frames a pyramid of needs for consumption. Consume serves basic functionalities first. If these are satisfied and common grounds, service is the next level that makes consumption easier, more convenient and more personal. The last step is that "people – liberated by prosperity but not fulfilled by it – are resolving the paradox by searching for meaning" (Pink 2006: 35). The development can be paraphrased as follows: First, people wanted improved means of transportation. A car was a technological jump forward in comparison with a coach. Once cars have been established and most of the cars do not differentiate much anymore in their functionality, for most consumers it is no longer necessary to own a car. What matters to them is simply mobility. Hilti, a renowned producer of power tools like drilling machines, had discovered that their customers rather wanted a hole in the wall than a tool lying in a box and rented their tools with great success.[9] The object moves to the background and service becomes essential. For the great car manufacturers, car rental services became severe competitors. They can provide mobility cheaper and more comfortable. Sixt offers a rental flat rate for managers who can pick up and drop "their" car at any airport or service point around the globe.[10] And when mobility is provided, customers will strive for experiences with higher meaning. From transportation to transcendence could be the slogan of cars in an abundant world. Today this abundance is still a phenomenon of the developed world. Using the example of America "where even the poor are rich by past or Third World standards", abundance "made it possible to extend the quest for self-realization from a minute fraction of the population to almost the whole of it" writes Nobel Prize-winner Fogel (2000: 3).

2.3.3 Customer Experience

The described developments put a neo-classically neglected market-side back into focus: the customer. "Given the wide availability of competitor products and services, customers have now choice and power" (Holbeche 2006: 36) and they are using it to

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[7] [http://images.dailymobile.se/wp-content/uploads/2009/08/all-nokia-phones-ever-made.jpg 17.08.10].
[8] [http://spiegel.de/netzwelt/gadgets/0,1518,660663-2,00.html 17.08.10].
[9] [http://www.us.hilti.com/holus/page/module/home/browse_main.jsf?lang=en&nodeld=-114859 15.08.10].
[10] [http://www.sixt.de/mietwagen-reservierung/carabo/ 15.08.10].

maximise their experiences. According to Colin Shaw, who did extensive research on this field in cooperation with the London Business School, 95% of senior business leaders think that customer experience is the next competitive battleground (Shaw 2007: 5). This is backed by a Forrester survey where 80% out of 141 North American companies want to differentiate themselves from competitors in their or across any industry (Temkin 2010a: 3). Despite its high relevance, the term customer experience has a vast understanding and usage. I will use an utmost broad definition of customer experience as moment of truth where the customer becomes “a co-creator of value” and where “the brand becomes the experience” (Prahalad 2004: 23). This probably entails every customer company interaction, as further described by Meyer and Schwager (2007), who name also a dominant problem along with it:

> “Customer experience is the internal and subjective response customers have to any direct or indirect contact with a company. […] Customer experience encompasses every aspect of a company’s offering – the quality of customer care, of course, but also advertising, packaging, product and service features, ease of use, and reliability. Yet few of the people responsible for those things have given sustained thought to how their separate decisions shape customer experience” (Meyer / Schwager 2007: 118).

In a fierce competitive environment this lack of strategic clarity can lead to severe losses or at least lost opportunities. Based on 4,600 consumer opinions, Forrester’s Customer Experience Index (CxPi) 2010 ranks 133 US firms across 14 industries for their ability to deliver a good customer experience (Temkin 2010b: 1). In the first diagram, customers of firms in the top quartile were 6.7% more likely to make additional purchases from the same company than the industry average. Customers of those in the bottom quartile were 7.7% less likely to make another purchase. Without a direct purchase consideration, the numbers are even more significant. Customers of companies in the top quartile are 8.2% more likely to stay with their providers because they simply do not want to switch.

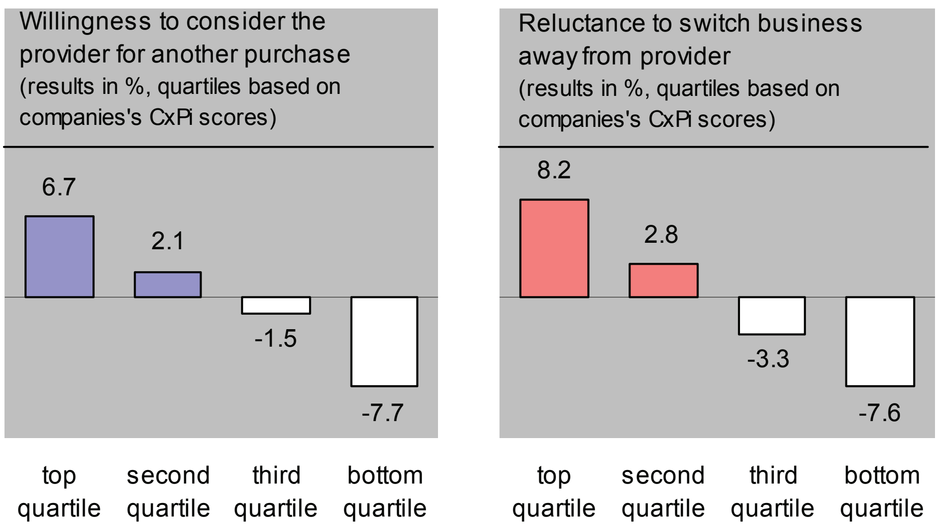

Figure 2 - Percentage of Customers Who Are Loyal Compared with Industry Averages across Two Loyalty Measures (source: own figure based on Temkin 2009: 5)

In financial terms these loyalty levels correlate strongly with a company's market performance expressed by revenue. Except for the health plan industry, any 10-percentage-point swing in the CxPi means an estimated difference of "$260 million per year on a base of $10 billion in revenues" (Temkin 2010: 10). The challenge is to find the right levers to deliver a better customer experience. Implementing a transparent analytical measurement for delivered customer experience is as important as to create customer awareness in the mindset of those responsible for it. Especially the latter aspect makes it an actual change management subject since it involves the thinking and behaviour of people.

> "It also requires a willingness to question long-held internal beliefs reinforced through repetition by upper management. The executive in charge of the customer experience needs to have the courage to raise these questions, along with the instinct to look for ways to self-fund customer experience improvements. Sophisticated companies that figure out what matters most to customers, eliminate the investments that don't matter, and finance the ones that do will thrive — and may find themselves, when the economy returns to normal, with fewer competitors" (Braff / DeVine 2009: 60).

In saturated markets this is extremely valuable and most western companies face exactly such environments, where they cannot afford to fail on customer experience. As Musico puts it: "When the economy (eventually) rebounds, customers will be swayed by differentiators. That's why the smart companies are investing in customer experience now" (Musico 2009: 23). This is no trivial task because sometimes customers do not even know for themselves what experiences would be most fulfilling for them. "If I asked my customers what they wanted, they would have simply said a faster horse" (Ford, quoted by Hornby 2009: 51) is a common quotation by Henry Ford, producer of the T-Model. Delivering substantial customer experiences will be a touchstone for company strategies.

3 | "Change Management" | What

3.1 Transform to Survive

> "When change is discontinuous, I argued, the success stories of yesterday have little relevance to the problems of tomorrow; they might even be damaging. The world, at every level, has to be reinvented to some extend. Certainty is out, experiment is in" (Handy 1996: 16)

Even though the last chapter is far from a complete overview about ongoing and anticipated dynamics and drivers of change, it became clear that changes of the eco-system are ubiquitous. Change is challenging and if the challenge is not met appropriately companies cease to exist. A process that is similar to Darwin's "survival of the fittest" (Darwin 1869: 77) in evolutionary biology. Given that the average life span of a European or Japanese company of any size is 12.5 years, 40% of newly founded firms are gone after ten years and that even the largest multinational corporations, belonging to the Fortune 500 or equivalent, are swept away after 40 to 50 years in average (de Geus 2002: 1-2), mere survival is a tough endeavour and a success itself. Collins examined 18, by his definition, visionary American companies that are older than 50 years to see if they share any commons. Unsurprisingly, "visionary companies display a remarkable resiliency, an ability to bounce back from adversity" (Collins / Porras 2002: 4). Though slightly tautological, this statement shows that surviving does not rely on completely evading any misfortune but to be able to cope with it every time it occurs.

The question is then, what does a company need in order to commercially stay alive? Based on the following definitions and explanations, my answer to that is: the organisational capability of constant transformation, which is expressed by the organisation's agility. The term capability signifies the readiness for execution when needed. A capability is a complex of skills, based on profound knowledge and training, that are always ready for application. Wikipedia provides a convincing definition: "capability is the ability to perform actions, …the sum of expertise and capacity."[11] The notion of organisational capability refines the context, which is discussed in great detail in the same titled book "Organizational Capabilitiy" written by management-guru David Ulrich (Ulrich / Lake 1990). Constant in this context does not refer to a static or uniform state, like constant temperatures, but to a temporal dimension, like a constant awareness, which is ongoing, permanent and continuous. I have chosen transformation over change since it has a different focus. Transformation is more connoted with radical alteration,

[11] [http://en.wikipedia.org/wiki/Capability 17.08.20109].

conversion, crossing borders, with non-linearity, the hard to explain transitional stages, unpredictability and groundbreaking developments (Krizanits 2005: 72).

> "Organization transformation implies radical changes in how members perceive, think and behave at work. These changes go far beyond making the existing organization better or fine-tuning the status quo. They are concerned with fundamentally altering the prevailing assumptions about how the organization functions and relates to its environment. […] Not only is the magnitude of change greater, but the change fundamentally alters the qualitative nature of the organization" (Cummings / Worley 2009: 506).

In other words, transformation is what makes the caterpillar to a butterfly and the tadpole to a frog. Finally, agility gives a more detailed picture of what the transformation capability consists of. It provides a comprehensive answer to the challenges and threats of the changing eco-system by turning them into opportunities. According to Goldman, Nagel and Preiss agility in the organisational context is "dynamic, context-specific, aggressively change-embracing, and growth oriented" (Goldman / Nagel / Preiss 1995: 42). They differentiate four strategic dimensions of an agile company: value adding for the customer, cooperating for competitiveness, organising to master change and uncertainty, leveraging people and knowledge (Goldman / Nagel / Preiss 1995: 73-74). Under a close look, these dimensions together with the definition of agility fit well to the results of De Geus who, alike Collins, examined 27 large companies that are over 100 years old and searched for common traits. His findings are: sensitivity to the environment, cohesion, tolerance and conservative financing (De Geus 2002: 6-7). Agility understood as sum of key factors for survival relates to De Geus' attributes as follows.

1. *Sensitivity to the environment* has to be *context-specific*. It is a company's ability to learn from, adapt to and at best also shape its eco-system. By truly *adding value for the customer*, long-surviving companies "have woven themselves into the very fabric of society. Imagine how different the world would have looked and felt without Scotch tape or 3M Post-it notepads, the Ford Model T and Mustang, the Boeing 707 and 747" (Collins / Porras 2002: 4).
2. *Cohesion* and *dynamic* depend on each other. Without a strong cohesion a company is likely to break apart during transformation. Vice versa, an unrelated vague compound of departments and individuals will have a hard time when they need to dynamically act in concert to change. Both "are aspects of a company's innate ability to build a community and a persona for itself" (De Geus 2002: 9). Way and goal are to *cooperate for competitiveness* amongst all parts of a company to avoid unintended segmentation.
3. *Tolerance* is essential to be *aggressively change-embracing*. Only when a company accepts diversity and fosters differing mindsets and behaviours, transformation

becomes possible. An organisational corollary to *master change and uncertainty* can be decentralisation. Understood as symptom of trust towards outliers, trials, experiments, particularities and eccentricities it serves to stretch the understanding of possibilities (De Geus 2002: 7). It also shows a company's awareness and ability to build and keep "constructive relationships with other entities, within and outside itself" (De Geus 2002: 9).

4. *Conservative financing* means being cautious on risky deals to have spare money available when sustainable growth opportunities show up. That way, *growth orientation* is to have the financial ability to effectively govern growth and evolution (De Geus 2002: 9). Especially investments to *leverage the impact of people and knowledge* provide the basis for further growth. "As a result, visionary companies attain extraordinary long-term performance" (Collins / Porras 2002: 4).

The degree of agility as qualitative measurement of a company's capability to transform in order to survive makes it a target value for organisations. Assuming that not every company is already agile to its full extend, striving for agility should be of top priority for every organisation development strategy.

3.2 The Sigmoid-Curve

> **"Critical Success factors for key activities that are critical for competing and winning can and have been identified. Most of them are attitudinal or behavioural, and are not difficult to adopt" (Coulson-Thomas 2006: 5).**

If the claim of the quotation were true, the numerous failing of companies described above seems odd. It is not far-fetched that there have to be obstacles on the path to survival, which might not be as easy to surround as is suggested by Coulson-Thomas. A convincing, clear and illustrating form to explain the organisational difficulties to change comes from Charles Handy, founder of the London Business School and one of the most influencing management writers of our times.[12] It is based on an anecdote Handy tells in his book "The Age of Paradox" (1994). While walking in the Irish mountains Handy asks for the way and a local replies he should cross a bridge, walk straight to Davy's Bar and when he is there take a turn right up the hills half a mile before (Handy 1994: 49). The logic is simple and paradox. "By the time you know where you ought to go, it's too late to go there, or, more dramatically, if you keep on going the way you are, you will miss the road to the future" (Handy 1994: 49).

This insight let him to his influential interpretation of the Sigmoid-Curve not as mere product life cycle but as the rise and fall of many corporations. If that were all, there would

[12] [www.thinkers50.com/gallery 23.08.10].

not be much to discuss despite where on the curve a company is now. The trick to escape the fall is to initialise a new Sigmoid-Curve. This might sound simple, yet is hard to achieve. The reason is that it takes a radical change, a transformation to really boost up a new curve at the right time. Slight portfolio changes and a new product line will not be enough if it is more of the same only a little better. As the figure below shows, timing is crucial and bears a good part of the paradox. The arrowed crosses in diagram (2) and (3) signify the potential losses.

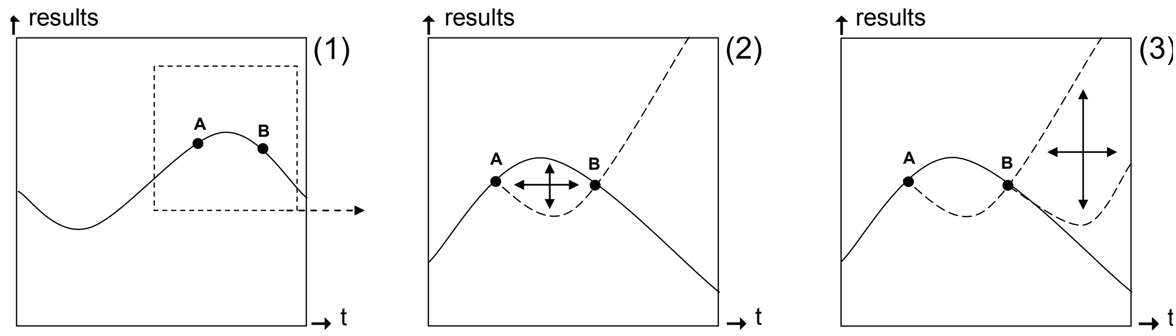

Figure 3 - The Sigmoid Curve (source: own figure based on Synnot / Fitzgerald 2007: 26)

Economically it is better to start transforming at point A like in (2) than at point B like in (3), however, A is easy to miss. The problems are (a) to engage in abandoning the old curve while things are still going very well, (b) to take most possible advantage out of the old curve and (c) to accept that two curves will coexist for some time (Hiebert / Klatt :73).

(a) The difficulty at point A is that all signals coming from outside or within the company are positive (Handy 1994: 51). The results are good, there has been steady growth, raising market shares or profits and probably the forecast is positive. A successful organisation is also more likely to keep their employees, pay bonuses, offer better job opportunities and likely the mood within such a company is good as well. There seems to be no reason for change as common proverbs like “never change a winning team” or “if it ain’t broke, don’t fix it” suggest. The resulting organisational complacency should be a reason itself for change but at the same time it strongly immunises a company against it (Elearn Limited 2005: 3). Handy quotes a CEO who told his managers that the company was very successful and therefore it had to change the manner of work completely. That CEO was at point A and could see over the hill to point B – and nobody wanted to listen. After three years the company was on the down slope and fired the CEO for he had brought the company there (Handy 1995: 57).

(b) The smart allocation of resources needed to transform is another pitfall. Energy, mood and finances are good at point A, just not for transformation. At point A it would be the best time to initialise big scale change programmes since they could be funded without problem and the occurring losses could be easily compensated. At point B instead, a company becomes more and more cash-strapped, cut downs are made, employees are let go, the top management is exchanged and finally when everyone sees the need to transform it becomes much harder to do so as at point A. From a certain point it also becomes more difficult to mobilise resources because the credibility the organisation had at its peak is diminished (Handy 1994: 53). As consequence, the total losses compared to the ones of changing at point A are significantly higher.

(c) Once transformation has started, especially at point A, it requires an organisational stretch “to keep the best things from the past while ensuring that they change as necessary to meet the future” (Zbar 1996: 6). This is the very nature of transformation and no easy task. Sometimes it is easier to create a new firm instead of trying to change the existing one. Examples are company off-spins, like car manufacturer Saturn from General Motors.

3.3 The Systematicity of Change, Development and Management

“Like it or not, the times are changing. More of us are going to have to run organizations which we cannot see, and learn the ways to do it” (Handy 1996: 214).

Three different levels in the systematicity of internal change of organisations will be used in this section: descriptive, normative and prescriptive. This distinction is borrowed from decision making theory (Bell / Raiffa / Tversky 1988), though it also exists in other academic areas. Changes in the environment and eco-systems of organisations as described in chapter 2 are not part of this view. They could be referred to as constitutive or level zero changes. The first level is the organisational change that de facto happens and has happened. Its quality is descriptive as it relatively has the most objective notion since it is mirrored in company results, market data, differing internal structures and shifts in corporate culture. “Scholars can study this domain without any concern whatsoever of trying to modify behavior, influence behavior, or moralize about such behavior” (Bell / Raiffa / Tversky 1988: 16). The second level is organisational development, which has a strong normative character. Often it comes with a corresponding vision entailing an idealised future state. It contains the strategic long-term direction of development a company ought to pursue. Therefore organisation development can “be perceived as an imperative, i.e. something that managers needed to do” (Mills / Dye / Mills 2009: 9). The third level is change management. It consists of concrete measures and actions with middle to short-term focus. It uses tools, methods and models to follow up the organisation’s development planning. Through providing guidance and instructions it can be seen as prescriptive. That is supported by the notion that “prescriptive models are evaluated by their pragmatic value” (Bell / Raiffa / Tversky 1988: 18) and the circumstance that change management is more programme-oriented with a stronger focus on direct success (Doppler

/ Lauterburg 2008: 93). The following figure illustrates the interconnection between the three levels, leaving aside the external change.

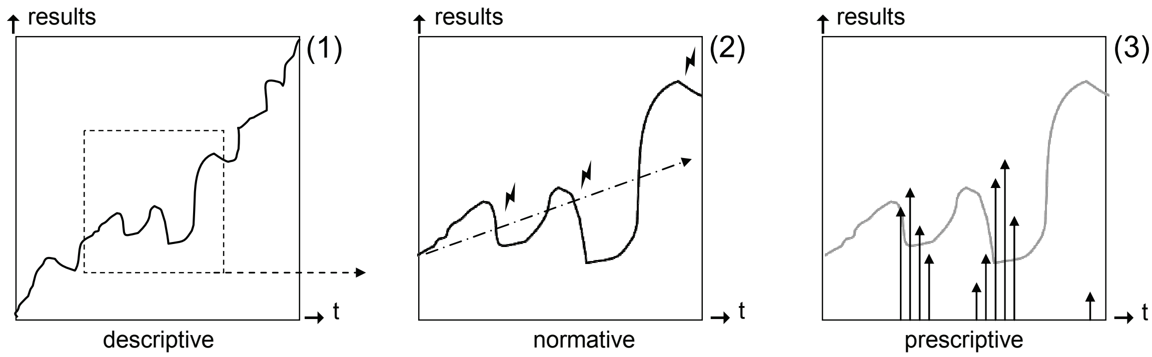

Figure 4 - Systematicity of Change (source: own figure)

Box (1) is the organisational change that really has taken place. The content variable on the Y-axis is denoted as "results" though is rather meant as placeholder for any appropriate measurement, which is likely to differ in various contexts of companies. In box (2) a zoom in with a shorter time frame is shown where the factual change (curve) is represented together with the intended organisational development (dotted arrow). Each spark signifies the final awareness for a down cycle: a typical point B in the terminology of Handy. Box (3) pictures the same segment as (2) yet instead of the organisational development, two separate initiatives of consecutive change management programmes (upward arrows) are inserted. This follows the idea from the previous section that usually change programmes are launched when the crisis is already there instead of preventing it. A more detailed consideration of each of the approaches and its characteristic dynamics will be given in the next sections.

3.3.1 Organisational Change

Although first prominent theories about organisational change date back to the '40s and earlier (Lewin 1947) the rapid growth of published books and journal articles started in the mid-'70s and peaked mid-2000s with around 2,000 articles written on that subject in between 1998-2002 (Mills 2003: 77). The term organisational change is "used to describe widely divergent processes that have different levels of impact" that are "transactional, incremental, radical, transformational" (Holbeche 2006: 5). Watzlawick distinguishes two meta-levels of change as first-order and second-order change (Watzlawick 1974: 29-30). This distinction is also supported by Bartunek and Moch, who state that first-order changes are transactional or at most incremental changes that make sense within the established organisation's framework or modes of operating. Second-order changes are alterations of the framework itself (Bartunek / Moch 1987: 484) that lead to radical or transformational changes.

Transactional changes usually imply the moderate modification of formal structures, working relations between individuals or teams, process improvements, the introduction of new equipment or co-workers. These low-level changes are part of the regular noise of the organisation and are easily integrated into the daily work routines (Holbeche 2006: 5). Incremental change has a significantly larger focus. Though still gradual it is less reversible than transactional changes. It can be departments or units that are restructured, a redesign of single parts of the value chain or the improvement of key functions like recruiting, controlling or customer interfaces (Mills / Dye / Mills 2009: 32). Radical changes aim at an organisation's reference frame. They do not only contain modifications of the player but try to alter the game. Strategic mergers and acquisitions are an example of whole divisions that used to play an important role for the company's business but are integrated with other companies. Transformational changes require basic shifts in attitude, mindset, behaviour and culture. They are "a redefinition of the relevant psychological space" (Golembiewski 1979: 413) of an organisation. Shifting the market place along with an organisation's core business can be economic expressions of such change.

First-order changes are more likely to create resignation or resistance, due to frequent repetitions or uncomfortable readjustments. They are easier to predict for those affected and easier to adopt. Second-order changes with their more discontinuous nature rather provoke fear than resistance. If it comes completely unpredicted and was not communicated either, it can even lead to states of shock or paralysis of the whole organisation, parts of it or single individuals (Holbeche 2006: 5). This is important to keep in mind as potential down sides of different types of changes, including the fact that they occur in form of a psychological step-function and not as gradual decline.

3.3.2 Organisational Development

The goal of organisational development is to influence organisational change intentionally. Therefore it is sometimes also referred to a "planned change" (Mills / Dye / Mills 2009: 42). Organisational development as discipline emerged from various approaches in applied behavioural sciences in the '40s and '50s (Holbeche 2006: 234), which makes sense as the common notion is to influence behavioural patterns, be it those of organisations or individuals. The abovementioned Lewin provided one of the first models on the field. It also marked the transition from descriptive understanding of organisational change to the normative approach of organisational development. Lewin's three step model to unfreeze-change-refreeze (Lewin 1947) implies the requirement to bring an organisation out of its equilibrium in order to be able to change it for the better. This also reflects the classical thought of organisational development that an organisation is either in one state or the other. A thought that often still prevails today, making Lewin “the intellectual father of contemporary theories of applied behavioural science, action research and planned change” (Schein 1988: 239).

Since then, organisational development has undergone extensive refinements, mainly about its scope, targets and means. However, the frameworks of organisational development “largely reflect traditional assumptions and approaches developed at a time when first-order change predominated” (Chapman 2002: 16). This can be well seen in the six characteristics of organisational development described in a contemporary teaching book (Harvey / Brown 2001: 5):

- *Leading change*. Change is planned by managers to bring about organisational change through efforts that aim at specific objectives in previously diagnosed problem areas.
- *Collaborative*. In a collaborative approach, all members most affected by the changes should be involved.
- *Performance*. An organisational development programme should include an emphasis on improvements of performance and quality.
- *Humanistic*. Organisational development relies on a set of humanistic values that aims at becoming a more effective organisation by increase use of human potential.
- *Systems*. The systemic view is concerned with the interrelation of various parts within the total organisation.
- *Scientific*. The basis for organisational development should always be scientific approaches to increase the effectiveness of a company.

The narrow focus on internal structures, enhancements, considerations regarding scope and targets has caused a common criticism of organisational development to not being able to see beyond the boundaries of the organisation. It would be needed in turbulent times to foster the capability to reflect and actively engage in processes not only within but around the organisation (Doppler / Lauterburg 2008: 96). Organisational development has to embrace radical or transformational second-order changes as claimed by Burke already in 1987 since “for significant organizational improvement and for ensuring long-term survival and renewal, however, change must occur in more fundamental ways” (Burke 1987: 41-42).

According to Schein, another difficulty is the toolbox of means that serves organisational development. In the field of practice, the growing popularity of organisational development made it attractive for those making their money with it to have a suitcase full of saleable products like tools, techniques, training packages and concepts. The result was a growing loss of the normative nature of the discipline, since it was easy to forget about the questions why to use certain concepts and methods, what conditions they are based on and what capabilities are needed to use them effectively and responsibly

(Schein 2000: 23). Under the different aspects of a generic system of means including feedback, education, value system, negotiation, confrontation, communication and cooperation (Fatzer 1999:150) everything from job enrichment and rotations to total quality management and six sigma over balanced scorecards and business process re-engineering can be and is subsumed, leading to a myriad of theories and practices (Mills / Dye / Mills 2009: 50).

A concluding idealised description of organisational development that clearly unfolds normative claims, contains second-order change aspirations and strives for key success factors is the following:

> "Organization development (OD) is long-range efforts and programs aimed at improving an organization's ability to survive by changing its problem-solving and renewal processes. OD involves moving towards an adaptive organization and achieving corporate excellence by integrating the desires of individuals for growth and development with organizational goals" (Harvey / Brown 2001: 4).

3.3.3 Change Management

According to Doppler and Lauterburg and in line with the aforementioned critique of organisational development, change management has displaced organisational development to a large extend for three reasons. Firstly, the term change is perceived to be stronger and more aligned with the environmental dynamics. Secondly, the formulation change claims to be actively driving any alterations whereas development is said to be of a more passive, evolving nature. Thirdly change management is open for different references, like goals, strategies, processes, people and mindsets. It has not the omnipresent focus on the organisational dimension, which also benefits a stronger result orientation due to a shorter time span of intervention (Doppler / Lauterburg 2008: 96-97).

Like organisational development, change management is not a precisely framed discipline with clearly defined and acknowledged boundaries (Burnes 1992: 152). Both share common roots from social sciences and are heavily influenced by each other. However, change management can be seen as the executive of organisational development. As the word management clearly suggests: there is something that has to be managed, hands on. It delivers the necessary measures and implements them. At best it gives direction and support to what exactly has to be done and how to do it to fulfil the strategic needs. This constitutes its prescriptive nature. The space for vague and general thinking provided by change management is much smaller compared to organisational development.

At a macro-level, the activities of change management can be clustered in three target fields that are strategy, structure and culture. This three step concept is a condensed version of the McKinsey 7S formula developed by Peters and Waterman (1982). Strategy is a deliberate or emergent pattern of decisions about a company's future. It is the ultimate direction an organisation is supposed to head to. Structure is the sum of all formal relations, processes, roles and responsibilities. Culture is the prevailing set of values, beliefs, attitudes, mindsets, behaviours that are shaping a company (Grundy 1995: 28).

The order of the three aspects points the increase of resources and time needed for changing and superficially at the growing difficulty. To change the strategy takes only a well thought decision. It can be done in the heads of a board or a CEO. The according restructuring takes more time and actions and to really change a company's culture is a long and tough endeavour. The notion of superficiality hints at the fact that all three aspects are strongly depending on each other and none of them can be truly changed without the others. For example a formal change of the strategy stays formal and intentional as long as it is not implemented through structure and culture. A structure with flat hierarchies will not be fully installed if there still prevails a strong culture of hierarchical command and control.

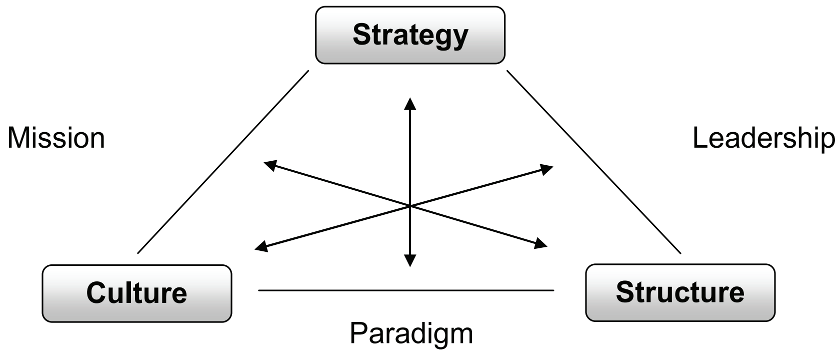

Figure 5 - Triangle of Change (source: own figure based on Grundy 1995: 28)

In addition to the three main aspects of change, there are three governing linkages that are interdependent themselves. Each of them expresses the need of coordination and cooperation between the aspects it is linking and is thus expressing one of the key functions of the opposite third aspect.

Leadership is a key link for strategy and structure since even when the strategy is sound the structural implementation will fall short as the enactment of new structures will not galvanise itself. A culture of supportive and transformational leadership is an essential contribution to any change programme. On the one hand it is actively bringing about the change. On the other hand it is a symbol for change because it also reflects the new paradigm and mission (Grundy 1995: 29).

The paradigm as link between culture and structure is the implicit organisational counterpart of the strategy. The idea of a paradigm change originally comes from Kuhn (1962) and roots in the theory of science. In the field of change management it was popularised by Johnson, for whom a paradigm entails

> “the routinized ways that members of the organization behave towards each other, and between parts of the organization; the rituals of organizational life which provide a programme for the way members respond to given situations and prescribe ‘the way we do things around here’” (Johnson 1992: 30).

Though a newly formulated strategy is likely to be implicitly influenced by the paradigm, the paradigm of how things are done as interaction of culture and structure will eventually have to be changed to give way to the new strategy.

A mission or mission statement represents the collective “purpose, aims and values of an organisation which help define the intended scope of the business and the anticipated rewards to stakeholders” (Grundy 1995: 34). It is more concrete than a vision and has a rather communicative than inspirational function. That way it also supports a kind of “branding from the inside out” (Atufunwa 2010: 45), serving the whole spectre of stakeholders from employees to customers alike as orientation. The mission needs to be reflected by the structure of an organisation to ensure credibility. Claiming to foster individual creativity and responsibility while not having any company suggestion system or performance related payments in place, is definitely counter productive to establish a mission. The same goes for the mission, which should not promise things a company structure cannot deliver within decent time.

All three key linkages bear a kind of chicken or the egg causality dilemma, which makes it difficult for any change management to decide where to put the levers. Leadership emerges from culture and heavily influences it. The same holds true for the paradigm-strategy and the mission-structure relations. Fortunately, change management does not ultimately have to bother with the question of what came first or what is more relevant if the organisational development has laid out a normative strategy. Each main aspect and its belonging counter part need careful attention. What and when concrete change programmes are rolled out is a matter of development strategy and priority, but also of resources and change abilities.

As suggested by Handy there seems to be a certain mismatch between the appropriate timing of change management programmes and their target orientation for the organisational development. When everything is fine or even above the targets (see figure 4) change measures are easily cut down since on a short term focus they pay best into profitability of a company by non-existence. This is supported by an international study conducted among 150 leading organisational development executives. In 2008 with the starting of the world financial crisis, 48% of the participants were expecting increasing budgets. Now in 2010, with the first signs of economic recovery, this number went down to 28%. 26% already calculate with declining budgets compared to only 6% in 2008 (Seufert / Diesner 2010: 11).

The nature of change management, just like innovation or any other future-oriented task is to produce immediate costs with delayed returns (if any). Every manager who needs to improve his quarterly results can do so by stopping change activities. Only when times get rougher, change management is getting back to action. This seems to be especially the case for those activities that tackle the culture cluster and its counter part, the key link leadership, since they take the longest time to change and consume the most resources. Due to the scope and the intention of this paper I will put my focus mostly on the cultural and leadership aspects of strategic change and transformation.[13]

3.4 Force Field Analysis of Enablers and Obstacles for Change

> "The whole purpose of corporate people development is to effect a behavioural change. Any time you want to educate, train or develop people, what you are really doing is asking them to change." (Saacks 2007: 6)

The described systematicity of change provides a structural shadow box to any kind of change, development and transformation. It helps to get an overview of the subject yet lacks of more detailed content so far. The problem is the overwhelming mass of understandings and applications on each level. The amount of books and articles about organisational change has been mentioned above. Already in 2000, Trebsch collected and analysed 50 different definitions of organisational development, stating that he could have easily gotten a hundred (Trebsch 2000: 50). The situation with change management is even worse because it overlaps with any form of management. Of course the matter is penetrable but by now, there exists no book that claims to cover all change management philosophies, frameworks, models and interventions.

To get deeper into the subject of change and transformation, the following section will contain a selection of drivers, marked with "+", and obstacles, marked with "-", towards change. It shall help to get a better understanding of the general effects any concept or measure can have. Therefore the force field analysis provides an intuitive and clear frame. It is a "tool that assists the management of change by examining and evaluating, in a basic yet useful manner, the forces for and against the change" (Paton / McCalman 2000: 25). To achieve transformation, the driving forces must outweigh the restraining forces. If that is not the case, change efforts can even lead to opposite effects, like reinforcing those cultural dysfunctionalities one wanted to alter or by deepening the gaps between departments through means of unhealthy competition.

[13] More details about change management of organisational structures can be found in the extensive collection of case-studies for "creating value through corporate restructuring", which is provided by Gilson (2010) and in a good overview of structural interventions, which is given by Hommel, Knecht and Wohlenberg (2006).

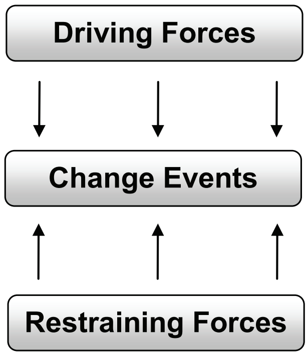

Figure 6 - Force Field Diagram (source: Paton / McCalman 2000: 28)

Whenever change is not happening, both forces are in balance of power and the organisation or respective parts are in a stable state. Analog to a chemical reaction a certain amount of energy will be needed to shake up the system, which then hopefully sets enough energy free by itself to reach the next stable point. How much effort is needed for the initial boost is hard to guess and takes careful analysis of the organisation's and its members' situation. The following examples shall provide a selective overview of driving forces and restraining forces for attaining the organisational capability of constant transformation.

3.4.1 Organisational Learning (+)

Approaches of organisational learning can be both: means and ends. As end, organisational learning is a state a company wants to achieve, a batch saying: learning organisation. This term is not helpful in the context here, since it does not lead any further but backwards to the starting point. One could be attempted to subsume the whole change systematicity under the roof of the learning organisation. Indeed a truly learning organisation is likely to possess the capability of constant transformation. As driver for change, the term organisational learning is to be understood as "process with the potential to transform organizations and organizational life" (Friedman / Lipshitz / Overmeer 2001: 757). The assumption is that learning inevitable correlates with change is supported by behavioural (Ferster / Skinner 1957) and cognitive (Piaget 1928) psychological theories of learning. Whenever something is learned, the respective knowledgebase, skill or mindset must have changed. The other way round, that change evokes learning, holds also true because learning is a reaction to better cope with external or internal change. This strong dependency on each other and interaction of both makes it plausible to say in an abbreviated manner that learning is change and change is learning (Woolfolk / Hughes / Walkup 2008: 244).

The basic idea of organisational learning is that learning not only takes place on individual but also on organisational level. Although an organisation is a product of its members' ways to think and interact (Ross / Smith / Roberts / Kleiner 2008: 54), the problem is that organisational learning is more difficult than individual learning. “In institutional learning situations, the learning level of the team is often the lowest common denominator” (De Geus 1988: 70). To avoid the effect that the sum is less than its parts, Senge (1990: 7-10) introduced five disciplines that have to be trained to ensure organisational learning:

- *Personal mastery* is to broaden personal skills and to deepen individual visions in order to achieve better results and to create an atmosphere that encourages other people to do the same.
- *Mental models* are ingrained beliefs and assumptions that need to be reflected, clarified and improved to better understand the world and how they influence actions and decisions.
- *A shared vision* with a desired state of the future has to be built to foster commitment and engagement with a group and to avoid complacency.
- *Team learning* is based on dialogical communication to drop assumptions and enables collective thinking. Both help to ensure that the knowledge and skills of the group are exceeding individual capabilities.
- *System thinking* is a resulting discipline where a language and way of thinking is developed that can describe, comprehend and influence the forces and interactions within the system.

What is to be noticed is that half of Senge’s approach is still based on individual aspects (personal mastery, mental models) and that the approach incorporates constant training, revision and improvement. The bandwidth of such challenges can make it necessary that the instalment of organisational learning is attended with interventions like specialised seminars on innovation and organisational learning to start this long ongoing process (Fatzer 1990: 408). This is in line with Pedler, Baydell and Burgoyne who state that organisational learning “facilitates the learning of all its members and continually transforms itself” (Pedler / Baydell / Burgoyne 1989: 2).

Senge’s disciplines also distinguish different levels of learning. This distinction was coined earlier by Argyris and Schön (1974, 1978) as single-loop and double-loop learning. Single-loop learning takes place when adaptive improvements are made within a given framework (Sackmann 1993: 232), e.g. acquiring more knowledge, enhancing skills or sharpening a vision, like suggested in personal mastery. The prevailing paradigm stays untouched; pejoratively speaking it is “more of the same” (Sutton 1994: 82). When double-loop learning takes place, this very paradigm is structurally tackled by challenging “established norms, policies, objectives, resource configurations and corporate architecture” (Carnall 2003: 161). Culturally, learning classifies as double-looped when the values, beliefs, assumptions and action determining strategies are questioned or altered.

That is explicitly demanded in the disciplines mental models and team learning. Organisational learning entails both types though, single-loop learning, which is primarily individual, creates the prerequisites for double-loop learning, which has more influence on the organisation as such.

Bateson (1988) even presumed a third level, called deutero learning, triple-loop learning or “transformational learning” (Hawkins 1994: 18). It is both, the meta-level of learning to learn and the spiritual level (Hawkins 1991) that embodies individual and organisational questions of purpose, sense-making and ultimate reason. Even though deutero learning might sound a little far away from the daily business in change management, thinking about how an organisation learns to learn and implementing promising results, is clearly needed on the way to establish an organisational transformation capability. As for the spiritual dimension in economics, the amount of literature is increasing with an accelerated rate (Giacalone / Jurkiewicz 2003: 3). An extensive overview capturing contemporary approaches is given by Poole (2009).

Summarising, organisational learning qualifies as driver for change when it promotes individual learning that is channelled towards collective learning. Higher levels of learning prepare for and promote deeper changes. The highest level is transformational triple-loop learning. It has even a spiritual connotation and can be seen as learning equivalent for organisational transformation.

3.4.2 Resistance to Learn (-)

One could get the impression that if everything that has been demanded in the last section is done, learning on organisational and individual level should occur easily. Unfortunately, there are patterns that hinder people from learning. Schein dismisses the idea that learning can be fun (Coutu / Schein 2002: 100). Instead he claims it to be a mechanism of anxiety or fear.

There are two kinds of anxiety associated with learning: learning anxiety and survival anxiety. Learning anxiety comes from being afraid to try something new because it might be too difficult, it might make one look stupid in the attempt, or reason is simply that it might imply to part from old habits one is used to and that have worked in the past. Learning something new can make one stand aloof from the groups one belongs to. It can threaten one’s self-esteem and if taken very far, in extreme cases, even one’s identity (Coutu / Schein 2002: 104). This is in line with Argyris who states that the reason for such anxiety comes from falling back to their “theory-in-use” (Argyris 1994: 25), a strategy people follow when they are under pressure or in stress. Its purpose "is to avoid vulnerability, risk, embarrassment, and the appearance of incompetence. […] We might even call it a recipe for antilearning” (Argyris 2001: 95). The resulting learning anxiety produces denial and a resistance to change, which can only be overcome if the survival anxiety is bigger than the learning anxiety (Schein 1996: 5).

Survival anxiety occurs when enough disconfirming data comes through the denial and defence mechanisms to the potential learner, be it an individual or an organisation. What follows is a state of realisation that unless something changes, bad things will happen for the individual, the group or the whole organisation. Again this might lead to an increased learning anxiety since the learning efforts and result seem even more threatening than before. It is the interaction of both anxieties that eventually leads to change or resistance and thus playing its role in the dynamic complexity of change (Schein 2004: 329). As learning anxiety is usually very strong, Schein thinks of any intends of organisational learning as indoctrinating "coercive persuasion" (Schein 2002: 101).

Under the assumption that learning does not take place without pressure, an organisation has to build substantial pressure to outweigh learning anxieties. Isolated groups are especially hard to tackle and under pressure they can develop responding survival strategies, which might not be useful for the organisation. The less a group is in touch and in constant exchange with other parts of the organisation, the higher is the probability that through the lack of disconfirming data it does not learn at all or in unintended ways. A common problem can be power, granted through hierarchy. The top management does not automatically always have the best information, yet there are enough examples where top executives' defence, denial and learning anxiety are disproportionately strong. This can be related to Deutsch's brilliant definition of power as "the ability to afford not to learn" (Deutsch 1966: 111) that points at staff positions or executive boards, where lack of learning can be a hazardous restraining force against organisational change.

3.4.3 Resistance to Change (-)

As shown, in the realm of learning there are driving and restraining forces. A general difficulty of learning regarding change is what Pfeffer and Sutton call the danger of the "knowing-doing gap" (Pfeffer 2001: 23). It implies that most people know (have learned) what they should do but they are not doing it. Even with best practices in organisational and individual learning, which have overcome all anxieties, leading to great knowledge, actions might too often fall short handed. A promising definition, which helps to see the problem, is that of learning as a "process by which relatively permanent changes occur in behavioral potential as a result of experience" (Anderson 1995: 4). Knowledge and skills result in exactly this behavioural potential, yet potential does not imply concrete actions.

The willingness to learn, to develop and finally to change behaviour depends strongly on the organisational context. Thus taking steps in new directions can also effectively be discouraged by managerial actions and attitudes, accidentally or on purpose. Kanter (1984:

101) summed up ten cynical rules for managers that make sure to create an environment, which is likely to prevent any new idea or its application:

1. Regard every new idea that comes from below with distrust – because it is new and comes from below.
2. Insist that people who need your agreement for an action also get the agreement from higher levels in the hierarchy.
3. Demand that units and individuals criticise each other's proposals. (That way you do not have to worry about making decisions – you simply reward the survivors.)
4. Express criticism openly and suppress praise. Also make sure people know they can be let go any time. (That keeps people under pressure.)
5. Treat the revelation of problems as wrong action so that people will not let you know if something is not working.
6. Control everything as careful as possible and ensure that people frequently count everything that is countable.
7. Make decisions about reorganisation in secrecy and spring them on your directs unexpectedly. (That keeps people under pressure, too.)
8. Make sure that any request for information is well justified and take care that information is not provided for free. (Information must not get into wrong hands.)
9. In the name of delegation, mainly delegate to your subordinates the responsibility to realise savings by cutting back, moving or firing people or other threatening decisions. And ask them to do it quickly.
10. And most important of all: Never forget that you, as part of the higher hierarchy levels, already know everything about the business.

Following these guidelines will inevitably lead to a culture of segmentalism, raise the learning anxiety and keeps people from taking any initiative to change (Fatzer 1990: 404). Even when managers are strongly in favour of change, when they are assigned or self-assigned change agents, they have to take care not to stumble over the knowing-doing gap. Though communication is important, conversation itself is not sufficient to change behaviour (Beer / Eisenstat / Spector 1990: 159).

> "When change agents mistakenly assume that understanding is, or should be, sufficient to produce action, they are likely to emphasize conversations for understanding over conversations for performance and are, as a consequence, likely to see little or no action" (Ford / Ford / Amelio 2008: 367).

Talking and learning are only the half way to transform and without following actions risk is there to achieve nothing at all. As Senge put it, cutting an elephant in half does not create two small elephants but a mess (Senge 1990: 66-67). This does not have to be the case, yet a lacking call for action can lead to an obstruction of change actually taking place.

However, even with such a call resistance can be bold. Four main aspects of resistance are distinguished by Knowles and Linn (2003: 7). Reactance is the simplest form of resistance and is initialised when the change recipient perceives a direct intervention as limiting or threatening. Motivational reactions like “I will not do it” or affective ones like “I do not want it“, are expressions of reactance. Distrust is the second face of resistance which appears when people do not fully grasp the reason behind the change request and are uncertain about the true motives. Besides motivational and affective reactions, “I do not believe it” is a common cognitive reaction accompanying distrust. The third face is scrutiny, created by change offers or requests. When having the impression or the confirmation that they are subject to change measures, participants are likely to become more careful and sophisticated while dealing with change matters. Proposals are carefully examined and conversations precisely analysed. While this is nothing bad in general, every flaw found can lead to a rejection of the whole programme as false. “I knew it” is often the remark in that case. The last face is inertia. It is the most passive resistance. An attitude of “It does not matter” expresses best a change recipient’s inertia. He is neither in favour, nor against the change. There are no counter measures or active persistence. People with a strong inertia in their personality simply want to stay put (Knowles / Linn 2003: 7-8).

Another issue fostering change resistance can be the change agent’s or programme’s own resistance. Assuming that only change recipients are resistant, encountered resistances of the participants could be answered with stronger claims for change by the agents. In return, change recipients might raise their resistance because they feel treated unfairly or have the feeling that their commentaries are overruled by power and stubbornness. This easily leads to a vicious circle of self-fulfilling prophecies, as shown by research about organisational justice combined with organisational change (Folger / Skarlicki 1999).

3.4.4 Vector-for-Change Model (+)

In this section, a self-composed “Vector-for-Change” model is presented. Its purpose is to raise the chance of facilitating behavioural changes within a change management programme. It is based on the research of Ornish (1990) who developed a change programme for people with heart disease to adapt a healthier life-style and Kotter (1996). Steps 1-5 are taken from a paper by Saacks (2007) and steps 6-8 from the latest book of Deutschman (2008). Compared to a circular figure, the v-shaped arrangement is beneficial to illustrate the step function of each aspect and to indicate both, distance and connection between step 1 and 8. For getting started, the first four steps are initialising the change within a cognitive-emotional spectre. For getting through, the last four steps are to support the establishment of new behaviour.

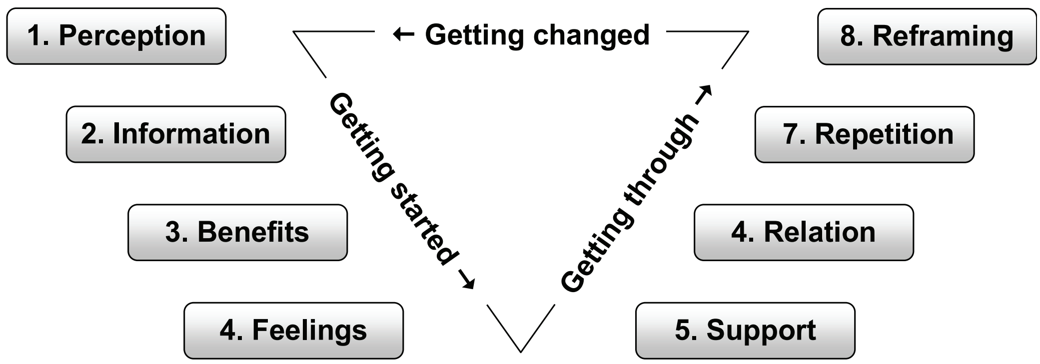

Figure 7 - Vector-for-Change (source: own figure)

1. *Perception* here means a self-perceived necessity to change. The very first step towards a behavioural change is the awareness of a need to do so. In the case of heart disease patients, the apparent illness is sufficient reason. In the business context this can be personal reasons like career threats or opportunities, desired advancements regarding skills, capabilities and knowledge, or any other ambitions to improve the overall situation at work. Organisational reasons can be direct challenges of the eco-system, like those discussed in chapter 2, organisational development targets or a change management programme induced by the company. Kotter refers to this aspect as creating "a sense of urgency" (Kotter 2008). It helps to decrease learning anxiety and to increase survival anxiety (Coutu / Schein 2002: 105).

2. *Information* that is cognitively appropriate is needed to foster the initial perception. The cognitive appropriateness of a programme's content may sound trivial in theory but can turn out as rather tricky in practice. It has to be adapted to the required outcomes, the affected learners' capabilities and the assumed or prevalent willingness, respectively resistance to change. Taking these factors into account, there is no one-fits-all solution on this aspect. Careful preparations in terms of analysing the status quo of the participants to set up the programme and their constant feedbacks to be able to alter a programme design when needed are crucial. As the absorption of information is already connected with learning, all potential defence mechanisms like denial or resistance have to be taken into account.

3. *Benefits* that are identified fast help to increase the chance of not losing participants on these very first steps by motivation through small successes. Extensive research has been made on the field of changing addictive behaviour. Substance abuse like alcohol, tobacco or hard drugs can mostly be countered by drastic changes of singular patterns. Smoking or drinking a little less does not work in most of the cases. The same holds true for personal relationships, like breaking up a little or eating disorders. One reason for the success of Ornish's programme was that it acknowledged and embedded the fact that "radical changes are easier to make than small ones" (Saacks 2007: 7). This does not mean that everything has to be changed at the same time but when a certain trait of behaviour is

tackled, it must be altered substantially. In order to be able to stick to radical changes, direct effects have to be supportive to the final outcome. Only then the affected person is likely to come through with lasting behavioural changes. At the corporate level, these immediate benefits are also referred to as short-term wins, quick wins or gold nuggets.

4. *Feelings* are a necessary catalyst to get accustomed to new behaviour. While cognition has to be the sound basis, “the importance of feelings is the far more critical factor in behavioural change” (Saacks 2007: 7). Especially regarding the aforementioned aspect of quick benefits, feelings account for the majority of any perceived improvements or developments. Relevant feelings do not have to be solely positive ones. Kübler-Ross has developed an empirically proven stage model of negative feelings that attend change (Kübler-Ross 2009). They do not have to be necessarily negative but can even lead to higher performance on some tasks, as suggested by the socio-psychological studies of Schwarz and Clore (1996). Taking these basic emotions into account is essential to understand and cope with people’s disposition to change. Only when a change programme design adapts to the different stages it can profit from feelings as catalyst. Otherwise it might boost feelings as additional hurdles to change by fostering reluctance or over-ambition. To stress the importance of feelings Kotter and Cohen accordingly called a book of theirs “The Heart of Change” (Kotter / Cohen 2002). Achieving behavioural changes “can and will only happen by talking to people’s feelings. In other words, the catalyst for change is not only cognitive, but primarily affective” (Saacks 2007: 6).

5. *Support* is crucial for further progress. Of course, to monitor and reinforce the former four aspects a distinct level of support has already been necessary. Here, constant support for the participants in change programmes is meant. When feeling neglected or left alone with upcoming struggles, people tend to fall back into old behavioural patterns in no time simply because it is the easier way, at least in the short run. Learning and altering behaviour can be stressful at times and the relapse into old routines minders this discomfort immediately. People fall back to their theory-in-use (see verweis) which gives room for removing responsibility to the situation and “self-sealing processes” (Argyris 1994: 219). Giving vital and steady support was one of the main success factors of Ornish’s programme. Support does not only help to secure the programme’s success. At the same time it can be an essential platform for feedback that leads to further improvements for future programmes. That is what Ford and Ford call changing the change (Ford / Ford 2009: 100).

6. *Relation* is essential for the support function. Whether the support is better given by an individual or a group depends on the circumstances. Either way the emotional relation serves primarily to inspire, sustain and reinforce hope (Deutschman 2008: 14). Hope in this case is the expression of trust towards the participants to minimise the danger of

drawbacks. Built on first achievements, it helps to establish an emotional security net to keep the people's beliefs in change high, along with their determined expectation to change. By comparing different psychological and non-psychological approaches, Frank and Frank conclude it is the power of faith that "resides in the patient's state of mind, not in the validity of a particular theoretical scheme or technique" (Frank / Frank 1993: 111) which is the basis for successful changes.

7. *Repetition* is needed to ingrain behavioural changes. New traits, skills and capabilities must be exercised to grow from potential behaviour to actually apply changed behaviour. It is a "behavioural rehearsal" (Michie / Johnston / Francis / Hardeman / Eccles 2008: 675). Constant repetition also helps to integrate changes into the participant's personality. This includes changes in mindset and behaviour. Authenticity needs the practice of values and principles of the participants, "sometimes at substantial risks for themselves" (George / Sims / McLean / Mayer 2007: 130). It takes time and lot of repetition before new patterns seem natural. Personal support like a coach, teacher or mentor is extremely helpful to keep the participants on track through encouragement and guidance (Deutschman 2008: 15).

8. *Reframing* is the last step that leads to a concluding incorporation of the newly learned and applied changes in behaviour. The important point is that based on the new patterns, new ways of perception are made possible – to start the change process again but on a higher level. The aim is to enable participants to look at their situation, their environment or the world in a way that is foreign to them and has made no sense before the changes occurred (Deutschman 2008: 15). To help people to discover newly available solutions, approaches that have been impossible before, different possibilities to interpret new challenges and to evaluate situations, also builds up trust for the next change programme. Reframing is a final sense-making within the participants and an approval for the programme, respectively the ones responsible for it. If the change programme was successful, people will acknowledge their changes and how the perception of their contextual eco-system has changed with it. On an organisational community level it is also needed to reinforce shared targets that can profit from the new mindsets and behaviours.

3.4.5 Hurdles for Transformation (+/-)

While the Vector-for-Change model is primarily focussed on individuals in the change process, Kotter has developed his influential "Eight Steps to Transforming Your Organization" (Kotter 1995: 61) that have a more organisational scope. The approach in this section is to take this ideal sequence, which practically is a driving force for change, and then to see what are the restraining forces that can make the transformational process go wrong. Each of the following steps has its own particular hurdles, bearing possibilities where mistakes can be made. To know them can help avoiding them. The eight stages are (Kotter 1995: 61):

1. Establishing a sense of urgency.
2. Forming a powerful coalition.
3. Creating a vision.
4. Communicating the vision.
5. Empowering others to act upon the vision.
6. Planning for and creating short-term wins.
7. Consolidating improvements and producing still more change.
8. Institutionalising new approaches.

Error #1 is not to establish a sufficient sense of urgency. First of all, there has to be the perception for a need to change (Kotter 2009: 28). It is a matter of information, communication and persuasion. There has not to be really changed in this very beginning so one might think of this step as very doable. Indeed, 50% of companies' transformations fail already at that point says Kotter. (1995: 60). A reason for that is the underestimation of change agents of how difficult it can be to get people to leave their comfort zones and move into the learning zones. Then communication and dramaturgy are too weak. Another possible reason is the lack of change agents' patience to take this initial step serious. There is temptation to skip ahead in the programme and engage in action before the basis for change was properly prepared. The critical mass has to buy-in. In numbers, roughly about 75% of the affected management and "virtually all of the top executives need to believe that considerable change is absolutely essential" (Kotter 1996: 48). If that is not the case, the whole transformation can get into jeopardy. Besides potential hick-ups in the starting phase due to lacking attention and engagement, also on the long run danger is increased that people will fall off when change gets rougher because they have never really had the proper sense of urgency.

Error #2 is not to create a sufficiently powerful guiding coalition of organisational change agents. In small and large companies the initial leadership team for change should have at least three to five people over the first year. In really big corporations, however, this change promoting and directing coalition has to grow to a range of 20 to 50 people before further progress can be made (Kotter 1995: 62). Four key functions have to be covered within such a guiding coalition. *The sponsor* is the one ultimately responsible for the transformation. He provides top-executive level support and the necessary resources for programme. *The senior guiding team* are people that have enough influence and authority to take the change initiative to their areas, assemble additional resources and make first decisions to support the change. *The field guiding teams* are those which will essentially contribute to spread the change within the organisation. They consist of respected leaders, good communicators and representatives of those company parts affected by the change. *The change teams* have the most operational and localised tasks. They assist in design and deployment of change measures, provide tactical support and keep track of the programme development as project managers (Kotter / Cohen 2005: 36-37). Composed that way, the coalition has the opportunity to work cross-hierarchical, cross-functional and cross-geographical. This is highly relevant, as the existing system has significant flaws, otherwise there would be no need to change. A common problem is that the guiding team does not overcome those organisational barriers and falls back in old routines. Another reason why companies can fail at creating a powerful guiding coalition is the lack of top level team work experience for example when "those who should be driving the change are not doing their job, and nobody wants to confront the issue" (Kotter / Cohen 2002: 38). Or the necessity of such a coalition is generally not acknowledged and thus not well staffed, under-powered or neglected by its members. The results usually strike back on the long run. Even if initial changes are successful, without a powerful guiding coalition, the opposition will ultimately gather and stop the change (Kotter 1995: 63).

Error #3 is not to create a compelling vision. A successful transformation needs an appealing vision that is easy to communicate. The vision has to be clear in terms of where the organisation wants to go. It entails the behaviour that will be encouraged and the key performance indicators that will provide measurement. It motivates people and allows quick implementation through given a general direction (Kotter / Cohen 2005 64). Exact numbers, actions and deadlines like in a business plan are not essential. "Strategic plans motivate few people, but a compelling vision can appeal to the heart and motive anyone" (Kotter / Cohen 2002: 69). When the sense of urgency is framing the problem of the situation, the vision is the solution for it. Often a vision is a bit vague in the beginning, yet is refined on the way when the according strategy is developed and implemented. Without such vision a change programme might easily fall apart into incoherent, incompatible and in the worst case counter-productive projects. Or the programme is slowed down dramatically because people are unsure about what to do and change agents have to engage in micro-management. Not only if, but also how fast an organisation transforms, becomes a crucial factor for the success of any programme (Miles 2010: 70).

Error #4 is not to communicate enough for buy-in. Even if a powerful coalition comes up with a compelling vision, in order to fulfil its purpose the vision must be communicated to vast extent. Especially when sacrifices have to be made in the transformational process, like laying off people, cutting down salaries or changing responsibilities, people need repetitive reminders why and how all this makes sense for the organisation. The broader a transformation is in scope, the larger communicative efforts must be in scale. Meetings, memos, mails and presentations for example are important formal ways to get the vision across. Even more important can be the signal effect of individual behaviour from change agents. If they fail to become symbols and leading examples for the transformation, if they do not “walk the talk” (Kotter 1995: 64), chances are high that nobody else will. A lack of communication also is a missed opportunity to improve the programme on the run. People not buying-in to the vision because they might never have heard of it is one thing, not giving people the possibility to articulate their opinions about it and thus not caring about their feedback, is no lesser harm.

Error #5 is not to remove obstacles that block the vision. Given that the coalition of change agents made their job so far by bringing about and communicating about an appealing vision and people want to follow that lead, too often they are in the situation where they cannot (Kotter 1995: 64). Not meant here are the inner personal boundaries, like learning anxieties or the difficulties to change behaviour. It is the organisational structure that keeps people from implementing the vision. It can be anachronistic compensation and benefits systems that might leave people with the choice of following the vision with serious financial set-backs for no reasons or to leave everything as it is, including the usual salary. Worn-out job descriptions that limit the responsibilities and impede to step outside their boxes would be another example, as well as a change resistant boss that can effectively yield the same effects through stubbornness and discouragement. When these issues are not taken careful care of by the guiding coalition, frustration, cynicism and lost credibility are the results.

Error #6 is not to plan and realise short-term wins. Every transformation takes time, consumes resources and sometimes personal or organisational sacrifices. Short-term wins help to bear all that for fulfilling the vision and changing for the better. They fuel the dynamics of change and keep the pace in tough phases. Kotter claims that it is necessary to produce evidence of significant improvements within the first 12 to 24 month of a programme (Kotter 1999: 84). Though organisational changes can be very discontinuous and deliver no better outcome in the beginning, regarding the fast pace of external changes, two years without any achievements is likely to be not good enough in the eyes of affected stakeholders. Thus, a lack of transformational short-term contributions can heavily damage a programme’s and its leaders’ credibility, which is a severe set-back for the whole transformation effort. Even if the organisational value of short-term wins is acknowledged, there is big difference between hoping for them or actively seeking and promoting them. Performance indicators can be set to value also minor improvements instead of feeding the people with hopes of the big revelation in the very end (Kotter / Cohen 2005: 155).

Error #7 is to declare victory too soon. While short-term wins keep the change engine running, there lies also danger in successes if they are overrated. To mistake a won battle with the successful end of the war can end in disaster. Everything new, especially if culture is involved, is fragile and unstable. Taking a rest with the first upward figure in customer satisfaction at hand and believing that customer centricity is already the new mindset might result in exactly the opposite. The situation's paradox is that the better steps one to six have been accomplished the higher is the chance to fail at this point. The level of urgency has already decreased, the coalition has been proofed to work, the vision was sustaining, obstacles were removed and first improvements became tangible. Instead of increasing the programme's strength and credibility, the aforementioned aspect are often enough reason to bring transformation to halt by premature declarations of victory (Kotter 1995: 66).

Error #8 is not to anchor changes in the culture of an organisation. The harder the changes were to achieve, the easier they are to get reversed when the peak pressure is removed. Changes have to be organisationally internalised in order to last. Therefore it is needed to give them a chance to become entrenched. Thorough analysis of how the new ways of work now effectively produce the intended outcome help to solidify them. This can also mean a demystification of front stage change agents. The personified trust towards change leaders is needed on the way but can be of opposite value for the internalisation of changes. If people relate the transformations success mainly to their leaders, they might think to little of their own contribution and fail to see the true value of them changing. Consequently, they let go of the changes sooner than later. Another problem is the succession of top managers in the end of a programme. Usually market values for successful change managers rise and they do not face a shortage of new offerings. Filling these gaps with people that represent the new organisation is essential as "one bad succession decision can undermine a decade of hard work" (Kotter 1995: 67).

3.5 Discussion

"The fundamental choice: either become an agent of change,
or become obsolete" (Rodriguez / Ferrante 1996: 2).

The force field analysis for change and transformation is far from being complete and it might never be as the field itself is ever growing without an end in sight. However, there are already some aspects that can be derived from what has been said by now.

First, cognition and emotions have to go together. Learning and changing behaviour does not happen out of purely rational thoughts. Only a whole headed and hearted approach can lead to sustainable changes because there has to be a felt need for change to overcome prevalent anxieties.

Second, there are different levels of learning. To bring about change and transformation, single-loop "within the box" learning is not enough. Double or triple-loop learning that is questioning the frame and purpose of individuals or organisations is needed to get from more of the same to something different.

Third, interpersonal dynamics of change in an organisational frame have to be taken into account. Even if individuals as such would change, they might refrain to do so in a company system where they might lose face, reputation, responsibility or their job. However, the opposite is also valid. People can strongly be encouraged by the lack of structural or personal hurdles.

Fourth, guidance and structure are extremely helpful for people in times of change. Orientation and support provided by change agents creates security and trust, which both are beneficial to make deep changes.

Fifth, in all aspects leadership plays a vital role for transformation. The personal involvement of leaders to create an environment of hope and awakening towards a desired state is essential. Framing the transformational picture with a sense of urgency and a vision to escape it, while at the same time filling the very picture along the way as leading example and taking good care of all followers, is a necessity and a big challenge for all leaders.

Summed up, leadership is a conditio sine qua non for transformation. Not every leader is a designated change agent so far but as indicated in chapter 2, change will become stronger, faster and broader forcing more and more organisations to undergo severe transformation. That will finally bring the transformation of leaders to change agents with it, where they will face the pressure to bear a good part of the overall transformational success or failure on their shoulders. This is a chance for personal and career development opportunities and a threat at the same time. Not every one is a born change leader, a transformational leader, yet most will have to become one. The common top management proverb "grow or go" might sooner than later turn into "change or be exchanged".

3.6 Empirical Study "Capgemini on Change Management"

"We believe it is necessary to recognize that,
first and foremost, change is initiated and carried out
by individuals in organizations" (George / Jones 2001: 420).

So far the exploration of the realm of change and transformation has been a mainly theoretical one. Although the concepts and models of key personalities like Argyris, Handy, Schein or Kotter are clearly infused with practical thoughts that come from their long experiences as consultants or managers, they lack a distinct empirical foundation. This is not a fault as such. Their influential contributions might even benefit from the explicitly subjective penetration of the field. However, it does not do any harm either to take a look into the empirics of change management. To see if the perceptions of those who are dealing with change on a regular basis in their organisations differ from those in management guide books and business articles or if they confirm the theoretical thoughts is not a question of "who is right". On the one hand, empirics can be a source of insights that lay the ground for further research, for example if certain aspects have been neglected so far. On the other hand, they can also be useful to evaluate theories regarding their explanatory content in the context of daily practice.

The following section extracts a selection of numbers and figures from the "Capgemini Consulting Change Management Studie 2010"[14] to check if there is empirical support for the theoretical findings presented so far and if there is a sound basis for the next chapter, i.e. the importance of support for change agents. The study was conducted in the German speaking economy (Germany, Austria and Switzerland) with a focus on medium and large-sized companieslarge. 42 questions were asked. The return quota of 10% resulted in 116 complete replies. The answers came mostly from top executives (38%), followed by second line managers (27%) and change or project managers (23%). The rest was unspecified. The majority of them had positions in human resources or organisational development departments (63%). The others were in diverse staff functions.

Regarding the beginning of chapter 3, two figures are of greater interest. The first one shows the answers for the question of the relevance of change management in 2009 and the expected relevance in 2012. There is already strong need for it and it is increasing with 95% thinking that this will be an important or very important subject by 2012.

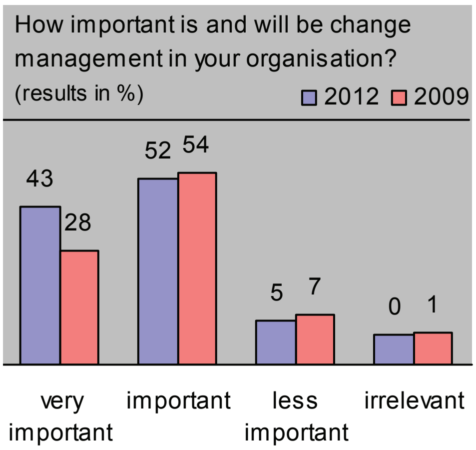

Figure 8 - Relevance of Change Management (source: own figure based on Kyan / Claßen 2010: 11)

As reply to the external changes presented in chapter 2, various internal changes are subject to change management initiatives. Only the top six causes are shown here. What is to be noticed is that half of the counter measures to face the external changes are relatively unspecific, i.e. reorganisation, growth initiatives and strategy changes. They suggest quite tautologically that change will be the reason for change. Only cost reduction, mergers and

[14] [www.de.capgemini.com/insights/publikationen/change-management-studie-2010/ 21.08.2010].

a new customer approach provide a better idea of what will be changed. Also the dimension of change seems to be rather limited. Reorganisation and growth initiatives have a smaller impact than strategic changes. The suggested objective set by this paper, i.e. to strive for transformation, lacks the practical confirmation. Yet this might also be reason for the failure of many organisations.

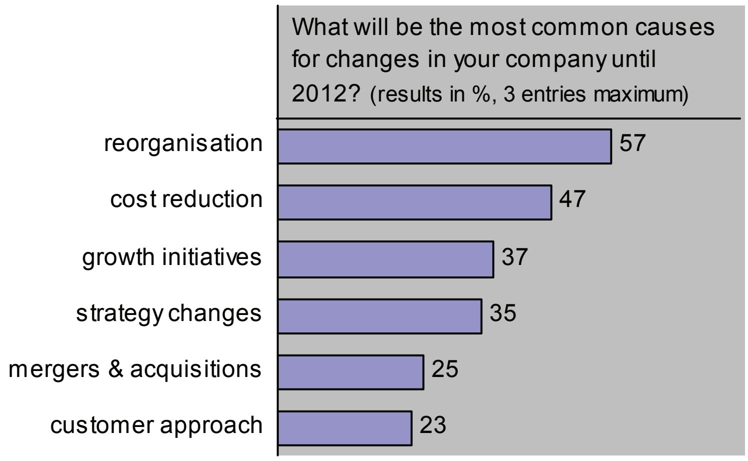

Figure 9 - Causes for Change (source: own figure based on Kyan / Claßen 2010: 14)

The next question asked for the key success factors in past change programmes. Here, all of Kotter's suggestions can be found, even if in slightly different terminology. Regarding the forces in the force field it seems that change agents rather focus on strenghtening the positive aspects like fostering commitment and giving support to leaders than trying to avoid negative ones like diminishing resistance and monitoring change.

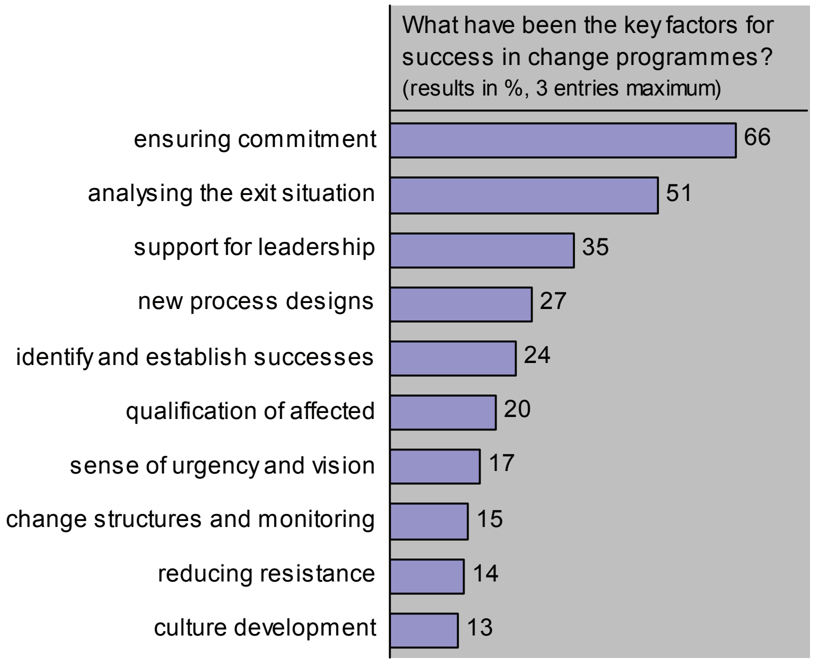

Figure 10 - Key Factors for Success (source: own figure based on Kyan / Claßen 2010: 21)

Not mentioned in the force field of transformation so far was the analysis of the exit situation. It can be understood as part of creating a sense of urgency but that was covered in another aspect. Seen as a necessary basis for a proper sense of urgency and a compelling vision that leads the organisation out of there, it could well be entered in the force field. However, it also bears the danger of the knowing-doing gap. More knowledge is not automatically followed by more or better actions (Weick 2002: 14). Especially under the assumption that the speed of change execution is crucial (Miles 2010), it is reasonable to keep the analysis as short as possible and get issues sorted out on the way.

Another aspect that was not discussed before, is the importance of support for leadership. That sheds an interesting light on leadership in transformation. One could say that in successful change programmes, leaders themselves have changed with the help of others. By now the quality of leadership was a crucial though given factor. The necessity to make use of support to change for the better is also backing the argumentation of the paper.

In the next figure the question of leadership functions is precised. People could answer in a five step scale from “very important”, “important”, “neutral”, “less important” to “unimportant”, how the evaluate the relevance of ten functions.

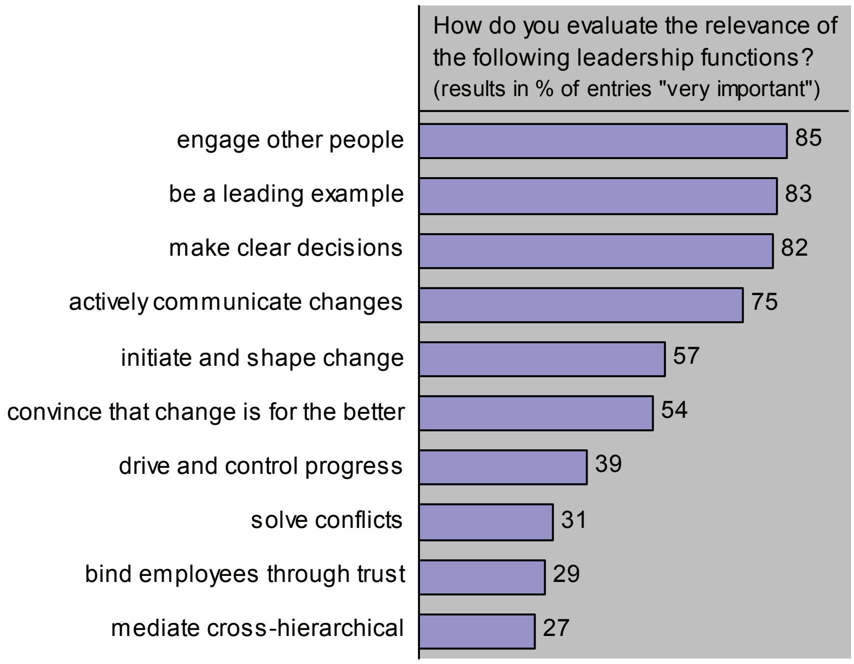

Figure 11 - Relevance of Leadership Functions (source: own figure based on Kyan / Claßen 2010: 43)

Plotting only the entries of “very important” confirms the enormously high and quite various expectations towards leaders in change programmes. The top three aspects are already relatively heterogenous. A leader must take care to mobilize others, take care of himself to be a leading example and be decisive along the way. That, together with the other functions, make it seem like leaders shall incorporate every possible facet of change that has been discussed so far. This also points at the value of support for leadership, just like the following figure does.

Asked about how competent and willing to change leaders in the top level and in the second level are on a scale from “very high” to “very low”, the replies given are in average between “high” and “average”.

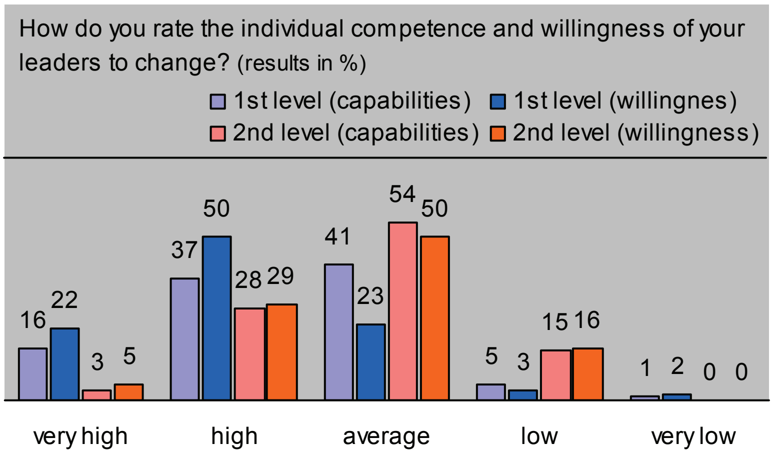

Figure 12 - Competency and Willingness (source: own figure based on Kyan / Claßen 2010: 47-48)

Two noticable points are to make here. First, there is a clear difference between the perception of top executives and second line managers regarding both, the assumed competency and willingness to change. Where over 50% of the top executives have a high or very high change competency, nearly 70% of second line managers are rated as average or low, which is an alarmingly low rate. Unfortunately, there was no question about the reason for the evaluation. In terms of willingness the gap is even bigger with 72% of the top line having a high or very high willingness compared to 34% of the second line. This time the background for the evaluation was asked.

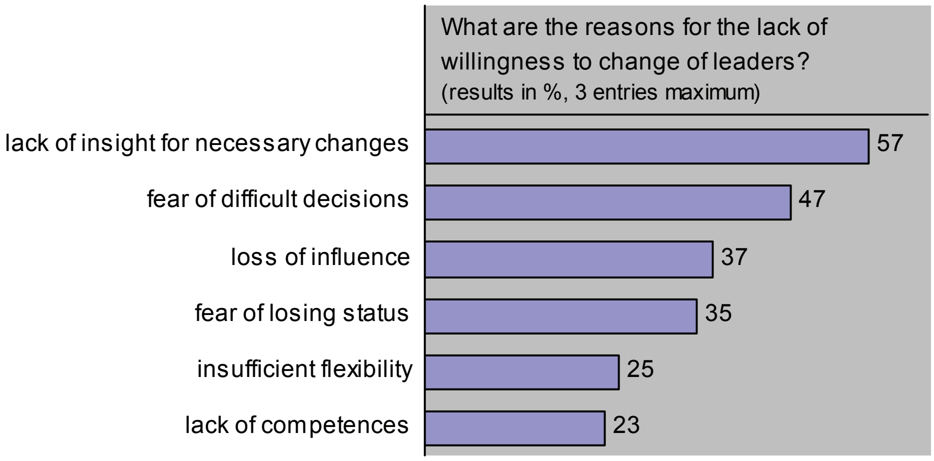

Figure 13 - Reasons for Lack of Willingness (source: own figure based on Kyan / Claßen 2010: 49)

The resulting top six causes for lacking willingness to change have mostly been covered in the theoretical part, i.e. the missing sense of urgency (Kotter), the assumed loss of status and influence (Argyris) and the lack of flexibility and competences (Schein). Thus they can be confirmed to be real issues practically affecting change in organisations.

Summing up the selection of empirical data, the picture drawn in the discussion section gets clearer and also sharper. Change management is a highly relevant issue with strong raising tendency. The content of change programmes stays rather unspecified, supporting a general focus on transformational issues. Key success factors for transformation are mainly people based, with a significant part of contributions through leadership but also support for leadership. Support is critical in so far as the demands towards change leaders are very high and wide. Demands which are not yet met by the top managers to some extend and by second line managers to a vast extend. That the discrepancy between requirements and performances of leaders are increasing is also a comment of Kyan and Claßen (2010: 50). As concrete forms of support they advice, beside others - individual coaching (Kyan / Claßen 2010: 44, 68).

4 | “Management Coaching” | How

4.1 Change through Transformational Leadership

> “Sacrifices, however, are only made, voluntarily, for goals and ideals we believe in,
> and when we have the confidence in those who may lead us there.
> Leadership, therefore, becomes more important than ever in this new world,
> and philosophy, or the search of meaning of things,
> becomes the driving force of economics” (Handy 1996: 8).

The systematicity of change, driving and restraining forces for transformation and an empirical foundation for the majority of aspects have been shown. What plays an important role in all of these parts is individual leadership. Leaders as change agents have an essential impact on success or failure of a transformation and on the agility of companies to bear up against external changes. This holds also true for those leaders that allegedly do not stand in the very front line of transformation. They have their share as they can either support or block transformation, inside and outside themselves. Chapter 2 has illustrated the necessity for organisations to change, not for additional well-being but first of all for survival. This struggle for survival puts a lot of pressure on change-related programmes change agents and any leader in the field. Not only the own workplace, position or reputation is at stake. Failure or success of a transformation can decide the economic and social fate of many thousand employees, their families, suppliers, customer and consumers. The whole stakeholder community might be affected.

One can think of leaders as under-performing executives that cannot have done a good job, otherwise the organisation would not be in such a fragile position. One can also regard leaders as they have done the best they can, already operating at maximum capacity, even if that might not have been enough, and change being inevitable anyway. This way, the aforementioned pressure to foster an organisation’s agility comes right on top. Using the example of a kitchen chef, this would mean to have full house on a Saturday night and while taking care that all dishes are delivered properly, one would have to write a new menu for next week, instruct the sous-chef and do the shopping at the same time. There are definitely leaders who can do this, yet not every one is and has to be a Carlos Ghosn or Jack Welch and even those are far from being uncontroversial.

> “Perhaps the most dramatic role change for people is in what the agile organization asks of its leaders. In the old days, leaders were asked to be ‘doers’, to tell the people ‘below’ them in the managerial hierarchy what to do. […] In today’s emerging agile world, many firms send executives to school to learn how to coach and to lead and to learn how to bring out the best in employee teams. The days of the ‘doer-manager’ are over” (Goldman / Nagel / Preiss 1995:186).

The course and tenor of this paper indeed suggest that the doer-manager days are – if not over – at least wearing out in the face of faced paced changes of today's eco-systems. To fill the gap and to master the challenges of transformation, an appropriate type of leadership is needed. Without engaging too much in the distinction of management vs. leadership (Kotter 1996: 27), one can think of management as actions that take place on the level of singe-loop learning. They strive for improvements within a given frame with an operational focus. The frame itself stays untouched. This is subject to leadership activities, which are located on the second and third level of learning. Of course, the distinction is to be understood as accurate at all times. There are also strategic parts in management and leadership task that turn up on a daily basis. For the core activities of both disciplines the classification is solid. Borrowed from the declaration of triple-loop learning as transformational learning (see 3.4.1), it is not far-fetched that transformation calls for "The Transformational Leader" as suggested by the book title from Tichy and Devanna (1986).

The term transformational leadership was first coined by Downton (1973) but it was Burns (1978) who made it an important leadership approach through his distinction between a transactional and a transformational level. The breakthrough came with Bass (1985) by his integration of Burns' concept and the theory of charismatic leadership from House (1976). Bass defined four main characteristics and capabilities of the transformational leader, which he has derived from observation, surveys and clinical studies. The first is *charisma* that serves to radiate vision and mission, to instil pride and to gain respect and trust. It describes leaders who are strong role models that followers are willing to adapt and emulate. The second characteristic is *motivational inspiration* which is shown by communicating high expectations that exhibit confidence in the followers. It is also descriptive to leaders who use symbols or emotional appeals to facilitate, focus and prioritise individual or group efforts to achieve more than they would on their own. *Intellectual stimulation* is the third aspect through which leaders promote intelligence, rationality, problem solving and out-of-the-box thinking with an increased creativity and innovative power of the followers as result. The last characteristic is called *individualised consideration*. It creates a climate of support and care taking by giving personal attention, treating each employee individually, listening carefully and giving advice.

Despite its above described relevance for change management and transformation, there has been extensive research and studies of the general effectiveness of transformational leadership in organisations. In a meta-analysis of 39 studies, Lowe, Kroeck and Sivasubramaniam (1996) could find significantly higher work outcome of transformational compared to transactional leaders. An empirical study by Walumbwa and Lawler could show that transformational leadership had cross-culturally significant positive effects on job satisfaction, organisational commitment and withdrawal behaviours of employees

(Walumbwa / Lawler 2003). In group constellations with more than one transformational leader, these positive effects are likely to multiply. Effective value creation enters a spiral of uplifting dynamics when transformational leaders engage in teamwork with each other. Such a team is then likely to become a high-performance team because it provides intellectual stimulation and individual consideration for all members. “They coach, facilitate, and teach each other and are willing to engage in continuous improvement” (Bass / Riggio 2006: 165). Team efforts are not only adding more transformational value, they can also be prerequisites for the implementation of changes in a larger scope. Often a single transformer cannot make it on his own. To really alter the frame and bring about changes for the whole organisation, others are necessary (Esterhyuse 2003: 8).

Summarising, transformational leadership becomes the individual driver for the collective capability of organisations to constantly transform “as it describes how leaders can initiate, develop, and carry out significant changes” (Northhouse 2007: 189). When this is the case, the obvious question is why not every leader has engaged in transformational leadership by now. The simple answer is: because a transformational leader has to transform himself first. It is already hidden in the first of Bass’ characteristics, the charismatic role model function. To be a role model for change and transformation, one has to change and transform oneself first or at least along the way. This duality of transformational leadership has not been widely discussed in literature so far. A good deal has been written, researched and discussed about the external effects and effectiveness of transformational leaders, about what he is and what he does to others. The process of internal transformation has not received the similar attention yet. Single acknowledgements for the need of personal transformation have been made like:

> “Individual transformation is needed because managers and leaders must be proactive leaders, open to change, and flexible enough to adapt to constantly shifting demand from their organizations” (Neal / Lichtenstein / Banner 1999: 175).

4.2 Coaching as Support for Transformational Leaders

> “Transformational leadership can be learned, and it can – and should – be the subject of management training and development” (Bass 1990: 27).

Charisma, motivational inspiration, intellectual stimulation and individual consideration are not easy to achieve. Taking the general difficulties of learning and behavioural changes into account, the frame seems extremely challenging. The presented Vector-for-Change model had a general meso perspective on individuals in change programmes. Now the refinement of target group (executives) and subject (transformational leadership) makes a zoom-in possible. The question is what keeps leaders from individual transformation and what could help them. To get a more in-depth frame of personality in a social and behavioural context, the Johari Window (Luft / Ingham 1955), an abbreviation of its inventors' forenames, is suitable.

The Johari Window is a graphical four field representation of personality and behaviour characteristics. It differentiates levels of consciousness and communication. Talking about persons in this passage does not mean that there are actually different people involved. The term is only used to illustrate a different role understanding and awareness of the very same individual.

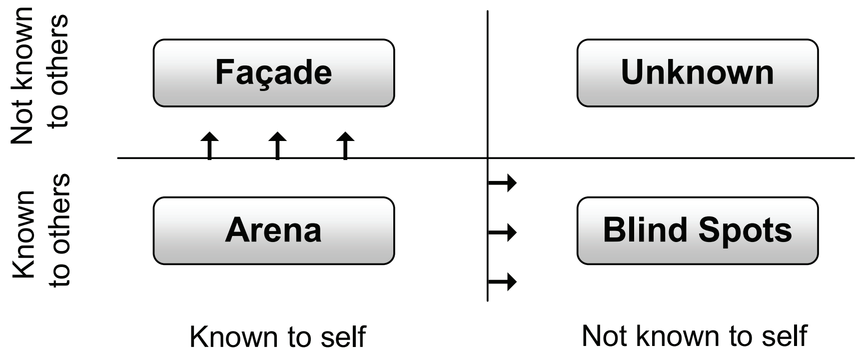

Figure 14 - The Johari Window (source: own figure based on Luft / Ingham 1955)

In the arena, the public person of the self is visible. One is aware of it and everyone else can see it, too. Interaction, communication and learning are most efficient in this field because implicit and unconscious obstructions are non-existent. The façade keeps the private person protected from others. Secrets, habits, attitudes known to oneself are concealed from others by omitted communication. They constitute behaviour but make it difficult for others to predict interactions, what can result in a lack of trust and team work. Blind spots are such characteristics that the individual is not aware of although others are. These holes in self-perception do not necessarily have to be known to others. It is sufficient that peers have more information about personality and behavioural patterns than the individual has. The last field is neither known to the individual nor to its peers. That does not render it automatically an empty set. Together with façade and blind spots, the unknown forms what has become known as the lower part of the iceberg. The assumption is that large parts of personality are hidden under water with only the tip (the arena in this case) of the iceberg being clearly visible (Achouri 2009: 8). The size of the lower iceberg is critical as it reduces the collective scope of action and obstructs the four transformational leadership qualities as they are all based on personal interaction. The smaller the arena, the more difficult it is for others to get related to a leader and thus for the leader to lead.

Consequently, the aim is to enlarge the arena. In this frame, transformation is regarded as any alteration of the windows inner relations. Changes can take place in three ways. First, through new experiences of the individual or its peers, parts of the unknown field wander to any of the other three fields. Peers can have noticed some new behaviour or attitude, which they did not see before. This leads to new blind spots. Or the individual has new insights but does not share it. A bigger façade is the consequence. Or it is a collective experience and the arena becomes larger immediately. A second possibility is that the leader reveals parts of his private person and lowers his façade, resulting in a growing arena. Third, peers enlighten a leader about his blind spots and thus reduce the field to the benefit of the arena. Of course, all three ways function also backwards. The collective consciousness in the arena does not exist outside time and space. Personal characteristics can be forgotten, peers change or certain traits are blurred on purpose by the individual.

The argumentation of this chapter is that coaching can foster any of the three ways to increase the individual's arena and is also suitable to reduce the danger of relapses. That way coaching supports the individual development of transformational leaders and thus contributes to build up an organisation's collective capability to transform to survive.

4.2.1 Definition of Coaching

The term coaching does not at all speak for itself. It does not say anything important anymore and shows a high semantic elasticity criticises Looss (1995: 105). Thus, talking about coaching implies to completely explain what exact form of consulting, instructing, accompanying interaction or practice is meant exactly. One can dislike this blur and indistinctiveness of the professional discipline or one can welcome the integrative plurality of the term. Either way, clarification is necessary. This is not an easy endeavour though coaching is a relatively new phenomenon in the business world with a steep growth. Taking a look at a common list of the German coaching literature, one can find nearly a thousand entries.[15] Taffertshofer (2008: 203) has made an English and German print media analysis where he asserts coaching a booming trend but reminds carefully that this does neither say something about the quality of the publications, which is still clearly below the level of general organisational research, nor about the actual application in organisations.

The origins of the term were used to describe a "coach" as the driver of the very same vehicle (Bayer 1995: 94). The tasks of a coach were to guide the horses and to take care of them. In this sense the description of a coach or coaching were transferred to other areas (Böning 1994: 173). In the beginning of the 19th century the term was used at universities in the Anglo-American sphere to describe people who helped others to prepare for tests, special tasks and sport competitions (Rauen 1999: 20). That time also the term of the "coachee", the person who receives coaching, came to usage (Rückle 1992: 32). The rising popularity of coaching began through its extensive presence in sports. Especially for high-performance athletes of all disciplines coaching was and still is an integral part of the training. Mental care and preparation are of particular interest for a coach in comparison

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[15] [http://coaching-literatur.de/gesamte-coaching-literatur.htm 04.09.10].

with a mere trainer. The prominent relevance of coaching in sports, for example, is still reflected in the description of the head of the Dutch national soccer team as “bondscoach”. First researches on coaching were made in the disciplines of sport psychology, making it more efficient and discussable. From sports, coaching started to become a consulting subject in the US in the ’70 and about a decade in the German speaking economies (Rauen 1999: 22). Supportive to this development were the analogies between sports and management like competition, performance and motivation. The approach of a personal and people-centred consultation proved very helpful for people whose efforts and effects are strongly bound to their person and personality (Looss 1992: 37). Coaching became an exclusive consultation for top managers. Its effectiveness and asserted distance to psychotherapy, which always bears the chance of becoming stigmatised for being psychologically ill, made it a real management fashion in the ’90. Primarily used by supervisors as employee-focused career development approach, this understanding is today subsumed as “mentoring”, while coaching is rather consultation of executives through external facilitators (Schreyögg 2008: 20). On one hand, the rising popularity led to separation of other concepts like mentoring, training or supervision. More details on these different disciplines around coaching follow in the next section. On the other hand, coaching experienced an inflationary usage as container term. Hyphenated coaching descriptions such as team-coaching, project-coaching, crisis-coaching or even “crash-coaching” (Ruede-Wissman 1993) have been invented to capture every possible target group, time frame, occasion or method. This development partly reversed the previous differentiation from other approaches and encouraged to recycle any personal counselling under the popular and financially rewarding roof of coaching. “Coaching is the development of an ongoing partnership designed to help individuals produce fulfilling results in their personal and professional lives” (Isaksen / Tidd 2006: 248) is a typical description that leaves room for nearly any activity to be called coaching. Coaching surely contains a lot of good things and a lot of new things. However, the good things do not have to be new and the new things do not have to be good. Hence, Sattelberger (1990) early suspected coaching to be mostly old wine in new bottles.

This does not have to be negative per se because many old concepts might have used coaching principles without labelling them as such. However, that makes it harder to derive common denominators for distilling the key substances of coaching. The following general characteristics were inspired by an analysis of coaching definitions by Jüster, Hildenbrand and Petzold (2002: 46-47):

- Coaching is an instrument of personnel development.
- Reasons for coaching can come out of the coachee’s professional or private environment.

- Coaching focuses on executives.
- Coaching takes into account the requirements of the coachee, of the organisation and of the social reality.
- The targets of coaching are improved outcomes of work, coming from a higher work and life quality with a higher work satisfaction.

4.2.2 What Coaching is not

To sharpen the image of coaching the negative description of what coaching is not – or to be more precise – of what is not the core of coaching, is beneficial. The refinement is important because the close interrelation of coaching with different personal consulting approaches can be both, enriching and misleading. It is inspirationally, practically and scientifically enriching since good practices, values and research from other areas can often be translated into coaching compatible insights. The misleading downside occurs when this very translation does not take place and questionable insights are simply adopted without a careful interpretation from the coaching perspective. The former helps coaching to develop as a professional discipline, to produce better results and to improve its standing in science and business. The latter can do harm not only towards the concept of coaching but to coaches, coachees, organisations and finally to the disciplines where the insights and attitudes have been "borrowed" from. Methods have their contextual validity. What works in psychotherapy is not automatically helpful in coaching. Especially when promises are made that overstretch coaching competencies, unsatisfying results damage the reputation of coaching and eventually lead to economic losses. Therefore it is important to clarify the bordering disciplines. The following selection of personal consultation approaches is based on a list of Migge (2009: 78). Organisational consulting is not included because it is no primarily people-oriented discipline. The order is based on its closeness to coaching in an organisational context, starting with the most unrelated one. It is not an evaluation. The higher a point is on the list, the lesser is the danger of overlaps and confusion.

- *Friendship*. This is not a professional but informal type of advisory, which has no exact framing.
- *Pastoral care*. Religious values or beliefs frame this kind of consultancy also called care of souls. A theological background is imperative for those giving advice.
- *Philosophical counselling*. Its dominant goal is the mental penetration of values, pictures of the world, principles and related actions. Usually ethics is the scientific origins of this approach but sometimes a great life experience is sufficient.
- *Mediation*. Neutral, open and unbiased dispute resolution between two or more conflicting parties to achieve a win-win situation at best. Discussion and reflection take mostly place on a factual level, touching emotional issues only when needed.

- *Further education*. Here, the main focus is more on the transfer of knowledge, methods and tools. It often is enacted in a group setting with upfront lecturing, has a clear cognitive notion and instructive teaching character with few interaction between facilitator and participants. Expert knowledge and lecturing skills qualify for providing further education.
- *Training*. The main goal is to internalise capabilities and skills that lead to an improved embodiment of job related behavioural attitudes. If relevant, minor individual issues are tried to be overcome like improper habits, social contact deficits or learning difficulties. Classical programmes are sales-training, time management or rhetorical trainings (Rauen 2008: 13). They are based on imitation, repetition and reflection. As trainings are often done with small groups, basic understanding of group dynamic is helpful for any trainer.
- *Mentoring*. Help and advice is usually provided by senior leaders for a long-term development of the recipient. It can be formal or informal, depending on whether the recipient was matched with his mentor by the organisation or if it both could chose to be in a mentoring partnership (Rauen 1999: 69). Initially, mentoring was meant to help new employees to integrate in the beginning of their careers but soon changed to an understanding as long-lasting caring personality exploration development. Experienced senior executives give advice how to strengthen one's identity in an organisational context for better self-consciousness and self-confidence.
- *Supervision*. Coming from a psycho-social back ground, supervision is the professional consultancy of professionals, units or teams with the aim of deepened self-reflection and improved professional acting. It often is a mandatory part of psycho-social education as quality assurance (Rappe-Giesecke 1999: 27). Besides the target to enable for better job execution, supervision always entails a certain control function, too. Due to its origins, supervisors have to undergo formal psychological qualifications (Heß / Roth 2001: 52). This makes supervision a predominant form of consulting for professional groups that deal mainly with interpersonal relations. Managerial or organisational contents are only occasional subjects of supervision.

Psychology and psychotherapy are excluded on purpose from this list for two reasons. The first one is the lack of comparability in an organisational context. Psychology has a distinct private character, even if a manager is seeking psychological help. It cannot be required by an organisation for its employees to undergo psychotherapy for example. Also coaching or any other consulting form from above is directed towards mentally healthy people (Rauen 2008: 5) that seek or are ordered to improve their situation without a particular background of illness. Hence the recipients are called clients. In psychotherapy, the recipients are called patients because, not obligatory but often, it tackles pathological issues. Non-therapeutic consultants are even obliged to advice to seek psychological help if they find their clients to suffer from severe mental impairments like psychic disorders, addictions or traumatic experiences (Rauen 1999: 67). The second reason is the different quality of scientific background and professionalism. Psychiatrist and psychologist are both protected professional titles that can only be used after intense studies and examinations. Further, any professional's activity is bound to discretion by law and is liable in case it engages in severe personal failures that lead to harm of patients. The scientific roots are clinical and empirical, originating from medical and sociological traditions. Most of the resulting practices and applications of knowledge are preserved for the regarding health profession.

Nevertheless, psychology and psychotherapy have great substantial influence on coaching and personal consulting. They are to be seen as preceding sound basis for any coaching activity and can be used as touchstone for concepts and methods. What directly violates psychological findings is unlikely to work in coaching. This does not require a coach to have absolved psychological studies to be proficient, yet basic knowledge and capabilities are clearly necessary. Whether they are acquired academically or through practical experience is not relevant.

Coming back at the parallel disciplines of coaching, the following figure illustrates the most important fields of intervention towards leaders. Supervision is left out, because on one side, it is very close to coaching but on the other side has quite a different target group. Despite its high organisational relevance, the kinds of organisations that use supervision are rather settled in the psycho-social, non-profit, educational or health-care sectors.

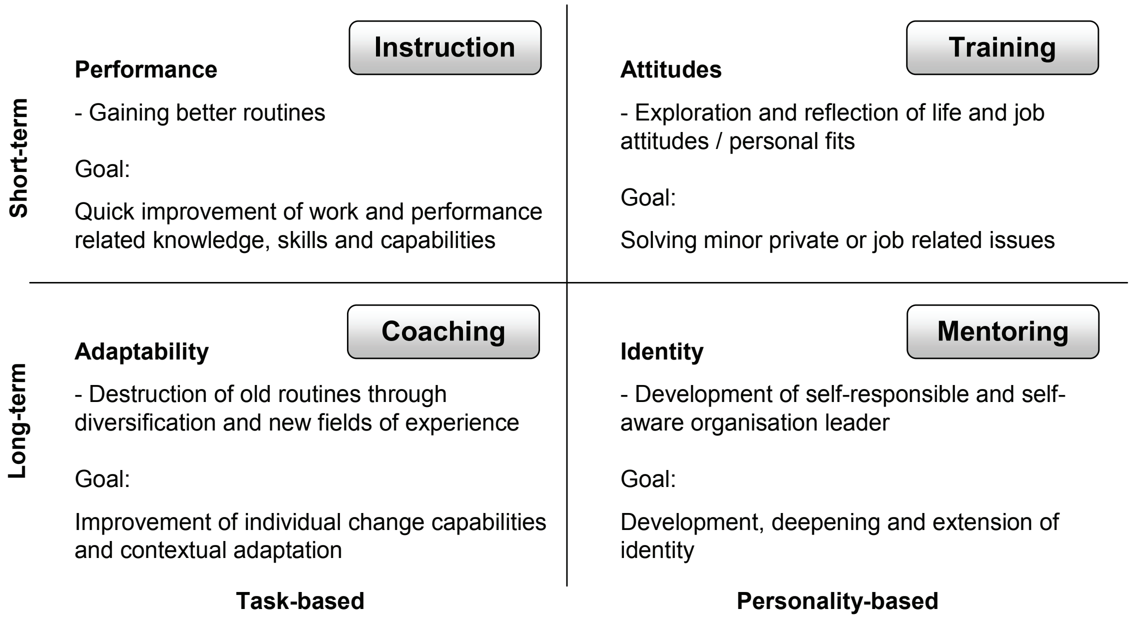

Figure 15 - Learning Fields for Leaders (source: own figure based on Heß / Roth 2001: 28, Sattelberger 1996: 222)

Summing up the general view on coaching, one can say that coaching is supportive to transformational leadership because it has an advantageous systemic fit due to its organisational closeness. It focuses on executives and their needs. It can deal with any indication, accept for psychic disorders, as long as its solution is task-oriented, i.e. it serves both individual and organisation. It is partly based on yet strictly separated from psychotherapy. It aims at a general long-term improvement of the life and work situation through behavioural changes.

4.2.3 Types of Coaching

Taking a closer look at coaching itself, there are two distinct main dimensions to differentiate various types of coaching: firstly, who will be coached and secondly, by whom will be coached. How and what specific contents will be coached is rather downstream since it clearly follows the situational needs resulting from the disposition within the two dimensions. Following Mahlmann (2009: 10-11) and Rauen (1999: 54-61), the most common types of coaching in the first dimension are:

- *Individual coaching*. This is a type of personal consultation or guidance. The dialogue usually takes place in coaching sessions where only the coachee and the coach participate. Often, when people talk about coaching, they only refer to individual coaching since it is the best known type of coaching. Possible reasons for individual coaching are numerous. Through the confidential setting, private issues are more likely to become part of the discussions and development process. However, the main aspect still is mostly is the expansion of the coachee's personal job-related competences.
- *Group or team coaching*. In this type of coaching the group or team as a whole stands in the foreground. Of course, it takes individual dispositions strongly into account yet enlarges its focus to include group dynamics. It does not take place in such intimacy as the individual coaching but seeks to foster openness and exchange between the group members. The aim is to make teams more aligned, comprehensive and productive.
- *Project coaching*. It is a special form of team coaching because it often has to cope with many different hierarchy levels, geographically and functionally diverse project members. Also the finite time frame of project teams is an important issue. It often entails a mixture of individual and team coachings, depending on the size and duration of the project. The larger and longer a project is, the more attention will be paid to individual developments The general main goals of project coaching is the solution of conflicts and the reduction of cultural frictions.
- *System coaching*. This is the less common type of coaching, sometimes also called organisation coaching. The goal is to support many teams with one or more coaches in order to implement structural, political or philosophical changes. Especially teams

dealing with these subjects or those strongly affected by them are part of the coachings. Compared with other coachings that want to improve individual or team situations in the organisation, system coaching always also seeks to improve the system itself.

- *Self-coaching*. These coachings take place without or nearly without any personal external assistance. It is a kind of self-training and is supported with written guide lines or inspirational contents that encourage self-reflection. The approaches range from analytical to spiritual. Due to its biggest disadvantage, the lack of external feedback, self-coaching often trails behind other coaching types to reinforce the changes and keep track of the started development.

The second dimension, by whom coaching is done, consists only of two alternatives (Rauen 2002a: 70):

- *Internal coaching*. If the coachee is supported by one of his superiors or peers, this type is also known under the terms “line coach”, “the manager as coach” or “the leader as coach”. Another type of internal coaching is the guidance through company internal coaches that are not in daily-based, close working relations with their coachees. These coachings often are provided by staff of human resources departments or organisational development departments.
- External coaching. Probably most common is the coaching under external expertise. It can cover anything from coaching integrated in large consulting projects or the single top executive who secretly is supported by an external. External coaches are either freelancer or are employed by consultancies that offer coaching.

It is not always clear in which way coaching is part of the usual leadership process (Pohl / Wunder 2005: 25-26) or an extra task that exceeds regular leadership competencies (Bayer 1995: 93). Also the qualification of the manager as coach and the difficult organisational setting for confidentiality between supervisor and directs can cause problems (Neges / Neges 2008: 14-15). Some authors even dismiss coaching by superiors as not being coaching at all (Looss 1992: 153). There clearly are parallels between leaders as coaches and transformational leaders. Transformational leadership has a strong people orientation, expressed by the characteristics of charisma, motivational inspiration, intellectual stimulation and individual consideration (see 4.1). However, it is a general leadership quality in an organisational context, whereas coaching is always a temporary intervention within a distinct setting. Due to the size and scope of this paper further similarities and differences will not undergo specific discussion. For not having to take too much extra considerations and exceptions into account, the argumentation in this paper will be built on external coaching and internal coaching through specialised coaches only.

4.3 Principles of Coaching

"Keep your eye on the task, not on yourself.
The task matters, and you are a servant" (Drucker 1992: 219).

After the classification of what coaching is and is not, who is coached and by whom the coaching is done, this section means to elaborate the how, the deeper functioning of coaching. As there are many different coaching methods, two of which will be presented in section 4.4.1 and 4.4.2, not all of their sometimes contradicting basic assumptions found entrance here. That does not mean any pre-selection of favoured kinds of coaching but the attempt to create a fair illustration of coaching mechanisms and requirements.

Coaching deals with a wide spectre of human states of being. There is fear to change, fun to succeed, hope, desperation, progress, relapses, tears of anger or joy, smiles of satisfaction, resistance, resignation, mental resurrection. The list is a long as there are different feelings, reactions, interactions. The purpose of this sentence is not to bring prosaic glimmer to the paper. It simply describes an important part of the nature of coaching. Coaching happens between real human beings. This has to be remembered after all, even if they work in anonymous organisations, wear badges and are dubious valued as human resources or capital. There is danger that in the terminological jungle of environmental changes, organisational developments, transformational leaders and Johari personalities, the real people behind all this are forgotten with their heads and hearts.

A proverb says: "Wash me but don't make me wet!" The skewed logic translated into the context of change would be: "Everybody likes changes but nobody likes to be changed." However, every coachee is being changed. Of course, this can and should be on a voluntary base. He should always be in control of the changes and have the greater part in it. Either way, if coaching did not in any way change the coachee, as subtle as this can be, it would be useless. People can rationally say yes to change – and still do not do it. Gallwey, a tennis coach, called the phenomenon "The Inner Game" (Gallwey 1982). Within a person, there are two selves, self one (the conscious teller) and self two (the unconscious doer). If they fall apart they can cause stress, dissatisfaction and low performance. To really change, these two have to go together and a coach can help to mediate between the two and give the coachee's whole person a little push when needed. Rational conviction is only half the effort. Emotional persuasion by "encouraging the heart" (Kouzes / Posner 1987: 239) is the more important and more difficult part.

General reasons for resistance to change have been discussed in section 3.4. They hold true in specific coaching contexts as well, yet there are more difficulties to overcome in a personal consulting situation. If everything were perfect, no coaching would take place. Thus a coach is always a reminder of the circumstances that "what got you're here won't get you there” (Goldsmith / Reiter 2008). This is not something people usually like to hear. Therefore, self-understanding and execution of the coaching is of utmost importance.

How such messages a communicated and how they are received strongly depends on the situation coach and coachee are in. In a one-on-one setting, there are roughly speaking two simple evaluations of the other: okay or not okay. This results in four modes of interaction as shown in the figure below.

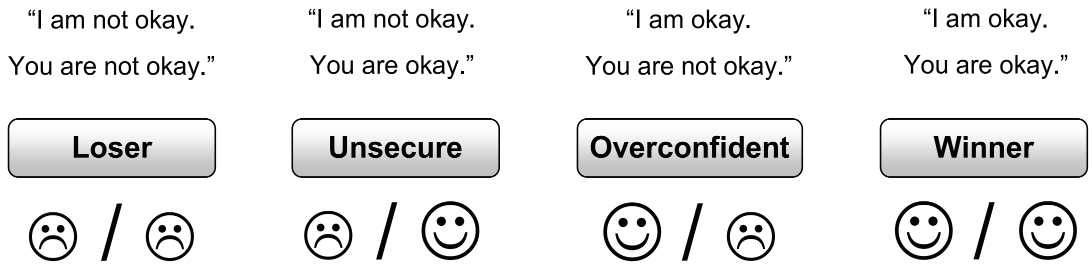

Figure 16 - Four Modes of Interaction (source: own figure based on Hamann / Huber 1991: 20)

For successful coaching it is crucial that the coach operates in the appreciating winner-mode. In the loser-mode nobody is helped. The coach is not convinced of his own capabilities, neither is the coachee. Lacking appreciation towards the coachee inevitably leads to resistance or resignation. The lack of skilful charisma will do the rest, leaving to sinking ships bound together. The unsecure-mode values the coachee yet it will not achieve any significant learning or change due to a lack of ascribed authority towards the coach that can even result in disrespect. This often happens when the coach does not feel at eye-level with his coachee, for example while coaching a company’s CEO. In the overconfident-mode this problem is turned upside-down. The coach feels superior to the coachee and by looking down at him he withholds appreciation. This way the coach cannot give proper support or spend hope. The coachee will soon be discouraged by a permanent “I know better” attitude. Only the winner-mode lays the proper foundation for a fruitful collaboration. Based on mutual respect and acknowledgement, two essentials of coaching show to advantage: feedback and trust. Both will be covered in detail in the next sections.

Important to see here is the fact that “okay” and “not okay” are to be seen as most general evaluations. Of course a coach can criticise certain actions or beliefs of the coachee. Or he can give advice when the coachee is stuck. Both are not expressions of the overconfident-mode but natural parts of coaching and do in no respect mean that the coach thinks bad of the coachee in general A coach will also admit when he does not know something and when the coachee has a better idea, which then is not regarded as unsecure.

4.3.1 Feedback

The above described winning attitude is the prerequisite for the elemental coaching mechanism: feedback. From a general point of view, feedback provides information about reaching a goal or about how big the discrepancy between the actual and the desired state is. Like a GPS signal, feedback helps to locate one's position, coordinate the next steps and monitor progress. Within learning contexts, feedback gives information about the learning achievements and it enables to check on one's self-estimations and thus helps to reduce blind spots and increase the arena (see 4.2). Informative feedback improves learning outcomes and raises motivation (Deci / Koestner / Ryan 2001). Actively learning from and through each other is only possible through a vital exchange of personal ideas, opinions and knowledge.

The impact of feedback is not constrained to its actual content. The sensation of giving and receiving feedback plays a major role, too. Valuable feedback is always a socially embedded interactive space-time event. An anonymous, dateless letter telling that one is stupid might not even touch somebody at all since it lacks of social relevance. The force of feedback as experience makes it very important for coaches to keep a close eye on this, as the tone makes the music. Especially when the organisational culture of feedback is new and fragile a lot of frustration and mistrust can result from intended or unintended misuse of feedback. Everyone has his own perceptions and according interpretations. What was meant as a verbal pat on the back can turn out as highly irritating on the other side of the table. This can lead to the situation that leaders do not get the feedback they need to develop because either they might not want to hear it or people are afraid to give it to them (Goldsmith / Reiter 2008: 5). Successful coaching effectively closes this gap.

> "A skilful coach may achieve this through the processing of existing information, questioning, challenging, set tasks and the evaluation of any processes, as well as conveying factual knowledge and other information" (McDowall / Millward 2010: 56).

Strongly connected to the four modes of interaction, the shaping of feedback and how it is received plays a central role. Forms of feedback differ in their complexity and level of elaboration (Mandl 2005: 120). Hattie and Timperley (2007: 90) suggest four levels of feedback: Feedback about the task (FT), feedback about the process (FP), feedback about self-regulation (FR) and feedback about the self as a person (FP). Feedback in learning context can be related to the levels of learning introduced in 3.4.1. FT is also known as "corrective feedback or knowledge of results" (Hattie / Timperley 2007: 91). In particular, highly successful leaders tend to be delusional about their true task performance since, although statistically absurd, more than 95% of the members in successful teams believe themselves to belong to the top 50% of their group (Goldsmith / Reiter 2008: 5). Corrective FT helps the coachee to get a proper awareness of goal achievement and serves the calibration of single-loop learning aspirations. It is also useful to prepare for a focus shift from task fulfilment to process optimisation.

FP incorporates the coachee's perceptions, cognitive processes, his relations to the environment, the construction of meaning and deeper understanding of learning (Hattie /

Timperley 2007: 93). These characteristics fit well to the traits of double-loop learning as it clearly addresses the frame and learning to learn competencies. Together with a distinct task-orientation FP is highly effective as “using process feedback with goal setting appears to be a direct and powerful way of shaping an individual’s task strategy” (Earley / Norhtcraft / Lee / Lituchy 1990: 103).

Self-regulation tackles personal core determinants of learning and performance that are commitment, control, autonomy, discipline and self-direction (Hattie / Timperley 2007: 93). The relation of FP to triple-loop or deutero learning comes through the involvement of “self-generated thoughts, feelings, and actions” (Zimmerman 2000: 14) that are based on the coachee’s understanding of purpose and deep motivation. Coachees with high self-regulatory aspirations not only have a strong internal self-assessment but they also actively seek external feedback to improve their self-efficacy (Hattie / Timperley 2007: 94-95). This conjuncture reveals another strong connection to deutero learning as Bateson himself was not too happy with his definition and had rather called it trito learning, which should be translated as learning to learn receiving signals (Bateson 1988: 327). The effects of FP are “likely to yield impressive gains in performance” (Kluger / DeNisi 1996: 278) but only if the coachee understands the relation of improved self-regulation to task and process enhancements that have to be communicated through FT and FP.

Finally, mere FS like “You are great” or “Well done” is considered as no effective feedback at all due to the lack of task, process or self-regulatory information (Hattie / Timperley 2007: 94-95). However, brought across with such information it is important as supportive frame that serves the overall engagement in the coaching process. That way, praise towards a person’s self is a prerequisite for criticism on any of the four levels. Such general praise has no equivalent in levels of learning but mirrors directly the winner-attitude from the four modes of interaction in the section above. The necessity to connect praise and appreciation with relevant performance information is important to keep in mind since any feedback, especially when it is negative, can lead to strong counter-productive rejection, according to the self-verification theory (Swann 1987). People are more likely to notice, accept and learn from feedback that supports their self-conceptions. If the coachee feels feedback to be inconsistent with his own estimate, which is often the case because otherwise it did not contain additional information and the learning that arises from feedback would not be so significant, he will probably reject it at first. This chance rises with higher levels of feedback, thus the importance of a coach’s explicit winner-attitude. However, in designated formal or clinical learning and change-intended situations, like coaching or therapy, chances raise significantly that self-inconsistent feedback is taken seriously and scrutinised (Collins / Stukas 2006: 464).

If the coach takes the above mentioned implications of different levels of feedback into account, if he is aware of their interrelations and the respective levels of learning each kind of feedback addresses and if he, above all, gives the coachee the feeling that he is accepted as a person, then he will not be seen as messenger how delivers bad news. Or as a manager quoted by O'Toole and Bennis put it: "The only messenger I would ever shoot is one who arrived too late" (O'Toole / Bennis 2009: 58).

4.3.2 Trust

Trust is crucial for the overall coaching success because it "enriches relationships, fostering cooperation, creativity, and commitment. Mistrust weakens relationships, bringing to them suspicion and deception" (Zand 1997: 89). Without trust, coaching cannot work properly. As discussed before, coaching promotes learning and encourages changes. This is mainly done through feedback towards the coachee. It is like holding up a mirror for the coachee to see himself. Now, this mirror function only works if the reflection is seen as true image; if the coachee can trust his eyes, his perception. Especially in the beginning, he cannot know this for sure but has to believe that what he is told, what he experiences, what is worked out during a coaching process is true. Without believing, nothing will change, at least not within the coaching approach. His beliefs have to be nurtured by trust. That way, trust as basis for an honest partnership-like relation is another prerequisite for constructive feedback (Czichos 1991: 185). Besides this supportive element, trust has also a destructive notion:

> "Trust consists of a willingness to increase your vulnerability to another person whose behavior you cannot control, in a situation in which your potential benefit is much less than your potential loss if the other person abuses your vulnerability." Zand 1997: 91)

The difficulty is that trust can only be built if a risk of its abuse exists. One does not have to trust in somebody if it is simply not possible that the person turns against oneself. Yet in coaching, this is the case as a coach will get to know personal job-related and private details that he potentially can use against his coachee. Solid trust only increases with continuous proof but can be easily destroyed at once with a single action. Another difficulty is that individuals usually expect trust to be returned when they offer it. Somebody who trusts another one first is likely to make an explicit or implicit claim of his own trustworthiness and seeks acknowledgement for it. A coachee, however, will reveal much more of his vulnerability towards the coach than the other way round. This has to be taken into account and should be discussed openly when necessary.

A third obstacle to mutual trust is the lag of building it. Stable relationships of trust need several interactions to establish. This takes time and often trust promoting measures have a certain delay before they pay into the quality of the relation (Looss / Rauen 2002: 121).

Getting to know each other is a common approach to support trust. Based on that thought, Handy critically considers the restricted capacity of people we can trust. “How many people can you know well enough to trust? Probably not more than 50 at most” (Handy 1996: 213). This affects the coaching relationship in so far, as to be a trustworthy coach he must be among those 50 people, at least temporarily, i.e. for each coaching session.

Furthermore, organisational settings of coaching need careful attention to not endanger trust. Common assumptions of coachees about coaching range from “Here comes a consultant who will support me”, “The coach will tell me what to do” to “I will be judged” and “Here comes the extended Arm of my boss” (Dehner 2002: 301). Whereas the first two assumptions represent neutral or already trusting expectations, the latter two show clear signs of anxiety and distrust. That makes the assurance of discretion utmost important. A coachee must be able to trust that he can engage in the process with complete openness. Thus, contents of coaching are strictly confidential. Coaching does not evaluate coachees for the organisation unless explicitly agreed upon with the coachee (Rauen 1999: 163). This is supported by an interview study about coaching of high achievers, emphasising that ultimate trust is crucial and needs continual reassurance of confidentiality (Jones / Spooner 2006: 47). Especially when a coach is paid by the organisation or works closely together with human resources departments, it must be assured that there are no conflicts of interests. Usually this is covered by formal coaching contract.

More important than the formal is the psychological contract between coachee and coach. Usually it is made orally in a first meeting before the real assignment starts and entails all the rules for the coaching appointments (Rauen 2002: 238). This is extremely helpful to build up trust since coach and coachee have a clear horizon of expectation. Whenever rules are not violated, trust is increased and potential vulnerability yields comforting predictability. Establishing trust in a relationship can be a long and careful journey. Sometimes trust happens to be their immediately or at least much faster. Either way trust always depends on an initial risk to give something without knowing for sure what will come back. Therefore, similar to constructive feedback, building trust relies heavily on the winner-mode of interaction. In a general atmosphere of appreciation and acknowledgement, trust can grow much easier and unfold its constitutive function for effective coaching (Hamann / Huber 2001: 48).

4.3.3 Characteristics of a Coach

When it comes to characteristics of effective coaches, one can distinguish between general requirements a coach has to fulfil and specific qualifications he should have acquired. General requirements are the mastery of principles of coaching, i.e. trust, feedback, winner-mode of interaction, dealing with anxieties and resistances. Specific qualifications are more focussed on the variety of contents coaching can have (see 4.2.1) and types of coaching (see 4.2.3). Altogether, the characteristics are visible in the presence of a coach when dealing with coachees.

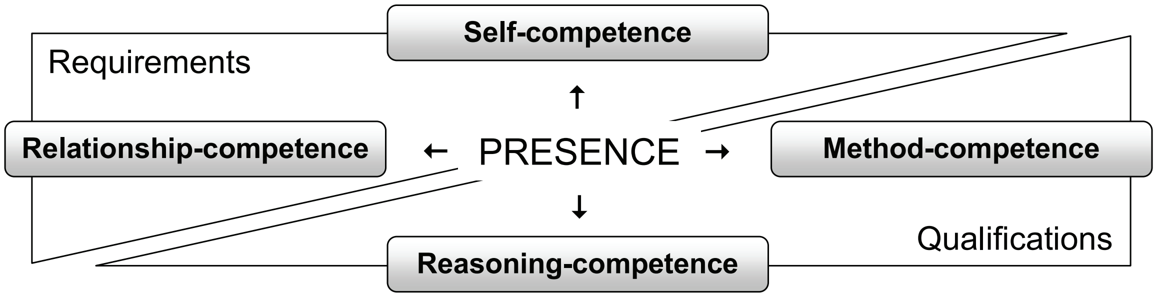

Figure 17 - Four Competencies of a Coach (source: own figure)

The classification into four competences goes back to Richter (2009: 24). Self-competence is the ability of self-awareness, self-management and self-coaching. It entails how well the own personality is perceived, handled and developed. Trustworthiness and the winner-attitude are part of self-competence for example. To know one's habits, weaknesses, stories and beliefs is another important part of self-competence. Understanding one's own reactions and feelings in a coaching situation is a prerequisite to make the coachee understand his. Relationship-competence is based on the profound understanding and potential to establish and shape interpersonal professional relations. Giving and receiving feedback as well as taking care of the other's fears and moods belongs to this category. Method-competence refers to solid knowledge of coaching variations, interventions, methods, processes, tools and literature. Like a specified doctor, a good coach does not have to know everything there is but should have specialised knowledge on his field and a basic understanding of what exists in his methodical environment. This also includes non-coaching methods and contents like organisational processes and managerial work to ensure the interoperability of coaching in a company setting. Reasoning-competence is the capability to derive his doing from theoretical constructs and practical needs, to provide a clear theory frame for his practice and to explain single measures in reference to the regarding concepts.

How to become proficient in all four competencies will not be discussed at length due to the size of the subject. There are two common ways to become a coach. One is to start in the psycho-social realm with studies and practice of human sciences, specialise on coaching through further education and training and finally approach the economic sector and turn theory into practical experiences. The other way is taken by those who are already leaders or managers with practical economic experiences. They become coaches by adding theoretical backgrounds and specified trainings for coaching to their activities (Looss 1992: 193). Either way, professional supervision is essential for any coach to keep standards and improve in coaching (Heß / Loth 2001: 54-55). This practice has been overtaken from other psycho-social professions to ensure continuous learning at reduce the danger of intellectual and emotional overstretches of a coach.

A coach is not the better manager or even the better human being. He has weaknesses like anyone else, only that he must be aware of them to give effective coaching as addressed by the aspect of self-competence (Pohl / Wunder 2005: 39). As suggested by the winner-mode of interaction, a coach does not have to know things better than his client, especially not in the client's field of expertise. Coaching is no individual expert consultation. A coach does not provide ready-made solutions for the coachee. Every expert advice, every behavioural manual reduces learning chances and the development responsibility of the coachee (Whitmore 1994: 48). It should be used only as last resort when the process is stuck. For the rest, an effective coach sticks to the guideline of helping others to help themselves, which is based on the pedagogical Montessori principle "Hilf mir, es allein zu tun" (*trans. "Help me to do it by myself"*) (Montessori 2008: 201)

Despite all educational matters and theoretic backgrounds, the practical evocation of learning and change in the coachee along with the coachee's feeling that it is him who has done it, is somewhat of an art. Or as Lao-Tzu has put it: "When his work is done, the people say, 'Amazing: we did it all by ourselves!" (Lao-Tzu translated by Mitchell 2006: 17). This makes the characterisation of an effective coach even more complex because according to Parks, who refers to the painter George Braque, the only thing that really matters in art are the parts that cannot be explained (Parks 2005: ix). Coaching is not necessarily an art in all its aspects. It is, first of all, a job, a profession, like painting. It is based on education, learning, training, technique, tools, concepts. However, the highly effective coach is an artist, just like an extra-ordinary painter is. Every professional has a skilful and well trained base. It is the integration of these skills with his whole personality and the surrounding context to something new. It is this manifestation of the result on a new level that turns a professional into an artist. Having all the paint, the brushes, the light and the landscapes at hand will not make another van Gogh out of anyone. Talent plays a role, passion as well. Coming from a real sporting background, Leggett states in his "Philosophy of Coaching" that "the mature coach looks at his job as a spiritual commitment to people and a good cause" (Legget 1983: 5). The spiritual commitment may sound odd in the business environment at first glance, yet it makes perfectly sense when it is interpreted as commitment to triple-loop learning, which had a clear spiritual notion as described in (verweis). Regarding one's own work as a good cause with a decent purpose is as essential to do a good job as all other points mentioned so far.

Altogether, these characteristics of a coach will form a leading example for transformational leaders by demonstrating exactly the capabilities they are striving for: charisma, intellectual stimulation, motivational inspiration and individual consideration.

4.4 Different Coaching Approaches

"The belief that the truth of a theory is the same as its productiveness is clearly unfounded" (Adorno / Horkheimer 1997: 244).

The section is designed to achieve two ends. First, it contains two different coaching approaches that are supposed to cover a wide spectre of the praxeology of coaching. Although they themselves are each based on theory, they are the most practical part of this work and serve as practice examples of coaching. Second, the section will also prepare for the final discussion about whether the hypothesis that coaching is an essential support for attaining organisational agility through transformational leadership can be confirmed or not. The outcomes of this discussion will be counter-checked with results from the empirical study about coaching in the last section of this chapter.

When it comes to concrete coaching approaches, the bar is set quite high by now. The perfect coaching should be an integral part of organisational development and change management. It should enable transformational leaders and take care of all the learning and changing particularities that have been discussed so far. Further, such a coaching approach ought to incorporate elemental coaching principles and grant coaches a role where they can facilitate most effectively. There are numerous candidates in the realm of coaching that could be analysed. About 450 models are in use according to McMahon, chairman of the UK-based Association for Coaching[16] (Sparrow 2007: 24). The two presented here, are selected due to its popularity and differences in order to get a good impression of the variety of coaching practices in use. NLP coaching and GROW coaching and have completely different focuses on coaching. They use different methods and aim at different outcomes. Due to the size of this work, each approach cannot be described in full depth. However, the origins, general assumptions, practical implications and main criticisms are covered.

4.4.1 NLP Coaching

NLP stands for neuro-linguistic programming. It is a controversially discussed complex of communication and behaviour techniques. Neuro represents the perception of information through the five senses and its neurophysiologic processing. Linguistic entails any language-based external (like speech) or internal (like thoughts) communication. Programmes are learning and life experiences that help to achieve certain desired states (Schweppenhäußer / Fromm 2002: 355).

NLP began in the early '70s and was founded by John Grinder, a linguist and Richard Bandler, a psychologist. Their idea was to take three highly successful therapists of their

[16] [www.associationforcoaching.com/home/index.htm 16.09.10]

time, i.e. Fritz Pearls, Virginia Satire and Milton Erickson, and see if they could find any common denominators in the way of communicating with patients. This process of systemising patterns and make them available for others to emulate is called modelling in NLP terminology (O'Connor / Seymour 2000: 2). The results were different intervention techniques (called formats) such as anchoring (language-based conditioning), reframing (reinterpretation of context) or perceptual positions (analysis of postures) and a set of tenets such as "people react to images of reality, not to reality itself", "the meaning of communication is constituted by the reaction it evokes" or "there are no failures, only feedback" (Maier 2006: 7). The array of NLP techniques is an impressive eclectic collection of influencing communication techniques that range from basic questioning, over creativity techniques, to hypnosis.

NLP coaching is primarily focused on process not on content (Hayes 2006: 7). The main idea is to establish a strong relation between coach and coachee, which allows the coach to influence the coachee's thinking to help him solve problematic issues. This is basically done by the coach's modulation of communication to tackle all senses of the coachee and to adapt to his bodily sensations like nervous tapping or relaxed laughter with the result of a "relationship of trust and mutual influence" (McDermott / O'Connoer 2004: 17). An exemplary coaching process based on main NLP terms and assumptions, according to Müller (2003: 88-89) could like this:

- *Rapport*. A good rapport is the very basis of every communicative approaching. It has to make sure to start from where the coachee is, allowing him to mentally and physically arrive in the situation. Introducing questions towards the coachee as well as an introduction from the coach can help to establish an atmosphere of interest and understanding. Signs for a good rapport for example are simultaneous laughter, aligned body language like leg movements, an implicitly agreed physical distance during the talk, a similar way of talking, responsiveness during the communication like nodding or basic greeting gestures like shaking hands.
- *Pacing*. To support and to adapt these rather non-verbal forms of expressions by the coach is called pacing, coming from the idea to walk in the same pace. In order to reinforce a good rapport, constant pacing is required to keep the flow of the communication. Pacing works non-verbally but can also be achieved through aligning contents, like repeating key expressions of the coachee, stressing confidentiality or pointing at similarities between the coach and the coachee. All these measures should not be manipulative but honest and task-oriented. A disruptive notion from the coach from time to time can lead to more communicative synchronisation than blind adaptation. This is one of the coach's real challenges: to have the right intuition how to provide the proper way and amount of pacing.

- *Leading*. Once the process of pacing is balanced, the coach is in the position to insert new ideas, change perspectives or guide towards different subjects. The main tool of leading is simply to ask questions. Successful leading takes place if the coachee can follow content wise (he responds to the questions) and non-verbally by changing his posture or tone of speech according to the coach.
- *Calibrating*. To be able to constantly lead the conversation, the coach has to be able to understand and respond to the coachee's (non-verbal) reactions. The capability to draw conclusions from the coachee's behaviour to his inner state of mind and to deal with it appropriately is called calibrating. Classical sign are wrinkles on the forehead, sweating, change of colour, smiling, crying and more subtle indications like coughing, blinking, interrupted way of talking or different response times.

NLP has received severe scientific scepticism ever since (Sharpley 1987), criticising the lack of empirical proofs of the effectiveness of NLP measures. In combination with the scientifically intended terminology, this exposed NLP to the accusation of being a pseudoscience; a state that NLP could not escape so far. In a recent study of drug addiction interventions, it was even announced as being among the ten most discredited interventions included (Norcross / Hogan / Koocher 2008: 198). If one believes in NLP there is the danger its manipulative power (Rauen 2008: 77). Other criticism derives from the varying standards of NLP education and trainings, its overlaps with New-Age, Mysticism and other cults, ideological eclecticism, crude arbitrary adoptions from other disciplines like Gestalt therapy and the strong economic background of the NLP industry. Summed up, "NLP is a scientifically unsubstantiated therapeutic method that purports to 'program' brain functioning using a variety of techniques, including mirroring the postures and nonverbal behaviors of clients" (Wilson 2003: 446).

4.4.2 GROW Coaching

GROW is an acronym of Goal, Reality, Options and Wrap-up, although the latter often is referred to as Will. It was invented by Alexander in the `80s out of his experiences from coaching senior executives (Alexander 2006: 61) and put forward by Whitmore (Whitmore 1994) who was a racing driver, a scholar of Gallwey and today works as consultant and coach. Thus, GROW comes directly from a business and sportive background.

Alike the NLP approach, GROW takes the winner-mode of interaction even one step further. From complete acceptance of the other person, this leads to the acknowledgment of potential that is not yet visible. "You are okay" turns to "You can be way better than okay". GROW coaching assumes that all potential lies already in the coachee but is not fully realised yet. Taking direct reference to Gallwey's concept of the inner game (see 4.3), Whitmore agrees that the worst enemy of success is the enemy inside the head that blocks potentials. A coach recognises that the inner obstacles are often more discouraging than the outer ones. If a coach does not believe in the existence of potential capabilities of his coachee, he will not be able to bring them out (Whitmore 2006: 20).

Setting free the potential of a person happens in order to maximise his performance, which is the ultimate goal of GROW. This strong task orientation is reflected in the title of Whitmore's latest book "Coaching for Performance – GROWing Human Potential and Purpose" (Whitmore 2009). To do so GROW seeks to increase the key levers of potential: a coachee's responsibility and consciousness (Whitmore 1994: 32-40). This is mainly accomplished by questioning. A coach rather helps his coachee to learn than to teach him something. Coachees are no empty pots that can be filled with wisdom and experience; they are no tabula rasa (Whitmore 2006: 16).

Although consciousness and responsibility might suggest it, GROW is not a cognitive but a straight behavioural model. Cognition is seen as important means to the end of behavioural changes to excel in performance. To get there, GROW provides a distinct structure for questions in four clusters, which gave GROW its name. Essential for the responsibility aspect is the fact that questions are asked, not prescriptions made, assuring that the coachee is fully in charge. The order of questions contributes to the consciousness aspect through the underlying precision model (Alexander 2006: 66). Starting with general questions, the coach helps the coachee to dig deeper with ever more precise questions. For example, when the coachee talks about difficulties in his team, questions would be "All of the team?", "Who specifically?", "What difficulties in particular?", "Why exactly this is bothering you?" and so on. The general structure looks as follows:

- *Goal*. In the beginning of every session the desired outcome is discussed. It should be as concrete as possible and be within the sphere of influence of the coachee. Also it should be a goal that really seeks to improve performance. Important is also to check what factors will signify a successful reaching of the goal. According questions could be "What elements would you like to see?", "Can you say what you want in one sentence?" or "How will you know when you have arrived there?" (Wilson 2007: 35)
- *Reality*. Here, a thorough analysis of the exit situation is done. Using observing rather than evaluating terminology is advised. It is mind to find out what has kept the coachee from achieving his goal already, what are particularities of the situation and to what extend the mentioned issues are mere perceptive ones. If the clarification of the situation leads to different goals, the process starts again at step one (Whitmore 1994: 72). Appropriate questions are "What have you done so far?", "What were the results?" and "How do you feel when this happens?" among many others.

- *Options*. This serves to find concrete alternative possibilities to achieve the goal. At this point the coach has to refrain from providing ready-made solutions but must let the coachee dig for answers (Rauen 1999: 179). Only when the coachee is completely locked careful advice is suitable. It is not about finding the one right answer but to come up with many strategies to choose from. Supporting questions can be "What would you do if you had plenty of budget/time/directs/energy?" and simply "What else could you do?".
- *Will*. In this concluding phase the decisions are made what, when and how exactly actions will be taken. A concrete schedule is part of it, together with detailed consideration of potential obstacles, people whose support the coachee will need and whom he has to inform. Finally, the coachee rates his will and the probability of carrying out the agreed upon actions on a scale from 1 to 10. This is no estimation of how likely the goal will be achieved but of the coachee's intention to try it. If the score is below eight the coachee should reconsider to reduce his task or increase the time frame. Questions could be "What support do you need?", "What other considerations do you have?", "What prevents the score from being a 10?" (Whitmore 2009: 87-88).

Criticism towards GROW aims mostly not at its content but at the lack of it. Missing explications of the understanding and handling of the coach-coachee relationship are one issue. Another is the dogmatic invariance of the process (Rauen 1999: 137-138). It stays the same for every subject even though Alexander claims that "the coachee is not subjected to a mechanistic and linear approach. While our language requires us to describe the GROW model as linear, in fact most coaching sessions are cyclical in nature" (Alexander 2006: 62). This criticism has lead to the ACHIEVE model, again an acronym, and is considered as further development of the GROW model by The Coaching Centre.[17] It is based on seven steps:

- *Assess* current situation. The coach takes his time to cover all areas of the coachee's personal situation by asking a lot of open questions (such that cannot be simply answered by yes or no), listening carefully and actively. Also he restricts himself for talking at maximum 20% of the time.
- *Creative* brainstorming of alternatives to current situation. Most clients that seek a coach's advice are in a stressful situation. This might prevail also for the time being of the coaching session. Good coaches detect corresponding symptoms and take into account that the spectre of behaviour and thinking is strongly narrowed. Therefore they have a tool kit of methods that help the client to overcome the stress situation in order to be able to consider different options and patterns of behaviour.

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[17] [www.thecoachingcentre.com 18.08.10].

- *Hone* goals. In this step, a clear goal of the coaching will be defined. The coachee is encouraged to imagine, to feel and to think the experience of having achieved the goal already. Organisations often fail to translate company targets, like a raise in market share by 5%, into personal goals, resulting in a lack of individual relevance for the affected coachee. Successful translation makes the individual goals achievable and measurable.
- *Initiate* options. Here, it is crucial to work out as many options of action as possible. The coach has to make sure that the coachee develops the ideas. Patience and guidance through questions, while reducing the own opinion to a minimum are the key factors of coach's function at that time.
- *Evaluate* options. The coach encourages finding and developing of criteria to evaluate the different options of action. Since the coachee has to be convinced by his own decision, it is important that he is the one making the final judgments.
- *Valid* action programme design. At best, the coach helps to create a written plan, containing a concrete time line of actions and needed resources. Here the coach has to take care that all measures a contributing to the coachee's main goal, that they are realistic and achievable and that the coachee is really comfortable with them as with the overall result.
- *Encourage* momentum. The coach keeps track of his coachee's development. This can be done through phone, mail or personal contact in subsequent sessions. Depending on the situation it can be necessary to provide ongoing support or simply to remind the coachee not to forget his action plan over the daily work (Dembkowski 2005: 33-34).

4.5 Comparison of the Approaches

"*Everybody* has won, and *all* must have prizes" (Carroll 2000: 35).

The comparison and analysis of NLP and GROW coaching is not easy. Sparrow refers to GROW as non-directive approach with a strong dependence on the coachee's creativity to make progress, whereas NLP has an influencing style with the potential danger to disempower the coachee (Sparrow 2007: 24). There is a somewhat strange paradox regarding NLP: on the one hand it is widely dismissed as dysfunctional pseudoscientific bluff. On the other hand it is warned about as being manipulative, personality undermining and disempowering. A philosophical analogy would be to try to proof the non-existence of god while at the same time claiming that he is very dangerous indeed. Besides that, NLP is seen as highly successful by those practicing it with ever increasing numbers. This in turn, fortifies NLP's reputation as cult and again leads to growing rejection. "That it is enthusiastically supported by those who practise it is both its strength and potential weakness" (Dowlen 1996: 33).

From a clinical psychological point of view, NLP surely lacks the ground of scientific approval since none of its assumptions could be positively confirmed by acknowledged studies. The only problem is that NLP practitioners do not claim that to be the case either and refer to subjective positive work results as sufficient proof of concept. That way NLP immunises itself against external criticism and thus provokes even more of it.

GROW coaching has dodged such a discussion as it never aspired scientific status, neither through its terminology, nor its origins. It is probably a too specific, straight supportive behavioural concept with a clear structure to find anything obscure with it. Its only criticism of being too narrow and too stiff as process, is not really troublesome since there are more differentiated models available like ACHIEVE or EXACT, standing for EXciting, Assessable, Challenging, Time-framed (Wilson 2007: 42). Coming from a business and sporting background, GROW never stepped on the toes of traditional medical consultation like psychology or psychotherapy. Its aspirations are rather ethical like fostering self-responsibility and consciousness, as well as it is clearly task and performance oriented, with support of managerial traits, like planning, timing and controlling.

	Instruction	**Training**
Main target	relationship optimisation	output optimisation
Main focus	coachee and coach	coachee
Style	influential, implicit, indirect, cognitive	supportive, explicit, direct, behavioural
Difficulty	difficult to follow for coachee, low awareness for interventions	easy to follow for coachee, high awareness for interventions
Hierarchy	coach higher, low self-responsibility of the coachee	coach lower, high self-responsibility of the coachee
Origins	linguistic and therapeutic roots,	consulting and sportive roots,
Development	export from the psycho-social field to business applications	import of psycho-social applications to the business field
Main criticisms	pseudoscientific, manipulative	dogmatic, mechanistic
Possible limitations	restricted acceptance, lack of executive compatibility, no train-the-trainer	all-fits-one approach, no in-depth techniques, no long-term aspirations

Figure 18 - Comparison of NLP and GROW Coaching (source: own figure)

Regarding the supportiveness for transformational leadership, both approaches have their pros and cons. An advantage of GROW is that it is easy to use and easy to learn. A transformational leader will be able to implement it into his work routines, which can be of great help to transform others. This train-the-trainer mode does not apply for NLP because profound training is necessary to be able to use it. However, on a high level GROW requires an extremely skilful coach because the methodological framework is so sparse.

What can but does not have to be another advantage for GROW is the compatibility to business patterns and language. It is straight forward, requires immediate behavioural changes and achievements are easy to monitor. It has no (pseudo)scientific superstructure and does not suggest any superiority of the coach. In some cases though, these very characteristics can turn out as obstacles because coachees might want or need exactly this contrast in language and style compared to their usual work routines. They could profit from a gently, implicit way of coaching especially because it lacks of the pressure to deliver immediate results. Or they need to project authority into their coach to better get involved in the process. This is possible indeed and not to be evaluated as worse or better.

One can say that GROW contributes more to the external characteristics of a transformational leader that are charisma, intellectual stimulation, motivational inspiration and individual consideration. Through the task-oriented approach of GROW a leader will likely inspire others through his actions as well as enable and motivate them to deliver better performances themselves. The hitch of it is that this only holds true if the leader is already quite proficient in transformational thinking, i.e. when a creative, solution-focused, people-centred transformational mindset is not too far away and only needs behavioural catalysis. In terms of the Johari window, GROW can help to reduce the façade through increased behavioural visibility.

If there are deeper issues that keep a leader from outperforming in face of change, for example personal struggles, creative lock-downs, career anxieties, GROW might not provide sufficient inquiry since it relies mostly on questions. In case the coachee really cannot come up with further answers, NLP techniques could be a better choice as they are closer to therapeutic measures. When a leader is completely new to the transformational style it can be very beneficial to introduce interventions like reframing that have a clear connection to double-loop and deutero learning. Experiencing reframing is also the final stage of the Vector-for-Change model and thus it can be very helpful to become proficient in it. Regarding the Johari window, NLP might have advantages in minimising difficult blind spots if the NLP coach takes the opportunity to give in-depth feedback.

Then there are differences of the two approaches in when it comes to situational fitting. Depending on the resources available like time, money, the intellectual capacities of the coachees, there is not simple best solution but it must be carefully chosen which one is more promising. This is also the case regarding different desired outcomes, e.g. general personal transformation development, specific skills or changing the mindset. Also coaches themselves are organisational resources and have to be planned according to the quantity they shall deliver, perhaps resulting in different settings like individual, team or group coaching. It cannot be generally decided that for example GROW works only for individuals and NLP is better applied when it comes to large groups.

This is also due to the fact that despite their differences, there are large overlaps between the two approaches, too. Alike NLP, GROW takes body language, nonverbal communication into account, while NLP has some goal-oriented formats. Further, both can draw on common tools and techniques like 360-degree-feedback, simulations or exercises to whatever extends it might be useful for the coaching process. These things do not belong exclusively to GROW or NLP but are used by many different coaching approaches that did not find entrance in this paper. Theses interventions provide experiences and insights that reduce the Johari field of the Unknown. If coaching is done successfully each approach broadens the coachee's horizon, respectively his arena.

4.6 Empirical Study "Coaching in the German Speaking Economy"

"Between the conception / And the creation
Between the emotion / And the response
Falls the shadow" (Eliot 2007: 127-128).

Most of the assumptions which have been made were of theoretic nature. Similar to chapter 3, an empirical study is introduced to see if the argumentation can be confirmed, inspired or contrasted with facts from practice. The common thread of this paper, from external over internal to personal changes has been posed and with the last comparison of the coaching approaches, further theoretic backing for the argumentation could be found.
The question is to what extend the coaching reality captures the potential of supporting organisational transformation. Although there are other empirical studies about coaching already, like Bresser's Global Coaching Survey[18] or the Coaching Survey Germany 2009 of the German national coaching association[19] the study that comes to use in this section was realised by myself for reasons of empirical learning and interest. It is an explorative quantitative study about the general use, understanding and perspectives of coaching in the German speaking economy. There was no implementation of questions that directly suggested the connection of socio-economic changes, transformational leadership and coaching. The survey does not contain in-depths questions about specific coaching methods or approaches. The objective was to derive a descriptive generic picture of the actual state of coaching without putting it in the argumentative context of this paper beforehand. Due to the amount of data, only excerpts will be presented, whereas the complete illustrations and statistical references are to be found in the appendix.

[18] [www.frank-bresser-consulting.com/global-coaching-survey.html 20.09.10].
[19] [www.coaching-umfrage.de/PDF/Ergeb%20Coaching-Umfrage%202009.pdf 18.09.10].

4.6.1 Description

The following study is based on a survey of German and Austrian leaders in human resources and organisational development departments or designated coaching agents. They were asked because coaching for organisations is usually assessed by them. In Germany, 200 companies that were among the top 500[20] were randomly chosen. In Austria, 15 leading companies from different industries were pre-selected. The 215 companies was contacted via email and phone. The according questionnaire was send via mail or email and could be returned both ways. With 26 usable replies the return quota is 12%, which is a pleasant result. Due to non-existent control mechanisms like they exist in online surveys, a high number of item non-response had to be taken into account with the use of uncoerced written replies.

The pre-conception of the survey was realised with Prof. Rudolf Schüssler (University of Bayreuth)[21] and Claudia von der Linden (Permion Consulting GmbH).[22] Conduction, collection, statistical preparation and illustration of the results were done by me. It was originally conducted in German to increase the response rate and finally translated into English. The original German database and is available on request yet not included in this paper.

The participants came from across diverse industries and were clustered following the latest European Union classification scheme NACE rev. 2.[23] Although three companies with less than 1,000 employees took part, the main focus was on medium and large-sized companies. 12% of the respondents came from Austria. Other personal data about the respondents themselves was not collected.

The survey is grouped in seven parts: part I – coaching decisions, part II – coaching motivation and contents, part III – coaching demand and perspectives, part IV – characteristics of the coach, part V – general conditions and part VI – open remarks. Two types of questions were used. Either respondents could either rate each item within a question on a five step Likert scale (always (5), very often (4), frequently (3), sometimes (2) or never (1)). Otherwise, simple check boxes to denote a yes/no answer for each item were given. To improve clarity and concision of the results, the following illustrations used top-2-box representations of the Likert scale questions, i.e. best and second best ratings compared to all other ratings, including “no replies”, shown in percentage. Yes/no questions are presented as diagrams indicating the relation in percentage. The illustrations in the appendix show the complete rating scale in percentage for each value and item.

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[20] [http://top500.welt.de/download/2008 20.09.10].
[21] [http://pe.uni-bayreuth.de/?coid=21&q=detail&mid=2 20.09.10].
[22] [http://www.permion.com/permion/geschaeftsfuehrerin/ 20.09.10]
[23] [http://de.enace.eu/ 19.09.10]

4.6.2 Presentation of the Results

Two questions are most relevant for the understanding and intention of coaching. For 77% of the respondents the help for self-help principle discussed in 4.3.3 is always or very often part of the meaning of coaching. Half of them also considered the feedback function as essential. Both aspects are captured in the conception of coaching in this paper, as well as the dissociation of more instructive or training like interventions. These were only for 15% a highly relevant aspect of coaching

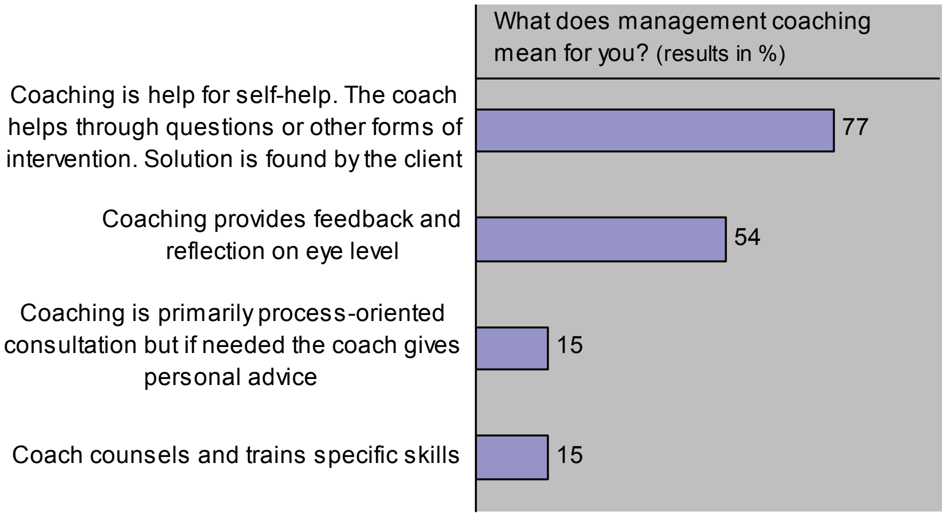


Figure 19 - What Does Management Coaching Mean for You? (source: own figure)

As for the intended achievements, the picture speaks in favour of the support function of coaching for transformation. With personality development as most important goal (81%), support for change is always or very often a target of coaching. In three out of four cases, coaching is meant to help coping with change. Though not explicitly asked about, transformational leadership can also be regarded as well captured. The high rating of strengthening social competence (42%) is at least beneficial for transformational leadership due to its strong people orientation. Further, the high scores of the mentioned aspects, together with the low scores of other, suggest that the picture of desired coaching achievements is quite complete and no important aspect has been left out.

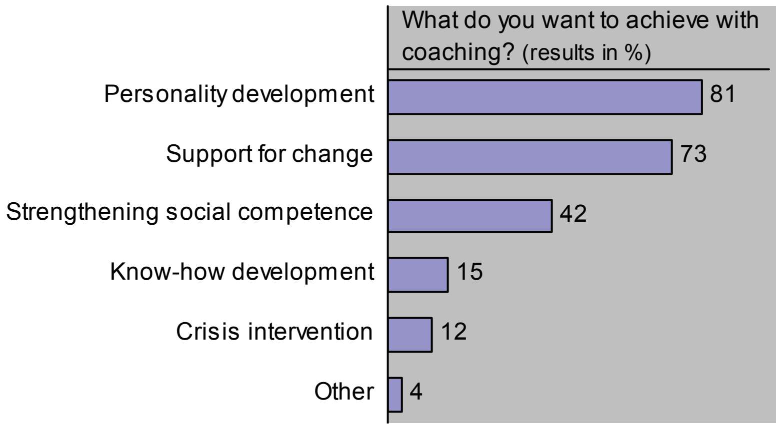


Figure 20 - What Do You Want to Achieve With Coaching? (source: own figure)

Coaching as support for leaders gets more backing by looking at the designated coachees in organisations. Top and middle management, along with rising leaders are by far the most common recipients of coaching. Especially middle managers as strategic-operative interfaces in organisations are affected and driver of transformation at the same time. Specialists and experts do not account for much for organisational coaching activities. Only about one third of the companies provide coaching for them.

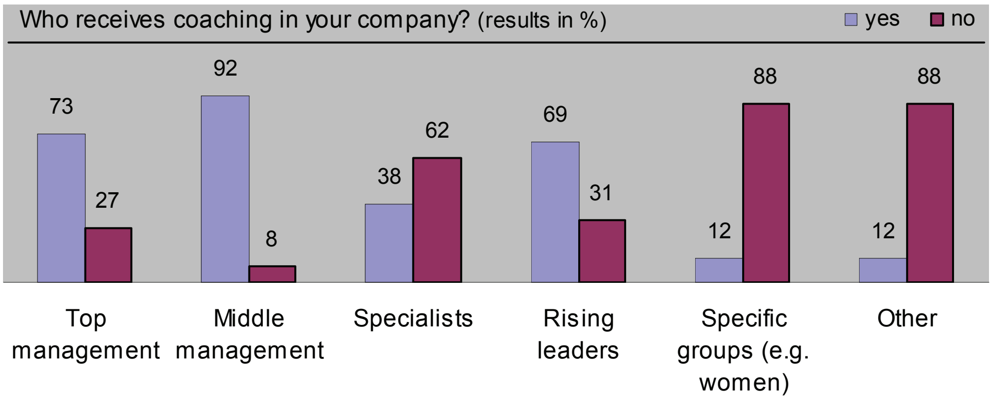


Figure 21 - Who Receives Coaching in Your Company? (source: own figure)

Transformational themes can also be found in the next figure. Items with less than 19% top-2-box ratings were left out in the illustration. All items shown here are individual coachings with a specific task orientation. The relevance of leadership is high because despite the general notion of individual coaching for personnel development (65%), individual coachings with leadership focus are done in nearly half of the participating companies. They are followed by individual coachings for people in new positions and in organisational change situations. The need for coaching when new positions are occupied, together with the fact that coaching is not relevant in terms of training and instruction, can be seen as indicator for the relevance of coaching for organisational development. With relevant change related coaching contents ranging on place two to four, coaching is clearly connected to organisational transformation and leadership

Figure 22 - What Kinds of Coachings Are Done in Your Company? (source: own figure)

The actual state of coaching shows an affirmative picture with regard to the argumentation of this paper. The future relevance of coaching appears to fit right in. 77% of the participants found that coaching will increase in the aforementioned areas of application. A slight upward trend can be seen for the use of internal coaches, which 19% thought to be the case in the future.

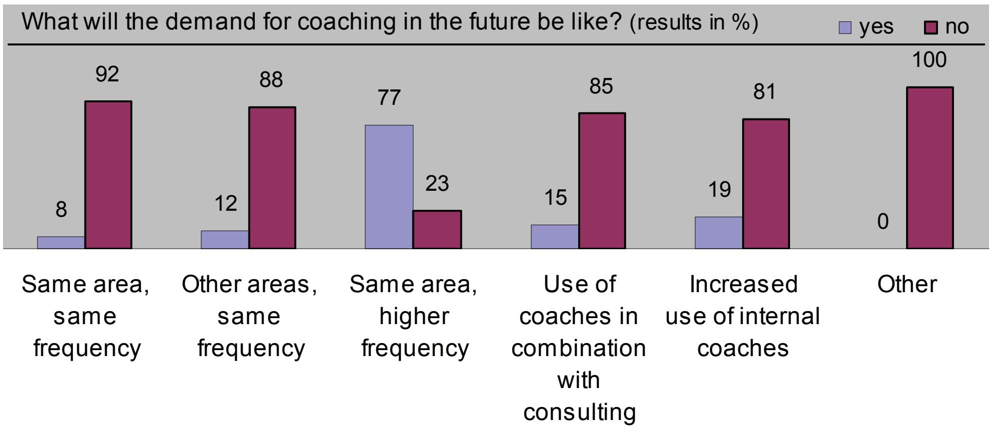


Figure 23 - What Will the Demand for Coaching in the Future Be Like? (source: own figure)

This is also supported by those respondents who were willing to reveal the coaching expenses of their companies. The estimated overall development is strongly positive in three cases, stagnant in two cases and only one case has an aggregated negative tendency due to significant cut backs in the last five years. Two participants stated that there are unsure about the development but seek coaching services today, where five years ago they did not. The one respondent with stagnating expenses also had the highest level of coaching cost already. This can be evaluated as strong integration of coaching in the organisational development, as € 1.5 million is an extra-ordinary large sum.

How is the development of demand for external coaching services?
Please estimate the yearly expenses of your company for coaching in Euro.

Five years ago	5,000	10,000	120,000	1,500,000	50,000	50,000	0	0
Today	20,000	30,000	270,000	1,500,000	50,000	10,000	10,000	10,000
In five years	54,000	50,000	350,000	1,500,000	50,000	15,000	?	?
Past increase	300%	200%	125%	0%	0%	-80%		
Future increase	170%	67%	30%	0%	0%	50%		
Ten years development	980%	400%	192%	0%	0%	-70%		

Figure 24 - How Is the Development of Demand for External Coaching Services? (source: own figure)

The next three figures help to get a more in-depth picture of the respective characteristics of a coach. They also point indirectly at the preferred coaching approach, NLP or GROW. In figure 25 it is interesting that although self for self-help was the dominant meaning of coaching, the coach shall have a good organisational understanding, which is a little counter-intuitive. Apparently the participants seek more advice from a coach than initially stated or they simply want organisational knowledge as backup if the coachee is stuck.

This is rather neutral towards any specific approach. The second and third item, expert knowledge in psychology and communication strategies, speak in favour of NLP, whereas the notion of business ethics is better to cover with GROW. Generally the aspiration level is quite high with six out of seven items being always or very often important for about a third of the respondents at least.

Figure 25 - What Professional Competences of a Coach Are Important For You? (source: own figure)

The high demands towards the coach are likewise supported in the next figure, where all four items get top-2-box ratings of more than half of the respondents. Most important is leadership experience. This time, GROW seems have a light indirect preferability, as it has a stronger business association of its practitioners. In comparison, NLP needs more education and training and it is therefore more difficult for such coaches to get own leadership experience. The last three items again are neutral.

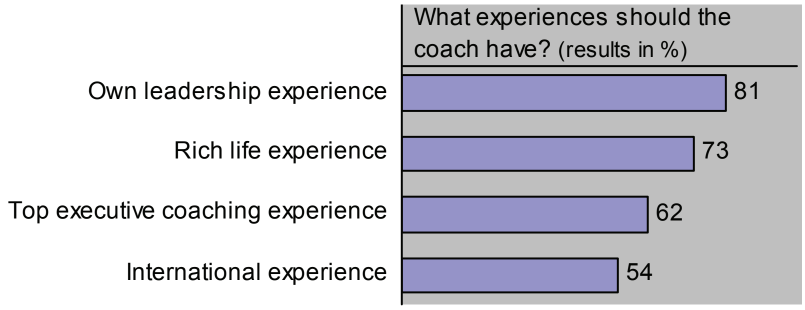


Figure 26 - What Experiences Should the Coach Have? (source: own figure)

Besides his experiences, a coach is supposed to convey trust and reliability. This makes sense in connection with the organisational knowledge a coach should have because no client would want to see his coaching contents used elsewhere in a non-confidential manner. The personal fit depends not solely on the coach but to a large extend on the coachee, too. Charisma and reputation fall behind, which confirms the role of the coach as facilitator and not as leader through the back door.

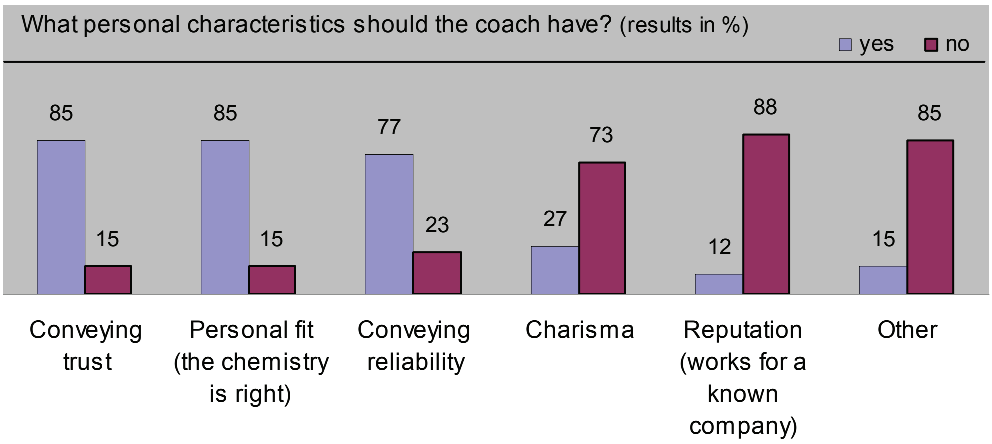


Figure 27 - What Personal Characteristics Should the Coach Have? (source: own figure)

4.6.3 Main Conclusions

Overall, there could be seen confirmation for the thesis of this paper. Organisational change and development play important roles in the everyday life of coaching. Mostly coaching is done in an individual context with personal development and leadership as top priorities. However, it must be acknowledged that in order to claim more support for the argumentation that coaching supports transformation, research must be more refined with more in-depth questions that reveal more details. The results so far are a necessary condition for the argumentation of the paper to be valid but they are in no regard sufficient. This general evaluation is also shared by some of the respondents who contributed open remarks to the survey of which some examples will be referred to. Two answers to question 19 – “What are the main benefits of coaching in your view?” were:

- “Entering unknown territory, overcome organisational blindness, help for self-reflection, support and extend, achieving goals more effectively with less stress”
- “External and company independent attendance in change processes, preparation of young leader for their first leadership responsibilities, self-reflection, respectively siting of grown leaders.”

When it comes to a concrete coaching approach to practically deliver the support for leaders GROW and NLP both fit well to the articulated demands regarding coaching contents as well as the characteristics of a coach. What came as a little surprise was the strong request for organisational knowledge of the coach. Here, the paper suggested a more distant role of the coachee. Perhaps for some respondents coaching comes closer to consulting, which could be an explanation. Another reason could be the need of systemic understanding as one of the respondents below has claimed. To the question 20 – “What can be improved in coaching in your view? What is missing, what is dispensable?” many participants, despite the one quoted, have also criticised the lack of approved and certified qualification.

- “In coaching often thinking is one-sided (e.g. too strong communication-oriented or too strong interaction-oriented). A systemic view is desirable that takes the functioning of the whole system of the coachee into account. Another aspect concerns the motivation of the coach. A good coach sees himself as moderator of the process. As such he tries to take care that fast results are achieved and the coachee is enabled to ask himself the right questions and to take different points of view.”
- ”Not everyone who describes himself as coach meets the requirements of that profession. If that is noticed only in progress of the coaching process, the necessary exchange of the coach leads necessarily to a breach and endangerment of the target.”

Concluding remarks were given in question 21 – “How can coaching be applied better or differently in the future?” and question 22 – “What other aspects can you think of regarding management coaching?”:

- “I see better possibilities of application then when the reputation of coaching is improved in general. Up to now coaching (at least in our company) clings to a too strong problem-orientation: One needs coaching only if one has a problem, respectively if one has difficulties to reach one's targets. The acceptance of coaching suffers from that and it is keep “secretly”. Coaching should better be sold as “support for even better performances.”
- “As personnel developer I think that coaching has such a big benefit because it is applied individually with the single leader and - different to seminars and trainings - achieves in a special manner the connection between acquired cognitive and behavioural structures (towards the past) and future behaviours. Only with that, especially with grown leaders, behavioural change is achievable.”

Especially the last comment clearly affirms the thesis of this paper whereas the former is a fair thought on what difficulties still can exist when talking about coaching in an organisational context.

5 | "Summary"

5.1 Critical Review

"At a time when business people may be feeling tossed on waves that are beyond their control, there is a huge need for the variety of services that good coaches offer" (Whitmore 2009: 30).

Whitmore, J. (2009) "Of Might and Mien" in: People Management, Vol. 15(6), pp. 30-31.

5.2 Résumé

"As we continue to move through the information age, we are beginning to see the collision of two primal forces of human nature: privacy and trust" (Wolpin 2010: 6)

"We can't deal with things in silos because the moment you make a change in one area, it affects what is happening somewhere else and you need to be aware of those changes" (Whitmore 2005: 6)

Whitmore, J. (2005) "Try a Little Trust" in: New Zealand Management, Vol. 52(9), pp. 6-7.

"the heart & soul of change – what works in therapy" American psychological association 1999

howard gardner

5.3 Further Perspectives

Double / triple loop learning approach???

Cognitive Restructuring: the work – a popular socratic self-assessment. Based on cognitive restructuring models Byron Katie has developed a popular and simple system of how to help others and how to help oneself, which can be well embedded in any coaching process. The main lever is to go through single beliefs or set of believes and allow the coachee or oneself to let the mind think possible turn-arounds (Byron Quelle Fragebogen in Anhang legen, Harvard studie) of the beliefs (Migge 2009: 174)

Stanford psychologist David Wise and urologist Rodney Anderson refer to Albert Ellis' Rational-Emotive Therapy and Aaron Beck's Cognitive Therapy and then write "the best form of Cognitive Therapy, in our opinion, is offered in The Work of Byron Katie, who provides an approach to disarming catastrophic thinking by means of a process that one can do oneself. This is the approach we recommend." (Wise / Anderson 2008: 326)

"The future then belongs, said George Bernhard Shaw, another Irish man, to the unreasonable ones, the ones who look forward not backward, who are certain only of uncertainty and who have the ability and the confidence to think completely differently" (Handy 1996: 16).

Kotter 1996 Leading chage bei books.google p. 19 – gute übersicht über change
The Rise of the Network Society , Castells (bei books.google)
Community in the digital age: philosophy and practive (bei books.google)
Leadership in the Information Age, bartz (bei ebsco)

Systemic coaching
"Think globally act locally article computer
peter senge
QV 584 p. 101
SYS: system optimisation, focus many, coach equal/higher, medium self-respo, much theory/education, medium to follow for coachee, indirect application, cybernetic/sociologic roots, scientific

Appendix

Questionnaire

Die „Empirische Untersuchung zu Management-Coaching“ ist Bestandteil der Abschlussarbeit von David Rohrmann zum Erreichen des Master of Arts (M.A.) im Bereich „Philosophy & Economics“ an der Universität Bayreuth in Zusammenarbeit mit Prof. Dr. Rudolf Schüssler

FRAGEBOGEN ZU MANAGEMENT-COACHING

Allgemeine Informationen zu Ihrem Unternehmen

- Unternehmensgröße in Anzahl der Mitarbeiter
- Branche
- Hauptstandort

TEIL I Coachingentscheidungen und -einsätze

Frage 1 Benutzt Ihr Unternehmen externe Managementcoachingleistungen?

- Ja
- Nein, weil:
  - Kein Bedarf
  - Zu teuer
  - Wird intern gelöst (interne Coaches)
  - Unternehmen zu klein
  - Schlechte Erfahrungen
  - Noch keine Berührungen mit externen Coaches
  - Andere Gründe

Anmerkung: Auch wenn Sie bisher keine Coaching-Maßnahmen in Anspruch genommen haben, beantworten Sie bitte trotzdem die Fragen, zu denen Sie eine Meinung haben.

Frage 2 Wer ist in Ihrem Unternehmen für die Entscheidung einen externen Coach einzusetzen verantwortlich?

	Immer	Sehr oft	meistens	gelegentlich	nie
Human Resources-Bereich					
Der Gecoachte selbst					
Vorgesetzte					
Andere					

Frage 3 Nehmen andere Bereiche auf die Entscheidung einen Coach einzusetzen Einfluss?

- Einkaufsabteilung ☐
- Geschäftsleitung ☐
- Muttergesellschaft ☐
- Andere ☐

Frage 4 Wie wird oder wurde Ihr Unternehmen mit einem externen Coach bekannt?

	Immer	Sehr oft	meistens	gelegentlich	nie
▶ Empfehlung intern	☐	☐	☐	☐	☐
▶ Empfehlung extern	☐	☐	☐	☐	☐
▶ Ihr Unternehmen ist Mitglied einer Association	☐	☐	☐	☐	☐
▶ Der Coach stellt sich und seine Leistungen vor	☐	☐	☐	☐	☐
▶ Der Coach ist Teil einer Unternehmensberatung	☐	☐	☐	☐	☐
▶ Der Coach wird über eine Personalberatung empfohlen	☐	☐	☐	☐	☐
▶ Werbung	☐	☐	☐	☐	☐
▶ Andere	☐	☐	☐	☐	☐

TEIL II Coachingmotivationen und -inhalte

Frage 5 Was bedeutet Managementcoaching für Sie?

	Immer	Sehr oft	meistens	gelegentlich	nie
▶ Coaching ist Hilfe zur Selbsthilfe. Der Coach hilft dem Kunden durch gezielte Fragen oder anderer Formen der Intervention. Die Lösung wird vom Kunden selbst gefunden	☐	☐	☐	☐	☐
▶ Coaching ist überwiegend eine prozessorientierte Beratung, jedoch kann der Coach bei Bedarf persönliche Ratschläge geben	☐	☐	☐	☐	☐
▶ Der Coach berät und trainiert mit dem Klienten bestimmte Fähigkeiten	☐	☐	☐	☐	☐
▶ Der Coach dient als Reflexion oder Feedbackgeber auf gleicher Augenhöhe	☐	☐	☐	☐	☐

Frage 6 Was möchten Sie mit Coaching erreichen?

	Immer	Sehr oft	meistens	gelegentlich	nie
▶ Persönlichkeitsentwicklung	☐	☐	☐	☐	☐
▶ Krisenintervention	☐	☐	☐	☐	☐
▶ Know-how-Entwicklung	☐	☐	☐	☐	☐
▶ Stärkung der Sozialkompetenz	☐	☐	☐	☐	☐

Frage 7 Wer wird in Ihrem Unternehmen gecoacht?

- Top Management ☐
- Mittleres Management ☐
- Fachkräfte ☐
- Aufsteigende Führungskräfte ☐
- Spezielle Gruppen (z. B. Frauen) ☐
- Andere ☐

Frage 8 Welche Coachings werden in Ihrem Unternehmen durchgeführt?

	Immer	Sehr oft	meistens	gelegentlich	nie
► Einzelcoachings als Teil der Personalentwicklung	☐	☐	☐	☐	☐
► Einzelcoachings für spezielle Themen:	☐	☐	☐	☐	☐
Strategie	☐	☐	☐	☐	☐
Führung	☐	☐	☐	☐	☐
Verhandlungskompetenz	☐	☐	☐	☐	☐
Neue Position	☐	☐	☐	☐	☐
Berufliche Problemfelder	☐	☐	☐	☐	☐
Organisationsänderungen	☐	☐	☐	☐	☐
Frauen in Führungspositionen	☐	☐	☐	☐	☐
► Andere	☐	☐	☐	☐	☐
► Teamcoachings	☐	☐	☐	☐	☐

Für welche Themen?

TEIL III Coachingbedarf und -perspektiven

Frage 9 Sehen Sie den Einsatz von Coaching auch für integrierte Leistungen als sinnvoll an?

- Einsatz von Coaching in Verbindung mit Unternehmensberatung, z. B. bei der Entwicklung und Umsetzung einer Strategie, als Teil eines Veränderungsprozesses ☐
- Einsatz von Coaching in Verbindung mit Personalberatung ☐
- Andere Einsatzmöglichkeiten ☐

Frage 10 Werden in Ihrem Unternehmen eher individualisierte Coaching-Leistungen oder „Packages“ nachgefragt?

- Individuelle Leistungen ☐
- Packages ☐
- Wenn ja, welche? ☐

Frage 11 Welcher Bedarf für Coaching wird Ihres Erachtens in Zukunft bestehen?

- Gleiche Einsatzgebiete wie bisher nur verstärkt in der Häufigkeit ☐
- Gleiche Einsatzgebiete, aber größere Häufigkeit ☐
- Einsatz von Coaches bei Beratungsaufträgen, wie z. B. Strategieformulierung ☐
- Vermehrter Einsatz unternehmens-interner Coaches ☐
- Anderes ☐

Frage 12 Wie ist die Entwicklung des Bedarf Ihres Unternehmens an externen Coachingleistungen?

Bitte geben Sie Schätzwerte in € pro Jahr des Gesamtunternehmens(G) bzw. Ihres Verantwortungsbereichs an (V).

- Vor 5 Jahren
- Heute
- In 5 Jahren

TEIL IV Merkmale des Coaches

Frage 13 Welche fachlichen Kompetenzen des Coaches sind Ihnen wichtig?

	Immer	Sehr oft	meistens	gelegentlich	nie
Fachwissen Wirtschaftsethik	☐	☐	☐	☐	☐
Fachwissen Kommunikationsstrategien	☐	☐	☐	☐	☐
Fachwissen philosophische Lebensberatung	☐	☐	☐	☐	☐
Fachwissen Psychologie	☐	☐	☐	☐	☐
Funktionales Fachwissen (z. B. Marketing..)	☐	☐	☐	☐	☐
Branchenwissen	☐	☐	☐	☐	☐
Verständnis, wie eine Organisation Ihrer Art funktioniert	☐	☐	☐	☐	☐

Frage 14 Welche Erfahrungen sollte der Coach besitzen?

	Immer	Sehr oft	meistens	gelegentlich	nie
Eigene Führungserfahrung	☐	☐	☐	☐	☐
Erfahrung im Coachen von Top Management	☐	☐	☐	☐	☐
Internationale Erfahrung	☐	☐	☐	☐	☐
Reichhaltige Lebenserfahrung	☐	☐	☐	☐	☐

Frage 15 Welche persönlichen Merkmale sollte der Coach aufweisen?

- Vermittelt Vertrauen ☐
- Vermittelt Zuverlässigkeit ☐
- Charisma ☐
- Image (arbeitet für eine bekannte Beratungsfirma) ☐
- Persönlicher Fit, „Chemie stimmt“ ☐
- Anderes ☐

TEIL V Rahmenbedingungen

Frage 16 Wie oft wird in Ihrem Unternehmen gecoacht?

	Immer	Sehr oft	meistens	gelegentlich	nie
▶ Einzelne Sitzungen	☐	☐	☐	☐	☐
▶ Phasenweise (besondere Situationen, Vorkommnisse, Anforderungen)	☐	☐	☐	☐	☐
▶ Turnusmäßig (monatlich, vierteljährlich, halbjährlich)	☐	☐	☐	☐	☐
▶ Dauerhaft begleitendes Coaching	☐	☐	☐	☐	☐

Frage 17 Wo finden die Coachingsitzungen statt?

	Immer	Sehr oft	meistens	gelegentlich	nie
▶ In Räumen des Unternehmens	☐	☐	☐	☐	☐
▶ In externen Lokalitäten (Hotels etc.)	☐	☐	☐	☐	☐
▶ In den Räumlichkeiten der Coachingfirma	☐	☐	☐	☐	☐

Frage 18 Welchen preislichen Schwerpunkt hat Ihr Unternehmen beim Einkauf der Coachingleistungen?

	Immer	Sehr oft	meistens	gelegentlich	nie
▶ < 1000€ pro Tag	☐	☐	☐	☐	☐
▶ 1000€ - 1500€ pro Tag	☐	☐	☐	☐	☐
▶ 1500€ - 2000€ pro Tag	☐	☐	☐	☐	☐
▶ 2000€ - 2500€ pro Tag	☐	☐	☐	☐	☐
▶ > 2500€ pro Tag	☐	☐	☐	☐	☐

TEIL VI Offene Fragen

Frage 19 Was sind aus Ihrer Sicht die Hauptnutzen von Coaching?

Frage 20 Was ist aus Ihrer Sicht verbesserungswürdig im Coaching? Was fehlt, was ist überflüssig?

Frage 21 Wie kann Coaching in der Zukunft noch besser/anders eingesetzt werden?

Frage 22 Welche anderen Punkte hätten Sie zum Thema Managementcoaching?

ENDE Vielen Dank für Ihre Unterstützung!

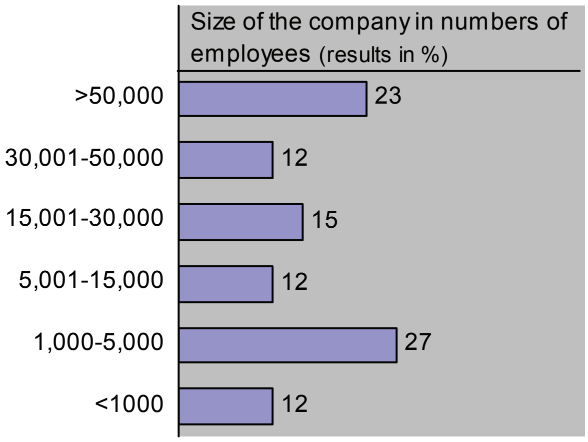
Calculation

Due to high item non-response, arithmetic average and standard deviation (SD) were calculated without taking "no replies" into account. Average and SD are rounded to one decimal place behind comma.

For the illustrations in the continuous text, top-two-box percentages were used. They were calculated by adding the counts of 5 and 4 and dividing them by the total count, taking "no replies" into account.

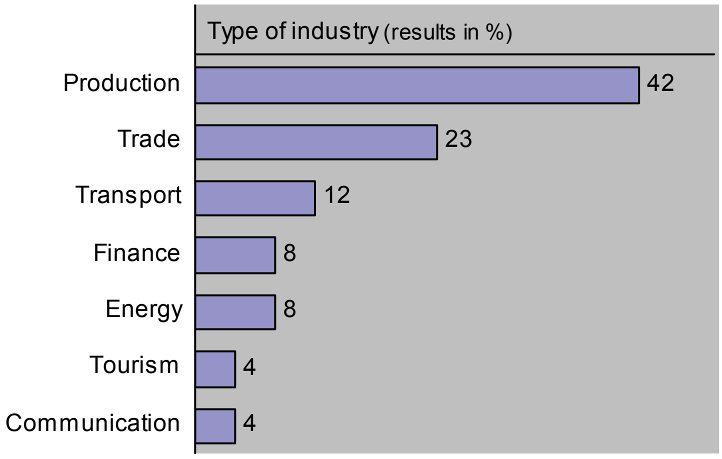
Basic Information

Size



	Count
<1000	3
1,000-5,000	7
5,001-15,000	3
15,001-30,000	4
30,001-50,000	3
>50,000	6

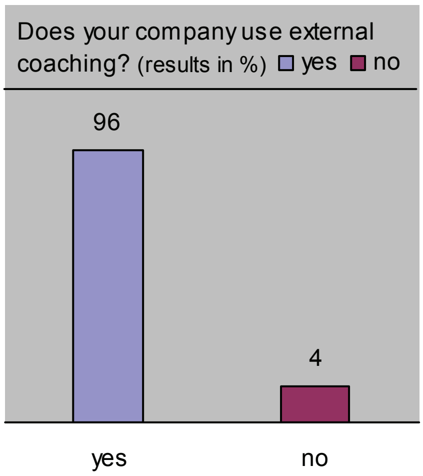
Industry



	Count
Communication	1
Tourism	1
Energy	2
Finance	2
Transport	3
Trade	6
Production	11

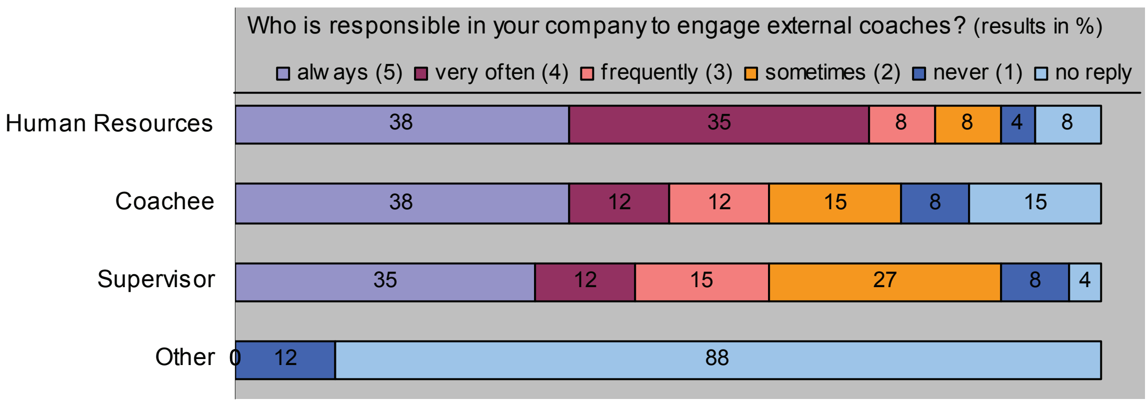
Part I – Coaching Decisions

Question 1



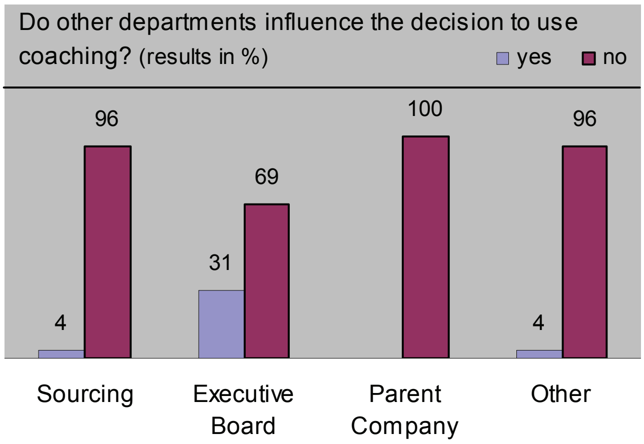
	Count	Percentage
yes	25	96%
no	1	4%

Question 2



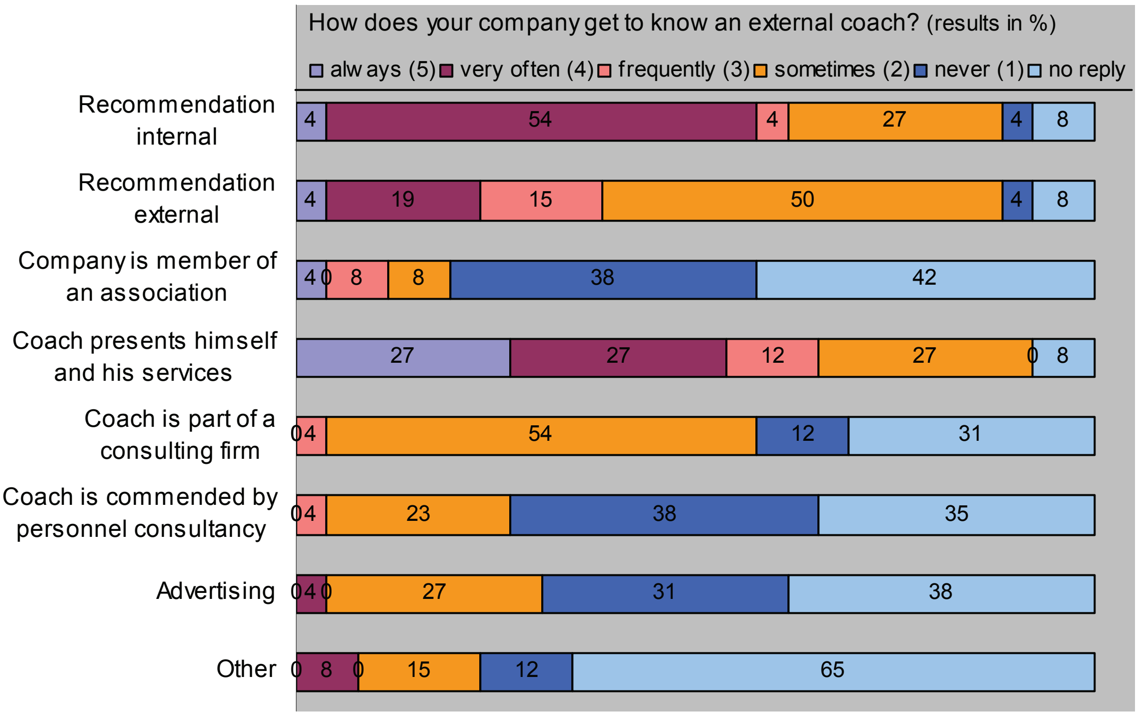
	always (5)	very often (4)	frequently (3)	sometimes (2)	never (1)	no reply	Average	SD	Top-2-Box (%)
Human Resources	10	9	2	2	1	2	4,0	1,1	73
Coachee	10	3	3	4	2	4	3,7	1,4	50
Supervisor	9	3	4	7	2	1	3,4	1,4	46
Other	0	0	0	0	3	23	1,0	0,0	0

Question 3



	yes	no
Sourcing	1	25
Executive Board	8	18
Parent Company	0	26
Other	1	25

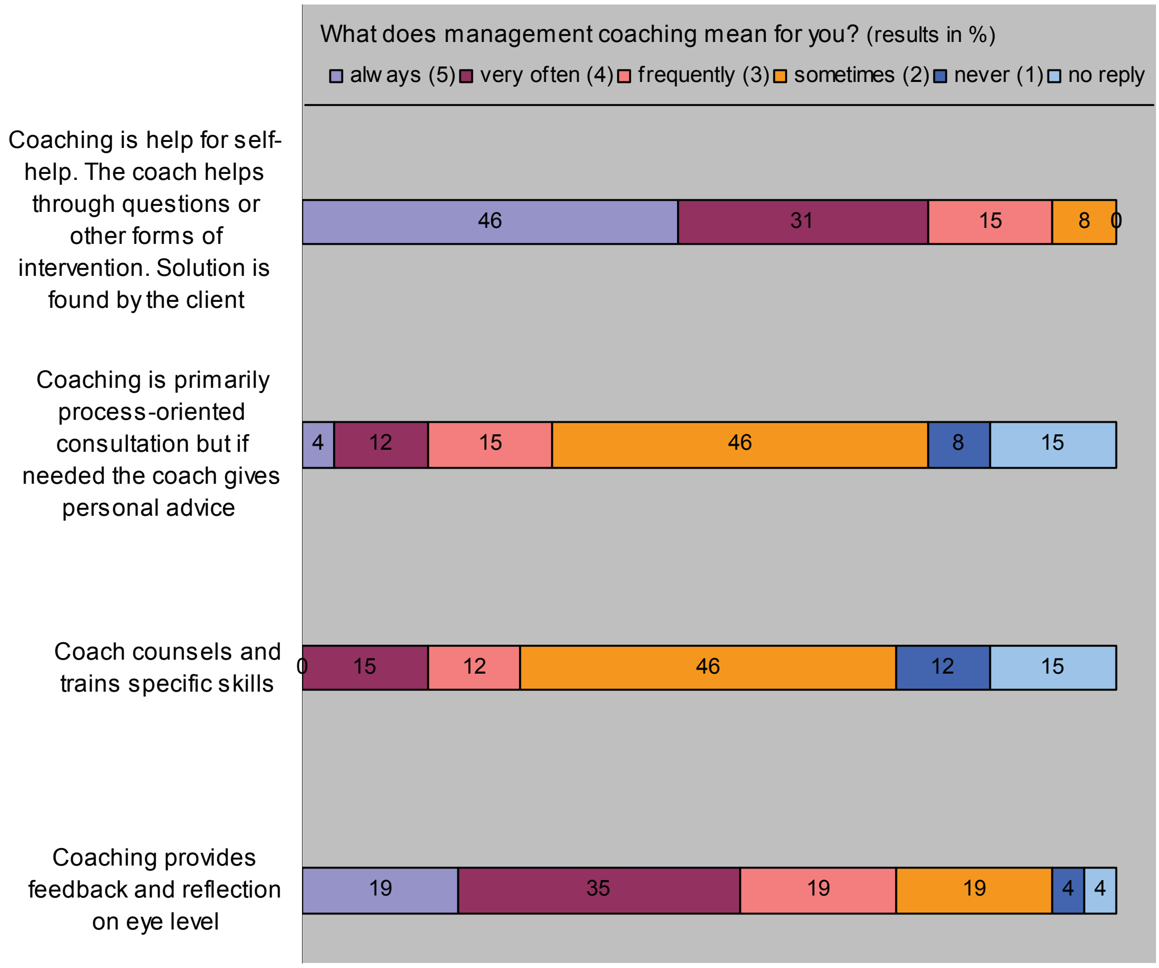
Question 4



	always (5)	very often (4)	frequently (3)	sometimes (2)	never (1)	no reply	Average	SD	Top-2-Box (%)
Recommendation internal	1	14	1	7	1	2	3,3	1,1	58
Recommendation external	1	5	4	13	1	2	2,7	1,0	23
Company is member of an association	1	0	2	2	10	11	1,7	1,1	4
Coach presents himself and his services	7	7	3	7	0	2	3,6	1,2	54
Coach is part of a consulting firm	0	0	1	14	3	8	1,9	0,5	0
Coach is commended by personnel consultancy	0	0	1	6	10	9	1,5	0,6	0
Advertising	0	1	0	7	8	10	1,6	0,8	4
Other	0	2	0	4	3	17	2,1	1,1	8

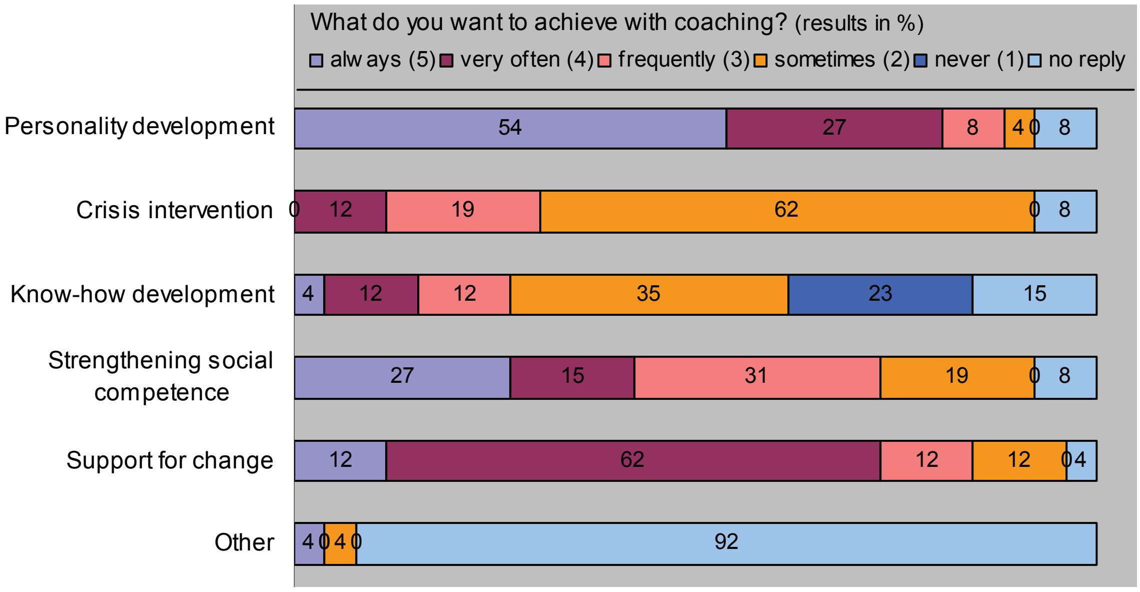
Part II – Coaching Motivation and Contents

Question 5



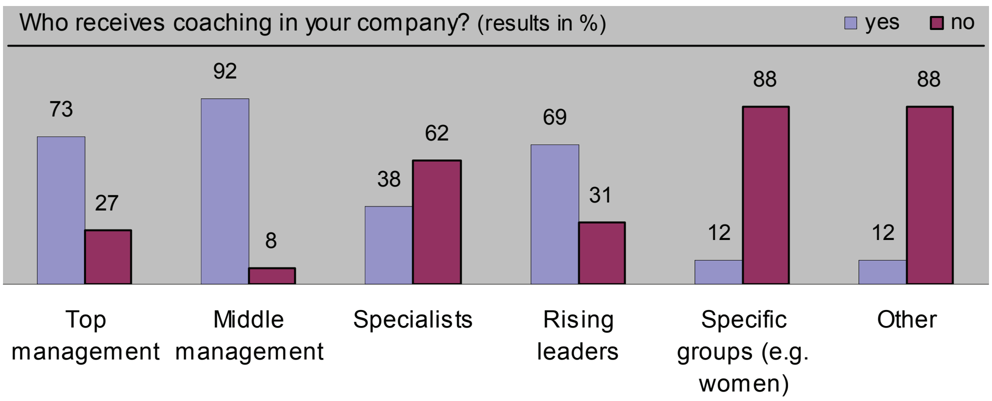
	always (5)	very often (4)	frequently (3)	sometimes (2)	never (1)	no reply	Average	SD	Top-2-Box (%)
Coaching is help for self-help. The coach helps through questions or other forms of intervention. Solution is found by the client	12	8	4	2	0	0	4,2	0,9	77
Coaching is primarily process-oriented consultation but if needed the coach gives personal advice	1	3	4	12	2	4	2,5	1,0	15
Coach counsels and trains specific skills	0	4	3	12	3	4	2,4	0,9	15
Coaching provides feedback and reflection on eye level	5	9	5	5	1	1	3,5	1,1	54

Question 6



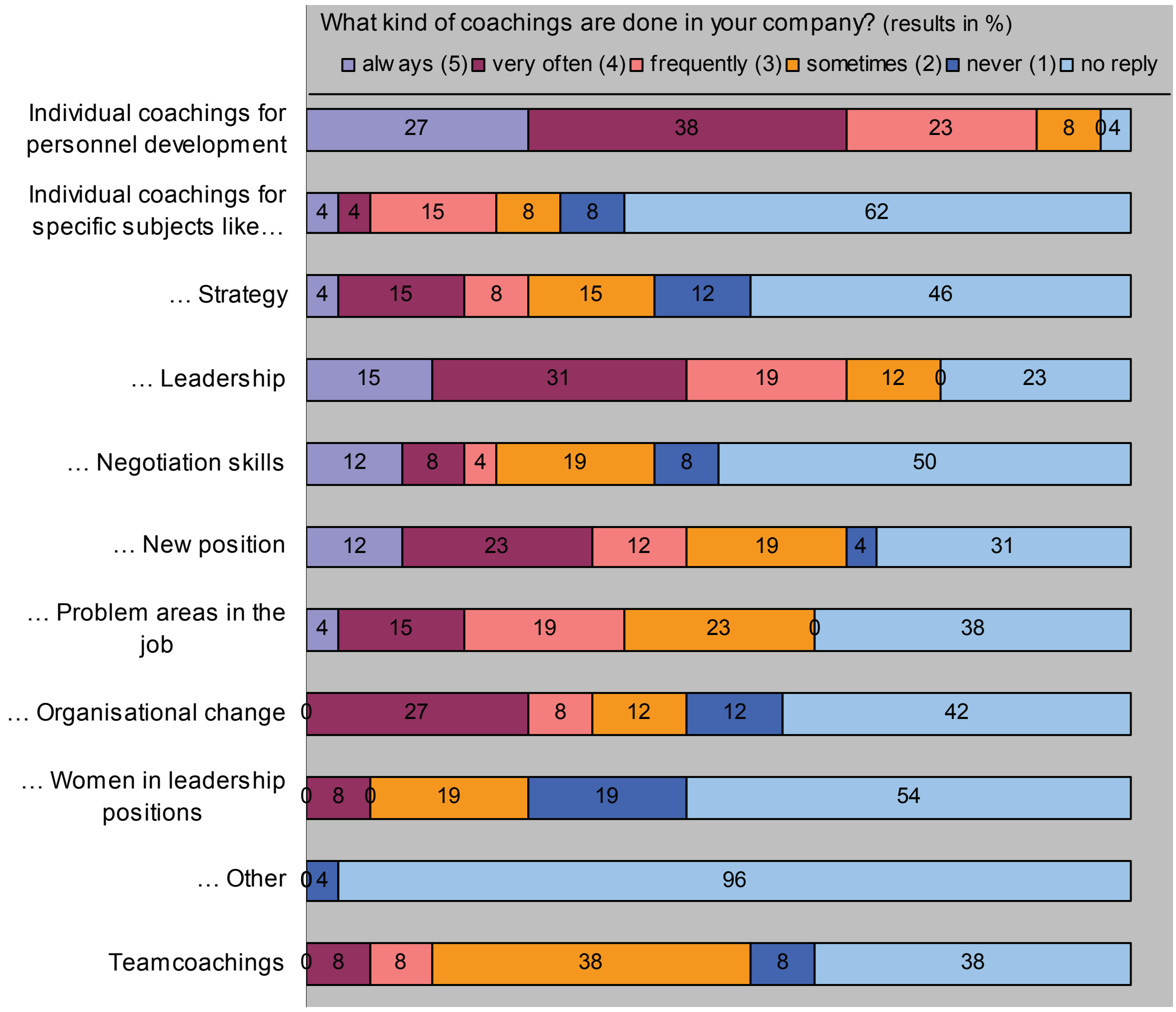
	always (5)	very often (4)	frequently (3)	sometimes (2)	never (1)	no reply	Average	SD	Top-2-Box (%)
Personality development	14	7	2	1	0	2	4,4	0,8	81
Crisis intervention	0	3	5	16	0	2	2,5	0,7	12
Know-how development	1	3	3	9	6	4	2,3	1,1	15
Strengthening social competence	7	4	8	5	0	2	3,5	1,1	42
Support for change	3	16	3	3	0	1	3,8	0,8	73
Other	1	0	0	1	0	24	3,5	1,5	4

Question 7



	yes	no
Top management	19	7
Middle management	24	2
Specialists	10	16
Rising leaders	18	8
Specific groups (e.g. women)	3	23
Other	3	23

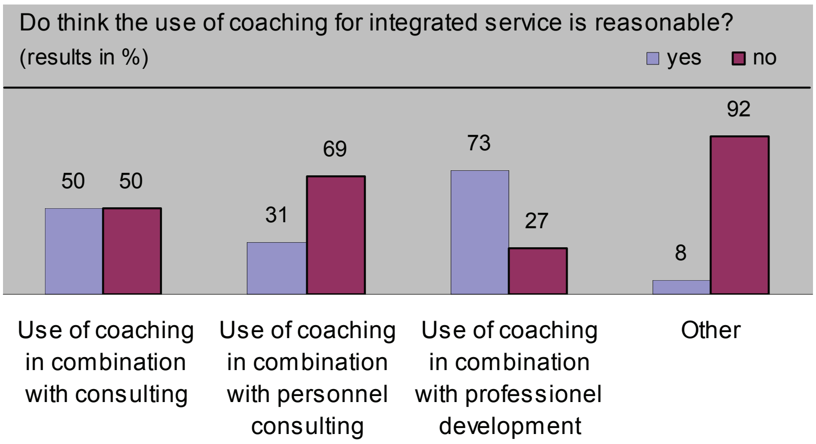
Question 8



	always (5)	very often (4)	frequently (3)	sometimes (2)	never (1)	no reply	Average	SD	Top-2-Box (%)
Individual coachings for personnel development	7	10	6	2	0	1	3,9	0,9	65
Individual coachings for specific subjects like…	1	1	4	2	2	16	2,7	1,2	8
… Strategy	1	4	2	4	3	12	2,7	1,3	19
… Leadership	4	8	5	3	0	6	3,7	1,0	46
… Negotiation skills	3	2	1	5	2	13	2,9	1,4	19
… New position	3	6	3	5	1	8	3,3	1,2	35
… Problem areas in the job	1	4	5	6	0	10	3,0	0,9	19
… Organisational change	0	7	2	3	3	11	2,9	1,2	27
… Women in leadership positions	0	2	0	5	5	14	1,9	1,0	8
… Other	0	0	0	0	1	25	1,0	0,0	0
Teamcoachings	0	2	2	10	2	10	2,3	0,8	8

Part III – Coaching Demand and Perspectives

Question 9

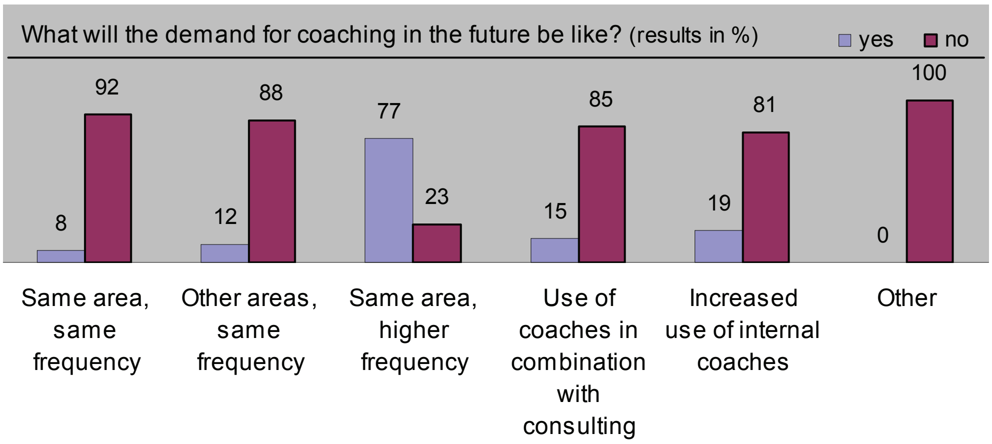


	yes	no
Use of coaching in combination with consulting	13	13
Use of coaching in combination with personnel consulting	8	18
Use of coaching in combination with professionel development	19	7
Other	2	24

Question 10

	yes	no
Individual services	24	2
Packages	1	25

Question 11



	yes	no
Same area, same frequency	2	24
Other areas, same frequency	3	23
Same area, higher frequency	20	6
Use of coaches in combination with consulting	4	22
Increased use of internal coaches	5	21
Other	0	26

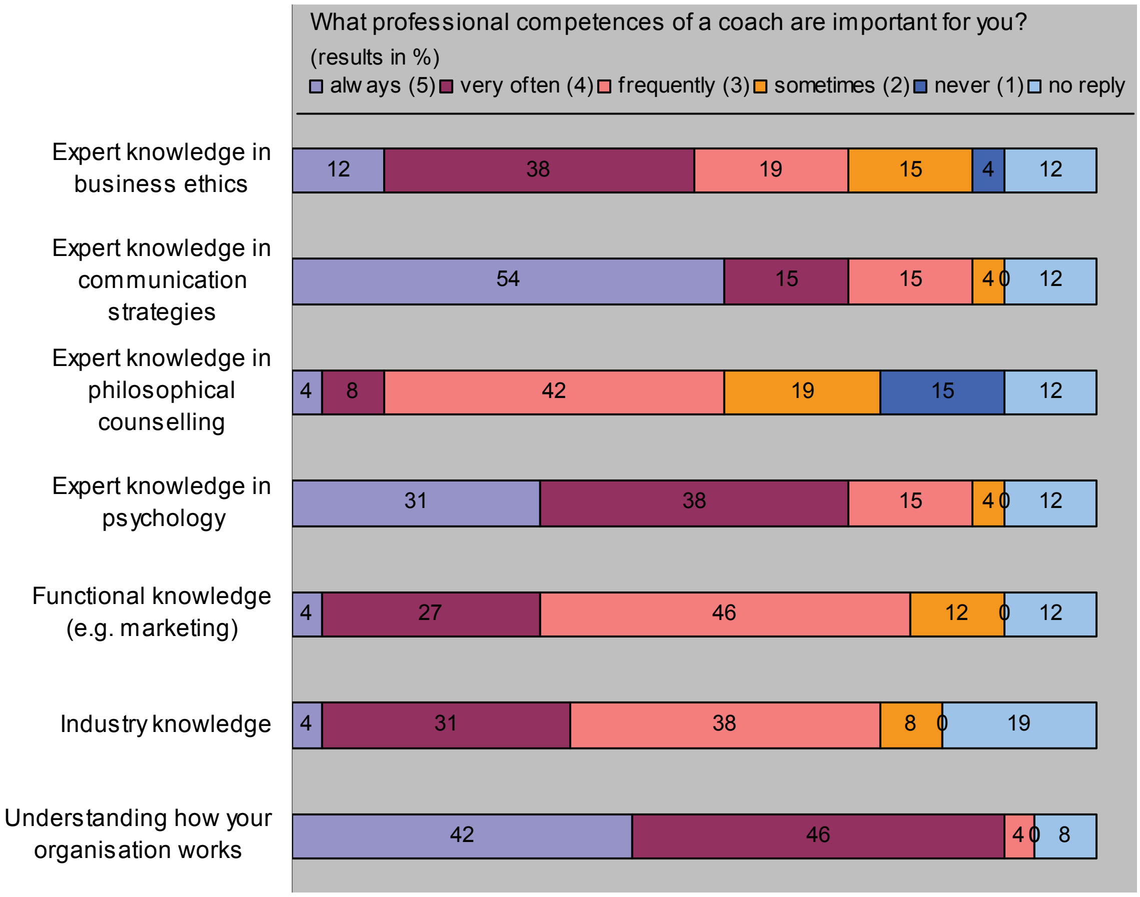
Question 12

How is the development of demand for external coaching services?
Please estimate the yearly expenses of your company for coaching in Euro.

Five years ago	5,000	10,000	120,000	1,500,000	50,000	50,000	0	0
Today	20,000	30,000	270,000	1,500,000	50,000	10,000	10,000	10,000
In five years	54,000	50,000	350,000	1,500,000	50,000	15,000	?	?
Past increase	300%	200%	125%	0%	0%	-80%		
Future increase	170%	67%	30%	0%	0%	50%		
Ten years development	980%	400%	192%	0%	0%	-70%		

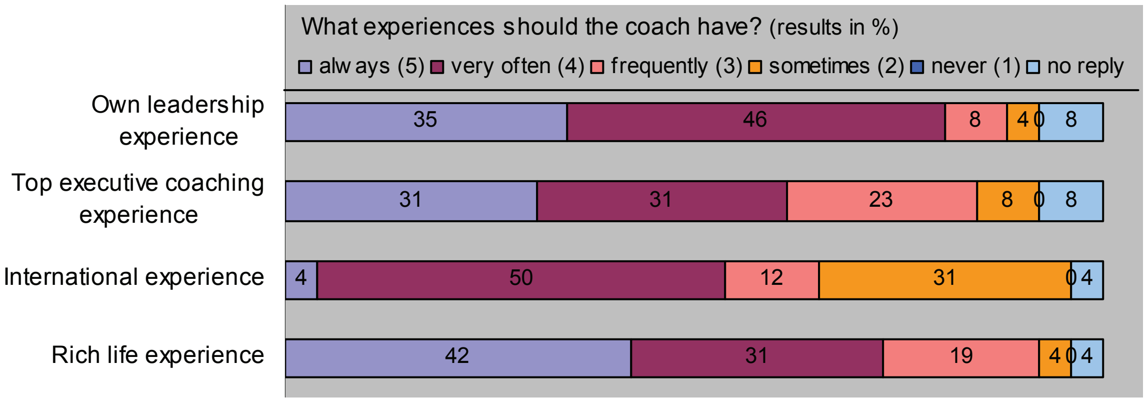
Part IV – Characteristics of the Coach

Question 13



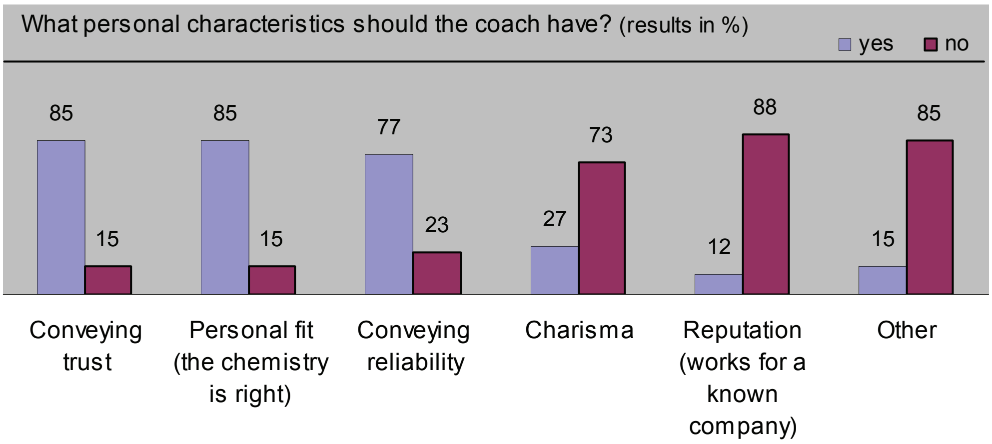
	always (5)	very often (4)	frequently (3)	sometimes (2)	never (1)	no reply	Average	SD	Top-2-Box (%)
Expert knowledge in business ethics	3	10	5	4	1	3	3,4	1,1	50
Expert knowledge in communication strategies	14	4	4	1	0	3	4,3	0,9	69
Expert knowledge in philosophical counselling	1	2	11	5	4	3	2,6	1,0	12
Expert knowledge in psychology	8	10	4	1	0	3	4,1	0,8	69
Functional knowledge (e.g. marketing)	1	7	12	3	0	3	3,3	0,7	31
Industry knowledge	1	8	10	2	0	5	3,4	0,7	35
Understanding how your organisation works	11	12	1	0	0	2	4,4	0,6	88

Question 14



	always (5)	very often (4)	frequently (3)	sometimes (2)	never (1)	no reply	Average	SD	Top-2-Box (%)
Own leadership experience	9	12	2	1	0	2	4,2	0,8	81
Top executive coaching experience	8	8	6	2	0	2	3,9	1,0	62
International experience	1	13	3	8	0	1	3,3	1,0	54
Rich life experience	11	8	5	1	0	1	4,2	0,9	73

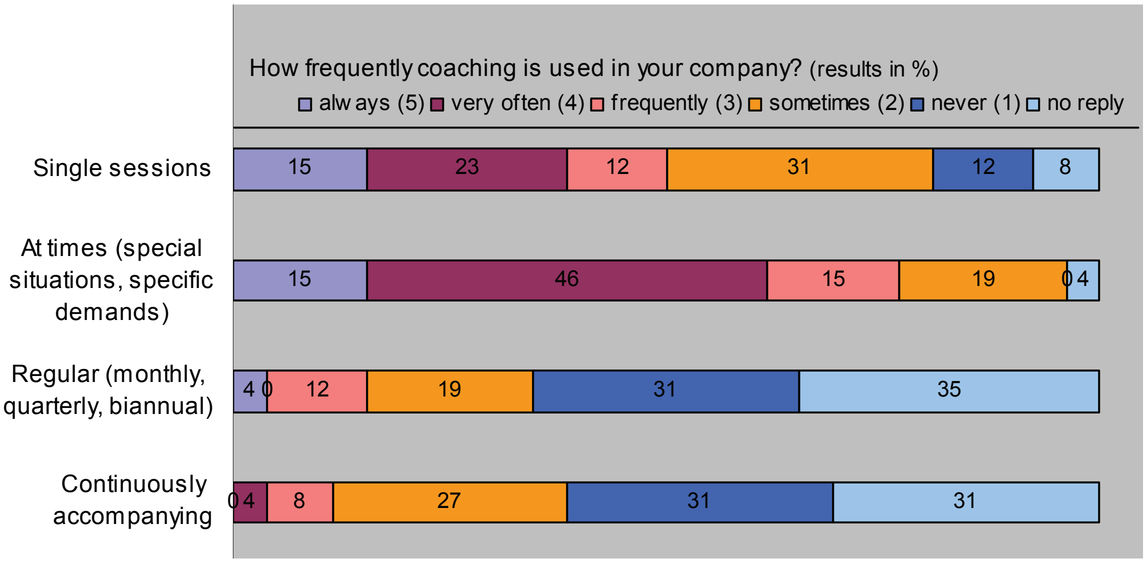
Question 15



	yes	no
Conveying trust	22	4
Personal fit (the chemistry is right)	22	4
Conveying reliability	20	6
Charisma	7	19
Reputation (works for a known company)	3	23
Other	4	22

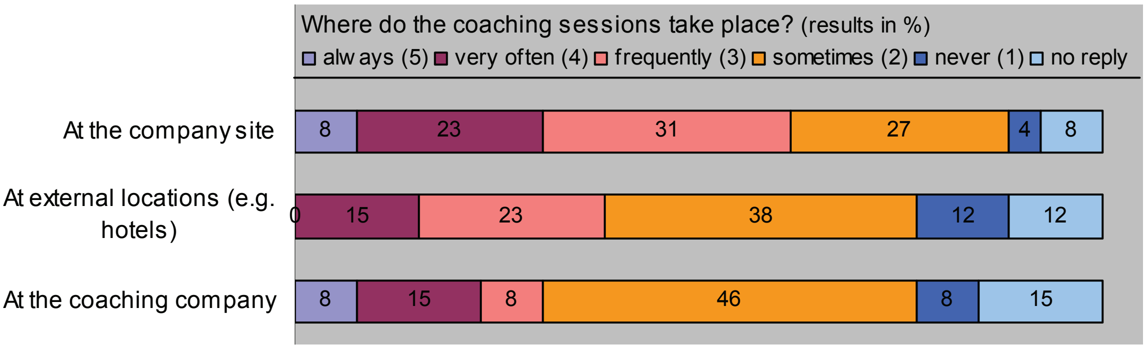
Part V – General Conditions

Question 16



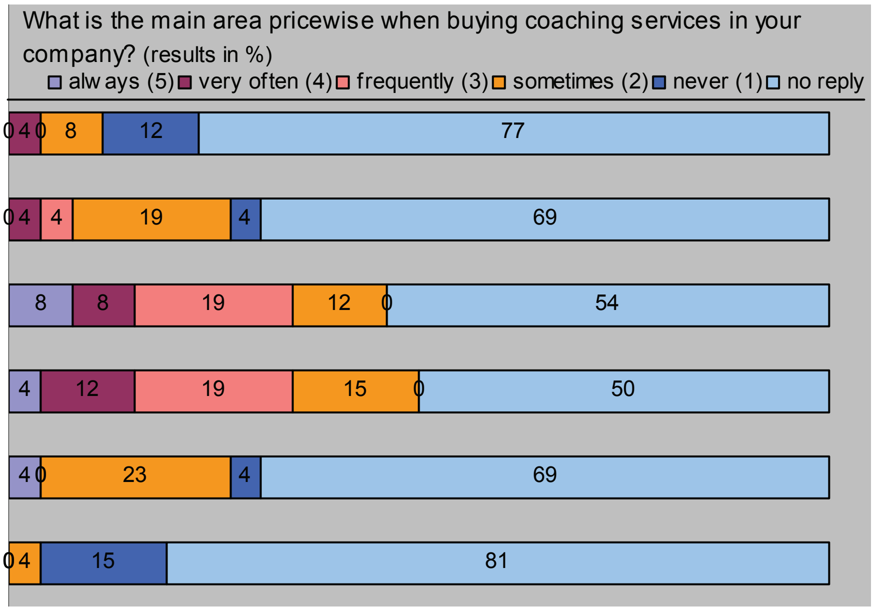
	always (5)	very often (4)	frequently (3)	sometimes (2)	never (1)	no reply	Average	SD	Top-2-Box (%)
Single sessions	4	6	3	8	3	2	3,0	1,3	38
At times (special situations, specific demands)	4	12	4	5	0	1	3,6	1,0	62
Regular (monthly, quarterly, biannual)	1	0	3	5	8	9	1,9	1,1	4
Continuously accompanying	0	1	2	7	8	8	1,8	0,9	4

Question 17



	always (5)	very often (4)	frequently (3)	sometimes (2)	never (1)	no reply	Average	SD	Top-2-Box (%)
At the company site	2	6	8	7	1	2	3,0	1,0	31
At external locations (e.g. hotels)	0	4	6	10	3	3	2,5	0,9	15
At the coaching company	2	4	2	12	2	4	2,6	1,1	23

Question 18



	always (5)	very often (4)	frequently (3)	sometimes (2)	never (1)	no reply	Average	SD	Top-2-Box (%)
<800 € per day	0	1	0	2	3	20	1,8	1,1	4
800 - 1,000 € per day	0	1	1	5	1	18	2,3	0,8	4
1,000 - 1500 € per day	2	2	5	3	0	14	3,3	1,0	15
1,500 - 2,000 € per day	1	3	5	4	0	13	3,1	0,9	15
2,000 - 2,500 € per day	1	0	0	6	1	18	2,3	1,1	4
> 2500 € per day	0	0	0	1	4	21	1,2	0,4	0

Part VI – Open Remarks

Question 19 – What are the main benefits of coaching in your view?

- "New impulses through an outer perspective, working on own solutions with support from the coach, extension of individual competences"
- "Time-limited support in challenging situations"
- "Individual-centred work on subjects that are difficult to work on in group settings because they are to specific or personal"
- "Coached leader has achieved his targets through coaching. The organisation benefits from the leader's performance (hint: our company pursues an exclusively resource-oriented coaching approach"
- "Entering unknown territory, overcome organisational blindness, help for self-reflection, support and extend, achieving goals more effectively with less stress"
- "Coaching is an important personnel development instrument"
- "Temporary support of experts and leaders with the target of communication help for self-help. Feedback by an independent (often from another discipline) instance."
- "That the coach serves as sparring partner and supporter for the coachee without being integrated in the internal "system". Through that exists the possibility of

unconventional interventions. Coach can build a trusting relationship since he does not pursue own interest."

- "The close connection of actual problem solving together with the emergence of methodical competences of the coachee. I.e. a good coach does not only clarifies questions and situations with his coachee but gives him the methodical skills so that he can help himself in the future."
- "To bring the most objective and structured view possible into a problematic area"
- "External and company independent attendance in change processes, preparation of young leader for their first leadership responsibilities, self-reflection, respectively siting of grown leaders."
- "Individual personnel development, self-responsibly shaped (coachee), very goal-oriented handling of subjects (organisation)"
- "Help for self-help to better meet changed requirements, support for the employee = appreciation => employee retention, punctual and very efficient form of employee development (as opposed to the principle of indiscriminate all-round distribution of some training events)"
- "Customisation of identified personnel development measures towards the coachee"
- "Very targeted support possible"
- "Opening other perspectives through external view, support for self-help, breaking up schemes of thought"
- "Individuality of the measure"
- "Reflection of the role in the job and working on individual action strategies"
- "Fast and individual intervention"
- "Individual support for development of persons of high potential"

Question 20 – What can be improved in coaching in your view? What is missing, what is dispensable?

- "The essential thing is the careful selection of coaches that have to bring the appropriate qualification and attitude along. Fitting between coach, coachee, request has to be right, then coach works fine."
- "In need of improvement: to make the sustainability of coaching measurable"
- "It must not be a prescribed coercive measure, after analysis a coaching contract is set up, contains a release clause"
- "The transparency of coaching providers is lacking in the market, respectively their accreditation"

- “Sometimes it is difficult to distinguish good coaches from the dubious or badly educated ones”
- “In coaching often thinking is one-sided (e.g. too strong communication-oriented or too strong interaction-oriented). A systemic view is desirable that takes the functioning of the whole system of the coachee into account. Another aspect concerns the motivation of the coach. A good coach sees himself as moderator of the process. As such he tries to take care that fast results are achieved and the coachee is enabled to ask himself the right questions and to take different points of view.”
- “Going well””
- “Generally the quality of coaching depends on the coach himself. Often many coaches lack a profound qualification. And if qualification was absolved, its quality is difficult to estimate. Because the market of coaching qualifications is as untransparent and diverse as the market of coaches, the selection of coaches for the organisation is difficult. Finally, one can only rely on recommendations. Straight quality criteria for coaches are lacking - the existing associations select too gently => even there are many free-riders and badly qualified, respectively inexperienced coaches to find. In my view, there are too many coaching associations that all want the same. A better uniformity should be created.”
- ”Not everyone who describes himself as coach meets the requirements of that profession. If that is noticed only in progress of the coaching process, the necessary exchange of the coach leads necessarily to a breach and endangerment of the target.”
- “Coach should not be a wiseacre, absolute confidentiality must be guaranteed”
- “Coach is not a protected definition - there are many charlatans in the market”
- “Put the job context more in focus. Better communication development-oriented coaching. In the past: who had a coach, had a problem. Today: who does not have a coach, has a problem”
- “Clear target-orientation - measurability, sustainability - learning transfer”

Question 21 – How can coaching be applied better or differently in the future?

- “Sometimes there are reservations in the sense that “Mr XY has a coach, he must be in need of it” or “is it so badly with him already?”
- “Coaching can be marketed more in the international domain”
- “Individual, adequate configuration of contents”
- “A still new field is coaching for students. Experiences of the European Business School (Oestrich-Winkel), where coaching offers are part of studying since years, are

very positive. That way, students can not only talk about their problems in the course of their studies but also get important impulses for their personal development."

- "I see better possibilities of application then when the reputation of coaching is improved in general. Up to now coaching (at least in our company) clings to a too strong problem-orientation: One needs coaching only if one has a problem, respectively if one has difficulties to reach one's targets. The acceptance of coaching suffers from that and it is keep "secretly". Coaching should better be sold as "support for even better performances".
- "Unifying the standard requirements/qualifications/competences to the qualification of a coach and the proof of qualification by the coach"
- "As mediator between hierarchical levels without the abuse of trust"
- "Stronger interleaving with training, blended training and change processes"
- "Professional coaching competence of every superior"

Question 22 – What other aspects can you think of regarding management coaching?

- "We have made good experiences with coaching in our company"
- "As personnel developer I think that coaching has such a big benefit because it is applied individually with the single leader and - different to seminars and trainings - achieves in a special manner the connection between acquired cognitive and behavioural structures (towards the past) and future behaviours. Only with that, especially with grown leaders, behavioural change is achievable."
- "The measurability of coaching success is still scientifically neglected in my opinion. It would be interesting to see which personnel development instrument (training or coaching) is more efficient, respectively what instrument suffices better which benefit criteria."

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Declaration of Authorship

I certify that the work presented here is, to the best of my knowledge and belief, original and the result of my own investigations, except as acknowledged, and has not been submitted, either in part or whole, for a degree at this or any other university.

I confirm that this work submitted for assessment is my own and is expressed in my own words. Any uses made within it of the works of any other author, in any form (e.g. ideas, equations, figures, text, tables), are properly acknowledged at their point of use. A list of the references used is included.

Date	David Rohrmann