IOBC

International Organization
for Business Coaching

**GUIDELINES AND
RECOMMENDATIONS FOR
THE DEVELOPMENT OF
COACHING AS A
PROFESSION**

Compendium with the IOBC
professional standards

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International Organization for Business Coaching e.V. (registered association), 2019

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Part 3. Additional chapters (not included)
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FOREWORD BY THE MANAGEMENT BOARD

Business coaching is a key way for individuals and their organizations to foster resilience and well-being in a world of uncertainties, opportunities, threats, and potential conflicts. For increasingly globally integrated organizations, separating the coaching wheat from the chaff in multiple countries has become both more urgent and more difficult. Not least given an expanding unregulated coaching supply. Guaranteeing high-quality business coaching worldwide requires standards. Without actionable and objectively verifiable quality criteria, coaching risks becoming an opaque and arbitrarily abusable consulting concept.

As the only international professional coaching association focused on business and leadership, the IOBC's mission is to foster such consistent quality standards for business coaching provision, education, and professional development. Worldwide.

This compendium is a fundamental cornerstone for doing so. It sets out comprehensive, scientifically evaluated quality standards for coaches, coaching processes, coaching ethics, and coaching education & training. Together with the IOBC Coach Competence Model (CCM), it expresses our understanding of demanding business coaching quality and professionalism. All IOBC members and associated national associations are committed to securing and maintaining these highest professional standards.

Neither business frame conditions nor research into coaching are, however, static. The standards laid out in this compendium are in the same way a work in progress, to be continually aligned with new insights and expectations. In accordance with our multi-perspective approach, we, therefore, invite all those interested in coaching to a constructive dialog about the positions and recommendations in the compendium. ▶

The IOBC is more than a guardian of criteria that can be published in writing. The IOBC is a community of professionals, researchers, and business stakeholders committed to the value of coaching, to dialogue, and to consistently striving to replace the good with the better. For professional coaches, development is not just a „product" to be recommended to clients; it is a process to apply to oneself, ideally lifelong. Worldwide.

We gratefully acknowledge the pioneering work of the German Federal Association for Business Coaching e.V. (DBVC, registered association) and its committee for professionalism in advancing coaching professionalism in Germany and for the use of their fourth edition compendium, on which this completely revised IOBC compendium is based.

Denis Gautheret, Alexander Harmsen, Dr. Michael Tomaschek, Dr. Ursula Wagner
Management Board IOBC e.V.

PART **1** BASICS – DEFINITION
OF THE PRACTICAL FIELD
OF COACHING

1.1 PROFESSION AND PROFESSIONALIZATION

Christoph Schmidt-Lellek, Beate Fietze

Coaching is a service that is becoming increasingly professionalized and evokes ever higher expectations. Whether coaching can (or should) therefore also be understood as a profession is by no means self-evident. **PROFESSIONALIZATION** and **PROFESSION** are conceptually very close, but they are not congruent.

„While professionalization takes place as an immanent transformation process over time, professional development is a deliberately intended process that originates from concrete individuals who maintain and further develop their performance capabilities and those of their profession as a whole in order to perform their social function." *(Dick et al. 2015, S. 17, original in German).*

The expert committee has oriented itself toward the term "profession" discussed in the sociological literature on professions. *(cf. Kühl 2006; Pfadenhauer 2003, original in German)*. The orientation towards the classical professions cannot, however, be uncritical, as these themselves are undergoing major changes. For a start, the concept of profession should be explained, because some differences of opinion in the discussion about coaching as a profession and about the professionalization of coaches can be attributed to conceptual ambiguities.

1.1.1 The term "profession"

Conceptualizing coaching as a profession poses a particular challenge because professions are characterized by certain features that distinguish them from „professions" in a general sense. In **PROFESSIONAL SOCIOLOGY**, the term „profession" refers to a specific form of work organization: The representatives of a profession have joined together in professional associations as colleagues with equal rights as a matter of principle and have exclusive competence in their field, self-club and sanctioned by the state. This area of responsibility is the social basis of their relational autonomy with regard to the forces of the market and the state *(Fietze 2015, original in German)*.

According to Oevermann, professions are also characterized by the fact that they are oriented towards central social functions and existential human references. For example, doctors are responsible for dealing with illness and health

care, lawyers for dealing with conflicts and maintaining legal order, teachers for educational processes, psychotherapists for dealing with mental conflicts and illnesses. Following this professional model, the activity field of coaching focuses on people's relationship to the world of work and how to deal with conflicts, stress and uncertainties in this area.

The following characteristics illustrate the difference between **"PROFESSIONS"** and other **"OCCUPATIONS"** whose representatives are referred to as **"EXPERTS"** in their field. They establish a far-reaching autonomy of the professional towards the clients and towards the organizations in which the professional work takes place *(Schütze 1996; cf. Oevermann 1996; Pfadenhauer 2003; On the use and criticism of taxonomic professional models cf. Saks 2014, originals in German)*. It should be emphasized beforehand that some of these characteristics do not apply to coaching:

(1) Responsible work for and with people in problem areas where people find it difficult to act.

(2) The work of the professional relies on the cooperation of the client and its results are never completely predictable.

(3) A state-regulated license for the exclusive practice of the profession, which requires academic study and certified training.

4) A social mandate for dealing with problem areas which are regarded as relevant and which establishes the monopoly on the offer of the respective service.

(5) Application of knowledge: The professional performs "translation work" by applying their professional knowledge to the specific case.

(6) A profession-related code of ethics which, if violated, may lead to the professional member's exclusion from the profession. The basis for this - beyond the responsibility of taking care of individuals - is a fundamental orientation towards the "common good".

(7) The self-managed organization of professional members in a professional association that plays a decisive role in (co-)determining examinations, evaluations and access to the profession and also monitors compliance with qualitative and ethical standards.

(8) <u>The power of control of professional members over certain decision-making competences:</u> The profession is licensed by the company to cause ethically responsible inconveniences with its procedures for the well-being of its clients *(Schütze 1996, p. 184, original in German).*

(9) <u>Special professional role patterns, career paths, status passages</u> (entrance requirements and examinations) that establish a special identity as a professional *(loc. cit., p. 185).*

(10) <u>Financial independence</u> in the sense of civil service, employment relationship or fixed scale of fees.

Against this background, some conclusions and claims can be derived with regard to coaching, which are defined in the following three theses:

1.1.2 Conclusions for the development of coaching as a profession

1. THESIS
COACHING AS A PROFESSION:

In order to develop coaching as a „profession" and to do justice to the specific field of activity of coaching, both the traditional concept of the profession and the changed social conditions must be taken into account.

If we compare the features mentioned above with the current state of establishment of coaching, it becomes clear that coaching has neither a state-regulated licensing (point 3) nor a social mandate and performance monopoly (point 4) and therefore has no power of control over decision-making competences (point 8), no fixed career paths (point 9) and no financial independence in the sense of a scale of fees (point 10). As a state license and public mandate are lacking, the self-governing organizations of the professions (point 7) and the code of ethics formulated by them *(point 6; cf. chapter 2.1 ff.)* must be regarded as particularly important: Coaching associations have the task of defining and developing the **COMPETENCE PROFILE OF COACHING** *(cf. chapter 1.6)* and to guarantee the profession's essential responsibility towards the individual client and the constitutive **ORIENTATION TOWARDS THE COMMON GOOD**. This compendium is intended to serve precisely this purpose.

The increasing specialist profiling and professional ethical anchoring of coaching by the coaching associations support the coaches' gain of autonomy with respect to the non-specialist market requirements or other social actors and contribute to the safeguarding of the quality of coaching. The coaches, organized in professional associations, claim a clear orientation towards an academic education (point 3). There is no independent academic discipline for coaching, but there is a decisive scientific orientation, for which a broad **INTERDISCIPLINARY AND MULTIDISCIPLINARY APPROACH** is crucial. The following dimensions are required for coaching:

» Interdisciplinary cooperation and discourses,

» Multi-professional perspectives,

» Ability to translate between different technical languages

» Ability to support innovations when confronted with social, economic and organizational changes,

» Recognition of the uncertainty of the respective expertise,

» Supervision as an institution for self-reflection and self-assurance
  (cf. Schütze 1996, original in German).

The multidisciplinary knowledge background reflects the claim to responsibility and the **SELF-IMAGE OF COACHING**: Coaching should be conceived as a profession that focuses on the relationship to the world of work as its field of activity. If coaching is located at the interface between the person and the world of work, and if one of its essential characteristics is seen as the accompaniment and support of social and specific innovations in the world of work, knowledge limited to one discipline only would be more of a hindrance than a benefit.

2. THESIS
PROFESSIONALISM OF THE COACHES:

Since professional work cannot be clearly standardized, the coaching services must be guided through the filter of professionalism. This means that the triangular contract of **COACH–CLIENT–ORGANIZATION** must be supplemented by the overarching dimensions of „professionalism".

Professions in the sense described above are not based solely on codified inventories of knowledge. Although a profound interdisciplinary knowledge and methodical **COMPETENCE FOR TAKING ACTION** are essential requirements, a professional practice must, however, bring to bear the acquired knowledge in view of the peculiarity and complexity of each individual case. With a view to the particular situation of the client, professionals therefore always act within a margin of discretion for which they personally take on responsibility. Professionals must therefore be in a position to deal with insecurity and uncertainty. This is especially true in coaching: One of the most frequent reasons for coaching is the uncertainty of the clients' decisions and behavior. In this context, „professionalism" means being able to deal competently with such uncertainties in the respective consulting situation.

The coach's professionalism should enable a reflective, critical dissociation from the elements of the triangular contract (coach, client, organization) and an orientation towards overarching values, understanding and action concepts. This explains the sufficient **AUTONOMY OF THE COACH** to deal with the client's and the organization's assignments and to give themselves self-determined commissions. Professionalism is thus to be regarded as an essential yardstick for the quality of coaching, which is necessary even if coaching is not regarded as a „profession" according to the above criteria. The coach's „professionalism" should not only ensure their expertise, but also the independence of their professional thinking and acting. A lack of this dimension can be expressed as follows:

» in the subjective arbitrariness of the coach, if they unilaterally pursue only their own interests and are not willing or able to question their thoughts and actions in a self-reflective way or to allow themselves to be questioned, and if in this way they violate the dialogical approach;

» in the instrumentalization of coaching by the assigning organization from so-called "practical constraints", if, for example, individual measures are planned and carried out exclusively according to financial calculations or if the employee to receive consulting services is merely to be instrumentalized for organizational interests through coaching;

» in an instrumentalization of coaching by the client, if that client does not develop a willingness to change and only uses the coaching to confirm or immunize his thinking and acting.

The quality of professional coaching does not exist in a standardized uniformity, as it is decisive for the production industry („product quality"), but in the competent handling of the **NON-UNIFORMITY** of the respective problems and situations within the framework of a unique and unforeseeable relationship with the client *("process quality"; Buer 2006, p. 66, original in German)*. It is therefore not based solely on scientifically sound analysis and action concepts, but also requires a basic dialogical attitude *(cf. Schmidt-Lellek 2006, p. 361 ff., original in German)* and an overarching **VALUE ORIENTATION** towards the common good, as articulated, for example, by the code of ethics in this compendium *(cf. chapter 2.1)*. The dialogical attitude includes the willingness and ability to perceive and acknowledge the "otherness of the other" *(cf. chapter 2.2, Section 3)* and to deal with it in a self-reflective way. The basis for this is the development of a personal "professional identity" within the framework of a "professional community", which allows a coach the necessary freedom to think and act and also provides support *(Schmid 2003, p. 61, original in German)*.

3. THESIS
PROFESSIONAL ACTION:

In particular, the coach's professionalism means being able to deal with different „antinomies" or contradictions and polarities in practical action.

The coach's content expertise and the quality of their professional actions are specified in the following chapters of the compendium. As an overarching perspective, however, it should be emphasized that **QUALITY** should not be measured primarily by „proclaiming as many standards as possible", but by the ability to deal with tension-laden antinomies and contradictions *(Buer 2005, p. 288, original in German)* and to endure and use this tension. The following antinomies - i.e. contradictory necessities that have to be linked with each other - are just a few examples:

» Function versus person: In coaching, the professional functions usually form the starting point, but should be reconciled with the respective personal inclinations and interests as much in line with each as possible. As a rule, however, there is a non-resolvable tension here, in which, with the aid of the professional perspectives of the coach, one side or the other can be

weighted more strongly depending on the situation and the constellation of problems *(cf. the "function pendulum", Section 1.3.3).*

» <u>Certainty versus uncertainty</u>: Appropriate concepts and competences serve the responsible planning and implementation of consultations in which, however, unforeseen and unfamiliar situations always arise. These create insecurity, which a coach must be able to deal with professionally.

» <u>Corporate logic versus professional logic:</u> With a coaching assignment, a company usually pursues the purpose that the company goals are achieved better, more effectively and faster. During the coaching, however, it can become clear that these goals may be achieved as desired or that a critical analysis of them becomes necessary, for which relevant perspectives are to be developed in coaching. Professionalism signifies that the coach is able to combine both requirements *(Buer 2005, p. 289, original in German).*

Dealing with these and other antinomies requires a high degree of **SELF-REFLECTIVITY**, which is supported, for example, by supervision, peer review, further education and reflection on ethical standards.

1.1.3 Concluding remark

Even if the developments to date in coaching have not yet led to the formation of a profession in the strict sense, we nevertheless deem it necessary to promote the development of the profession with a long-term perspective. This is the only way to achieve the necessary consolidation; or else there is a danger that coaching, after rapid growth, will not be able to establish itself permanently in the market as a **SPECIFIC CONSULTING FORMAT** and hence lose its significance.

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1.2 DEFINITIONS

Astrid Schreyögg with the inclusion of the membership criteria of the German Federal Association of Business Coaching (DBVC, regist. association in Germany)

Definition of coaching

Coaching is the professional consultation, accompaniment and support of people with management and control functions, of experts in companies or organizations and of freelance professionals. The organizational context is always taken into account in both individual and multi-person coaching.

Coaching and its different facets

In recent years, coaching has become increasingly differentiated as a form of professional counseling or individual measure of **PERSONNEL DEVELOPMENT**. The following terms are common today and are understood as follows in the context of this compendium:

» Business Coaching is a general term for work-related coaching (unlike patient coaching or sports coaching, for example); it includes terms such as career coaching, conflict coaching, leadership coaching and other specifications.

» Executive Coaching (or management coaching, coaching of executives) means coaching in which the coach works as a personal consultant and feedback provider with managers as decision-makers (top management). These can be located in all conceivable organizations, i.e. in companies, public authorities and social service systems.

» Life Coaching means an extended topic horizon within Business Coaching (in differentiation from a general life consultation) The professional topics are discussed in the context of a client's life as a whole. In career or conflict coaching, for example, personal aspects, biographical imprints and resources or the family context can be incorporated; problems of a work-life balance also require this broader horizon.

The manager as a coach?

Management and coaching with subordinate employees are mutually exclusive, as managers also have to assess employees, which is not compatible with the functions of consulting. However, managers can use individual coaching competences *(cf. chapter 1.6)* in the performance of their management tasks *(cf. chapter 2.5 on coaching within the organization).*

Coaching goals

Coaching aims at the further development of learning and performance processes with regard to primarily **PROFESSIONAL CONCERNS**. This can be preventive, developmental, orientational and/or problem solving.

As a result-oriented process, coaching serves to strengthen and maintain **PERFORMANCE**, promote **SELF-MANAGEMENT** and a healthy "work-life balance", as it is known in today's parlance. As a consulting process tailored to individual needs and role requirements, the coach supports their clients in improving their professional situation and in creating roles under challenging conditions. By activating human potential, the value-adding and future-oriented development of the company/organization is to be encouraged *(cf. Code of Ethics: Human beings' openness to development).* Effects of coaching should be subject to ongoing quality control.

Coaching as a consulting format

Coaching is a combination of individual support for coping with different concerns and personal consultation. In such a consultation, the client is inspired to develop their own **SOLUTIONS**. Coaching enables the recognition of the causes of problems and therefore helps to **CLARIFY** and solve the processes leading to the problem. The client ideally learns to solve their problems independently, to develop their behavior and attitudes and to achieve effective results.

A fundamental feature of professional coaching is the promotion of **SELF-REFLECTION** and self-awareness and the self-controlled expansion or improvement of the client's possibilities with regard to perception, experience and behavior in the world of work.

The interaction in coaching is **GOAL-ORIENTED** with regard to content, expected results and time limit. The focus is on the human being. As a dialogical process that takes place voluntarily, autonomously and in a setting that guarantees **CONFIDENTIALITY**, coaching remains open to results in spite of goal orientation.

As a professional consultancy, coaching is based on science with a multidisciplinary orientation. It is therefore characterized by transparent modeling with a knowledge structure featuring ethical premises, a theory pool suitable for coaching and a corresponding praxeology, i.e. an appropriate implementation in concrete practice.

Coaching methods

Coaching is principally a multi-theory and multi-method approach allowing individual, interactional and systemic phenomena to be captured and processed in different contexts. However, **PLURALITY** is not boundless and not arbitrary; it is limited, for example, by ethical standards, but also with regard to the suitability of the respective situation and the compatibility of the applied methods with one another.

According to the area of application of coaching, the theoretical inventory must include psychological theories as well as organizational and management doctrines. The method inventory should also have a corresponding spectrum. In addition to approaches from psychotherapeutic schools, approaches from business psychology and business administration should also be applied, amongst others. At the same time, any close ties to schools should be avoided.

Coaching competences

In addition to coaching as a form of consultancy, the term coaching also stands more generally for the use of the competences and qualities represented in coaching in professional action. For many professionals, skillful interaction with people in the professional and organizational world is important. This increasingly broadening demand manifests itself in the integration of **COACHING EXPERTISE** into the professional self-perception as well as the roles and tasks of managers, executives or specialists who qualify in the area of coaching without wanting to operate under the title of coach. They are experts in coaching within the framework of their respective professional **SELF-PERCEPTION** and thus fill the scope of action that their professional role permits to this end.

1.3 APPLICATION AREAS

Ulrike Wolff

According to the definition *(cf. chapter 1.2)*, coaching offers individual support for the development and change activities of people in professional contexts. The specific feature of coaching is that it is holistically oriented towards the client's cha- racter- hence, it includes all relevant professional, personal, organizational, cultural and interpersonal aspects in the consulting work. In order to fulfil their consultancy mandate professionally, the coach acts from a **SYSTEM-INDEPENDENT** position *(this also applies to an organization's internal coach who, for example, cannot work in the same team as their client; cf. chapter 2.5)*; this means that they are outside the direct context of their client. Nevertheless, it must not be completely alien to him in terms of its nature, structure and dynamics.

1.3.1 Threshold situations as a starting point for coaching

Most people interested in coaching have one thing in common: They are in a professional and/or personal **THRESHOLD SITUATION**. In transitional phases, which may be driven from within or initiated by external pressure, familiar thinking and behavior routines must be adapted to new circumstances or personal or en- trepreneurial decisions must be made, the implications and risks of which are still uncertain. The insight into the **NECESSITY** to make decisions or into the **NEED** for change therefore already exists, but new promising behaviors are still lacking. Here, coaching aims to support people's self-control actions in operational and personal transition situations.

1.3.2 Application areas

There are four classical application areas in which course-setting situations "suitable for coaching" can be assigned, although an overlap between the various subject areas is usually found:

» In organizational development, coaching is used as a preventive, risk-minimizing measure to accompany operational change processes, primarily to support key individuals in managing situations with an increased risk of disruption.

» <u>In management development</u>, coaching serves as an inspiration and learning catalyst for individual decision-makers who want to expand their effectiveness as leadership personalities.

» <u>In position determination</u>, coaching is used to provide assistance in the form of order and clarification in phases of operational and/or personal realignment. This is done in particular through the "reality check" or the comparison of self-perception and perception by others, of one's own expectations and that of others, but also through re-stabilization assistance in the processing of critical events in private and professional life.

» <u>In conflict management</u>, coaching is used to find ways out of a negative spiral in acute or smoldering crisis situations which the participants cannot master without external assistance.

1.3.3 Navigation aid „function pendulum"

The diversity of these application areas makes it clear that the coach finds very different starting points depending on the initial situation and the client's individual needs, which in turn lead to different functions, roles and interventions. In this complex consulting context that cannot be standardized, a coach must be able to navigate safely. In coaching, the focus can at one time be more on the client's **PERSONAL** interests and, at another time, more on mastering a current **MANAGEMENT TASK**. Seen over the entire consulting process, the multi-perspective approach in coaching prohibits addressing only one aspect of the client's world monofunctionally; it is rather characteristic of coaching that it refers to both the factual and the personal parts of a current challenge.

The concept of the **COACHING FUNCTION PENDULUM** clarifies this plurality of the advisory approach and offers a navigational aid to distinguish the *green* (unrestricted) from the *yellow* (caution, threshold) and the *red* (stop, danger area) action areas in coaching.

Coaching function pendulum

Therapist	**Human Supporter**	**Coach**	**Corporate Expert**	**Shadow Manager**

Backing — Unlocking Potential — Boosting

clarifying · reflecting
classifying · strengthening
inspiring · enriching

hands off — hands on — hands off

The **CORE AREA** of change facilitation through coaching on the one hand consists of the reflective analysis and clarification of factual, interpersonal and emotional connections, and on the other hand the holistic support in the implementation and evaluation of solutions. This is the defined center or "green area" of all coaching interventions.

The **STARTING POINTS** – especially the initial motives – of the clients can, however, be very different in the individual consulting fields. An assessment of the professional situation can be regarded positively (e.g. if a decision has to be made between several interesting offers) or be prompted by acute need (e.g. in view of a job loss or dead-end situation). The strategic development of a business unit may have been underpinned by a wave of great business success or may have become necessary due to an acute threat to its existence.

Consequently, the **DEGREE OF ESCALATION** of the client situation plays an important role in all coaching – both for the management of the consulting process itself and the checking whether a situation can (still) be dealt with by means of coaching. Thus, in coaching, it is sometimes necessary to act in an acute situation in subject areas that belong to the personal or entrepreneurial "privacy" of a client. In such situations, the human support in the form of an "adviser" is required above

all in order to provide emotional relief. In other situations, e.g. when the client is exposed to an overly complex management or decision-making situation, the expert advice of an experienced manager may be useful as a bridging navigational aid in the short term, if this serves to re-stabilize the client. Ultimately, such border transgressions into the client's area of self-determination and responsibility – even if actively demanded by him - are the "yellow area" in coaching. This means that the assumption of **SUPPORT OR EXPERT FUNCTIONS** outside the core consulting area of coaching must be short-term and explained plausibly.

Caution is necessary when the focus of coaching accompaniment shifts to **AREAS OF DISRUPTION** in which the client's self-responsibility and management autonomy are sustainably impaired, e.g. when there are clear indications of substantial overwork in the professional role or of a deeper psychological and/or somatic disorder in the client. The remit and the professional role of the coach are incompatible with that of a "shadow manager" – even if the coach were an excellent manager, and just as incompatible with that of a therapist - even if the coach were an experienced therapist. Coaching presupposes the self-determined and self-responsible cooperation of the client. Otherwise, the consulting relationship moves away from a symmetrical consulting relationship and turns into an asymmetrical dependency relationship. Here lies the conceptual restricted area, the red area in coaching *(cf. chapter 1.4, Section 8).*

In professionally performed coaching, the interventions are conducted like a pendulum which, after well-founded "deviations" into the border areas, keeps swinging back to the defined center. The coaching function pendulum shows that one can define what belongs completely (green), partially (yellow) to coaching and what does not (red); it also shows, however, that in the end it is above all the **PROFESSIONAL INTUITION AND PROFESSIONALISM** of a well-trained, experienced coach that is important, on the one hand to allow and productively integrate the complexity, on the other hand, however, always to know and observe the limits of one's field of activity.

The function pendulum is a guide for the professional control of an ongoing consulting process. They must be differentiated from those initial situations in which a coaching process should not be established in the first place.

1.3.4 Exclusion criteria or situations with increased risk of failure

There are topics as well as personal and organizational starting configurations that should not be dealt with by means of coaching. In general, coaching is not advisable if it is more likely to be harmful than beneficial to the client with regard to their objectives, or if other measures seem more promising and/or effective. The situations either not at all suitable for a coaching project or carrying an **INCREASED RISK OF FAILURE** may show one or more of the following features:

Client:
» picture of psychic disorder that cannot be clarified from the current situation

» lack of inner willingness to change

» lack of potential for change, substantial excessive demands

» permanently unrealistic expectations, lack of reference to reality

» no acceptance of the coach

Environment:
» operational disturbance not changeable by individual effort

» sustainable resistance to change or lack of belief in change

» concealed pursuit of interests, misuse of the coach for other purposes

» inadequate resources, inadmissible restrictions

Coach:
» lack of independence towards the client (system)

» confusion of objectives and/or interests

» too great or too small a distance to the problem and/or the client's person

» lack of experience or lack of field/professional competence with regard to the topic

The risk criteria mentioned apply first and foremost to individual coaching, but also largely to multi-person coaching. Here, however, some criteria „translations" are necessary, such as:

<u>Multi-person settings:</u>

» The team does not find a common goal for collective coaching.

» The majority or important group members see no need for coaching even after detailed discussion (no matter what the actual background motive is).

» The personal and/or professional acceptance of the coach in the team is lacking.

» No viable working relationship can be formed between the coach and the team/group members (there is no trust or authority in the process management).

» The economic basis (budget) is not sufficient to support a team process for the necessary duration or intensity.

1.4 DIFFERENTIATION FROM OTHER CONSULTING FORMATS

Astrid Schreyögg, Thomas Bachmann,

In psychotherapy, private topics of people of a current or historical nature are at the forefront in manifold forms of life counseling as well as in self-awareness. In contrast, there are a number of consulting formats in which topics from the world of work dominate or are at least on an equal footing with private matters. In addition to coaching, this category includes supervision, training, mentoring, moderation, mediation, management consultancy, system consultancy and organizational development. In the following, the specifics of these formats will be described in **RELATION TO COACHING**. However, similarities, overlaps or synonymous applications should also be named.

(1) Coaching compared to supervision

Coaching and supervision bear a strong similarity. German supervisors, in particular, often even postulate that it is one and the same format. Indeed, both represent person-oriented consultation with a focus on professional topics *(Kühl 2008, original in German)*. At this point, however, it should be made clear that notable differences result above all from their respective traditions, which are still compelling today.

» Supervision, originally an administrative function of managers, originated in US social work as "Clinical Supervision", where it served as a form of consultancy for the social worker-client relationship. Later they also adapted psychotherapeutic educational programs (although psychoanalysts termed this "control analysis"). In general psychotherapeutic practice it used to act, and still does, as a means to control and improve one's own therapeutic work. Conceptually, supervision is primarily oriented to concepts from psychotherapy. And psychotherapeutic supervision is anyhow oriented to the respective teaching concepts. Accordingly, supervision was focused on the doctor-patient model. Thus, conceptually, in all forms of supervision the organizational context of the interaction was barely or not at all taken into account.

» Coaching, on the other hand, developed much later in US personnel work. The first attempts still defined superiors as the ideal coaches for their employees, but later it became established that coaching should not be hierarchical. It was then a matter of employing a coach outside the hierarchy to support individual employees, mostly individual managers, in their management potential, so that they could induce the system they managed to perform optimally. Although the intention here was to promote interaction between superiors and subordinates as well, it was over and above about the performance of entire organizational systems (Seghers et al. 2011, original in German). While supervision concepts are aimed at a relationship, as differentiated as possible, between the professional and their client, coaching necessarily also had to conceptualize the entire organizational system with its specific environment.

» These traditions give rise to different emphases in the following objectives: Supervision as a virtually clinical form of consultancy clearly aims at the personal development of the professional, so that they can develop curative effects for their clients through their personality. Coaching, on the other hand, is regarded as "personnel development" in the sense that the professional is strengthened in their functional capability. In reality, however, the personality and functional capabilities of professionals are developed in both formats (Schreyögg 2010, original in German). It is precisely this that tempts many traditional supervisors to postulate a correspondence between supervision and coaching.

» Differences between the two formats also exist in the way that coaching is primarily used for advising on interactions within an organization, while supervision is intended for reflections on interaction with persons outside the organization (clients, patients) (Kühl 2008, original in German).

» Another difference lies in the teaching and the teaching content of both formats. Supervision is more committed to psychotherapeutic approaches, whereas the teaching of coaching must borrow from organizational sociology and management sciences.

» In addition, internal and external variants can be found in both formats. Internal supervision by the manager, e.g. in psychosomatic clinics, often serves to integrate the institution conceptually by way of supervision in the sense of case work. This means that multi-conceptually assembled teams

can be homogenized professionally in this way. Internal coaching, on the other hand, in which people from staff departments give advice rather than supervisors, makes it possible in organizational systems to homogenize the coaching itself (see more precisely Part 3 of this compendium).

(2) Coaching compared to training

Most authors describe coaching and training as clearly different formats, although a few authors can be found here who place coaching close to training. They identify typical coaching topics, which are then dealt with in a training-like manner *(Fiedler 2014, original in German)*. However, the majority of all authors see the decisive difference in the classification of topics: During training, the topics to be dealt with are defined from the outset, they are determined by the **ROLE EXPECTATIONS** of the organization, e.g. improvement of communication among managers, while in coaching, the respective topic to be dealt with only become apparent during the dialog process between coach and client, i.e. the work is **CENTERED ON THE PERSON** *(Bachmann 2012, original in German)*.

Training usually takes place on the initiative of those responsible in the organization (e.g. personnel development) or is integrated into organizational processes, e.g. as a management development program or sales training, etc. In contrast to coaching, training starts with the role-specific behavior patterns that are developed, reflected upon and, above all, practiced here. Feedback, role-plays, simulation games, group exercises, etc., as well as input and **REFLECTION PHASES** determine the structure of a training course that follows a specific didactic structure and is intended to achieve specific, predefined learning objectives. Training courses usually take place as group events and are characterized by social learning (feedback, reflection in the group and learning on the model) *(Bachmann, Runkel & Scholl 2010, original in German)*. Of course, **TRAINING ELEMENTS** can also occur in coaching processes, for example by testing or practicing new behaviors in role play. However, the focus of coaching is on reflection and solution development and not on the training of behavior patterns.

(3) Coaching compared to outplacement consulting

Outplacement consulting contains sequential elements of training, because it entails **CONSULTING PEOPLE** who have been "released", i.e. who have been dismissed from work and who are then offered counseling. There are potentially two thematic groups relevant to this consultation: (1) Handling the disappointment of losing one's job, (2) Support with the introduction to a new job. While the first part is actually similar to coaching, albeit with a relatively narrowly defined topic, the second part consists of training-like activities. This is because it involves assistance with written applications, help with self-presentation during interviews, etc. as many of these clients have not written an application or introduced themselves to an employer for a long time *(Lohaus 2010, original in German).*

(4) Coaching compared to mentoring

Mentoring is usually regarded as an internal organizational consultancy format in which an older manager with many years of experience supports a new, mostly younger manager in their first steps in a system by providing advice. Some companies like 3M, for example, have such consulting systems, where every newcomer can choose their own mentor. It is important, however, that the consultation is limited to about three months, because otherwise the **NEW MANAGER** will feel inappropriately constrained *(Graf & Edelkraut 2013, original in German)*. Compared to coaching, consultation in this instance does not take place through a professional, but through an experienced colleague.

(5) Coaching compared to moderation

Moderation is the accompaniment and support of discussions with groups representing different positions. During moderation, the first step is to formulate goals. They consist of either **REACHING A CONSENSUS** or of specifying different **OPINIONS**. Information is then collected and the measures to be taken are determined, i.e. a to-do list is created. Finally, an evaluation of the moderation process takes place with considerations for further measures (*e.g. Freimuth 2010, original in German)*. Moderation requires a high degree of concentrated listening on the part of the consultant, without taking sides in terms of content. Even stronger than in coaching, their task is the "gentle control" of the process. Incidentally, moderation in the sense of a moderating leadership style is widely accepted in young organiza-

tions *(Sperling & Wasseveld 2000, original in German)*, although the final decision is reserved for the manager.

(6) Coaching compared to mediation

In mediation, the goal has already been set, i.e. it is regarded as an instrument for cooperative **CONFLICT RESOLUTION**. As with moderation, the mediator must also remain impartial *(Fietkau 2001, original in German)*. However, they will be even more strict than a moderator or even a coach in ensuring that communication rules are adhered to so that none of the parties gain an illegitimate advantage during the course of the conversation. They must also be very careful not to accept any hidden coalition offer from either party. The mediator is often a lawyer and tries to reach an amicable **SETTLEMENT** prior to court proceedings. Mediators are often involved in custody disputes, etc. Occasionally, mediation sequences also make sense in the context of coaching, for example when the interaction of a formal dual leadership has already escalated more emotionally. In such cases, it is frequently advisable to conduct the dialog process strictly and, in a manner, similar to mediation *(Schreyögg 2005, original in German)*. Through permissive attitudes, coaches would tend to entice the conflict parties into further escalations, while clear agreements on the course of the talks and its control often create the basis for collective discussions.

(7) Coaching in comparison to business and organizational consultation

Unlike coaching, consulting for companies and organizations aims to increase the **EFFECTIVENESS** of the organization with respect to its intent and purpose and to ensure its existence. Three different approaches *(Kieser & Ebers 2014, original in German)* can be distinguished with regard to the development of management and organizational consultation:

A) Classical management consultancy is founded on an engineering perspective and assumes that organizations are based on functional contexts (machine, assembly line, clockwork or computer metaphor). Against this background, consulting is about collecting or making available the relevant information and using algorithms to enable consulting to develop the best solutions for strategic and structural questions. Classic representatives of this tradition are

consultants such as McKinsey, BCG and Roland Berger, who cover a large part of the consulting market and can be regarded as expert consultants *(Bamberger & Wrona 2012; Keller & Price 2011; Collins 2011, originals in German)*.

B) <u>Organizational development</u> has its starting point in the humanization and participation efforts (abolishment of hierarchies) of the 1970s. Under the slogan "turning affected parties into participants", organizations are regarded as a collection or a group of people. With this in mind, the management and further development of organizations are founded on an individualized (psychological) or group-dynamic basis. Important keywords in this approach are common goals, motivation, cooperation, conflicts and social learning. Important initiators and representatives of organizational development are Lewin (2012), Trebesch (2000) and Schein (2003). Organizational development, which is also often described as process consultancy or change management *(Doppler & Lauterburg 2008, original in German)*, has in recent years focused more on team development and become less important for consulting companies and organizations.

C) <u>Systemic organizational consultation</u> goes back to traditions of family therapy (Milan and Heidelberg schools), 2nd order cybernetics and constructivism. The system concept is at the forefront of this approach. In this context, organizations are understood as action or communication systems. A theoretical foundation is based on the sociological systems theory of Luhmann (1984), who accepts organizations as autopoietic (operationally closed, self-referential) communication systems that continue to make sense and whose history is reflected in the organization's decision-making premises. Wimmer (2004), Simon (2014), Baecker (2007), among others, are important initiators of systemic consulting.

All three approaches focus on organization and consider it a quality and entity in itself. This is the central difference to coaching and also suggests that **COACHING COMPETENCES** do not adequately qualify for organizational consulting activities. At the same time, all three approaches comprise coaching that accompanies and supports consultation. Consultancy projects often cause uncertainty among managers and employees. Here coaching can make a valuable contribution to the success of consultancy projects.

(8) Coaching compared to psychotherapy

A distinction between coaching and psychotherapy can be most clearly described by the existence of a psychopathology, i.e. a **DISORDER** on the part of the client considered clinically relevant. Conversely, in the event of a psychopathy, e.g. if there is apparently no sufficient degree of self-control and **SELF-RESPONSIBILITY,** coaching is contraindicated. Some authors try to differentiate the formats thematically by referring the treatment of personal topics to the field of psychotherapy and professional topics to the field of coaching. In recent years, however, publications on life coaching have shown that this makes only limited sense *(Buer & Schmidt-Lellek 2008; Schmidt-Lellek & Buer 2011, originals in German)*. For in contrast to an understanding of coaching that only refers to the decision-making processes of managers, life coaching captures the entire human being. In this context, for example, there are issues such as the significance of biographical components in work or the value of the family environment *(cf. Schmidt-Lellek 2015, original in German)*. However, for this form of coaching coaches with previous psychotherapeutic knowledge are predisposed.

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1.5 THE SETTINGS OF COACHING

Astrid Schreyögg, Thomas Bachmann

Coaching settings are the external arrangements between coach and client or clients. Like any professional interaction, it is placed within an institutionalized framework that can vary according to two characteristics: (1) the **CONTRACTOR CONSTELLATION,** i.e. the extent to which the client and the coach or both are integrated into an institutionalized social system or organization, and (2) the number of clients participating in the coaching. This also results in specific role constellations where coach and client are facing each other, as well as in topics and methods *(Schreyögg 2010, original in German).*

1.5.1 Variations of the contractor constellation

(1)
COACHINGS WITHOUT OR WITH WEAK ORGANIZATIONAL LINKAGE: CLIENTS = CONTRACTORS

These are coachings in which one or more clients choose a coach, negotiate a contract with the same and then pay them. Their relationship is based solely on a loose contractual partnership, i.e. on simple contracts that can generally be easily rescinded by both parties. Such relationships are mostly characterized by **IMPARTIALITY** and **TRUST** on the part of clients. And even the coach, who is committed to professional standards, can engage unreservedly with the client(s) on their respective concerns within this framework. Accordingly, these coaching sessions are often characterized as life coachings in which, on the one hand, biographical aspects are integrated, but also issues of the current family environment. In addition, general existential questions of the profession often come to the fore *(Buer & Schmidt-Lellek 2008; Schmidt-Lellek & Buer 2011, originals in German).*

The organizational connection increases if one considers coaching within the context of education or further education of coaching. The education candidate of a higher education institution, academy or other institute must be coached within the scope of their education and/or they must perform their first coaching sessions under supervision. Here, the training institute usually provides guidelines as to how

the coaching should be structured in terms of content or methodology. Therefore, the **DEGREES OF FREEDOM** of coach and client are more or less reduced here. This relates in particular to the duration of the coaching and/or the number of coaching sessions. However, such coaching sessions are always limited in their thematic and methodological orientation, i.e. without any particular refinements, because they are supposed to be exemplary in character and therefore performed "lege artis" i.e. correctly.

(2)
COACHING SESSIONS COMMISSIONED BY ORGANIZATIONS: CLIENT ≠ CONTRACTOR

We find the highest degree of organizational connection where a coach, whether external or internal, coaches one or more clients (e.g. a team). In such constellations, the relationship between the coach and the client is based less on the respective inter-subjective relationship and more on the needs of the organization. These are always **TRIANGULAR CONTRACTS** in which not only the coach and the client but also the client's organization have explicit or implicit demands on the coaching. In these constellations, client and contractor are not identical and typically pursue different interests, which the coach has to fulfill impartially. The **TRIAD DYNAMICS** of this constellation result in numerous requirements and dangers for all participants and thus more complex requirements for the coach, but also for the contractor and the client if, for example, conflicts of interest arise, the objectives change in the course of the coaching, the contractor wants to know what happens in the coaching, etc. Therefore, in such constellations an extensive and careful clarification of the assignment *(cf. chapter 2.3 Coaching processes)* with several participants is necessary.

In the case of an **ORGANIZATION'S INTERNAL COACHING**, the influence of the organization to which the coach and client belong often reaches so far that the organization determines not only the coach and the topic to be worked on, but even the coaching concept *(Bollhöfer 2011, original in German)*. In accordance with the formal relations between coach and client, these role constellations initially often show a lower degree of openness. However, this deficiency is in many cases compensated by the increased field competence of the coach, which can then inspire confidence in clients. Moreover, it is countervailed by the low threshold for

coaching, because in this setting the clients can usually quickly access a coach, thus saving themselves the hassle of selection. However, in cases where clients feel appropriately or well treated by the organization as a whole, they also give the coach a vote of confidence. In recent years, internal coaching in companies and administrative systems has become widely implemented *(cf. chapter 2.5)*.

A specific problem is the occurrence of **CONTEXT MIXES**, which mainly play a role in internal but also in external coaching, when the coach maintains more than one relationship with people in the organization. Information can be passed on from one context to another; e.g. the coach learns from someone in the HR department that the client they are currently coaching for a new management task will probably not get the job after all, but is not yet supposed to know this. Another case is when the coach is already coaching a client, e.g. a department manager, and is now also supposed to coach the team leader reporting directly to him. The context of the coaching relationship with the hierarchically superior manager will certainly influence the other coaching relationship and narrow the possibility space for coaching, because, for example, trust will be more difficult to build up. It is therefore important to avoid context mixes or, once they have occurred, to separate them professionally as far as possible or to address them in the assignment clarification.

1.5.2 Variations according to the number of clients

Coaching situations can also be differentiated according to the number of clients in single and multi-person settings.

(1)
INDIVIDUAL COACHING

As Stefan Kühl (2008) explained, individual contacts in professional contexts are situations with a high rarity value, because today almost all professional encounters take place in small groups. Accordingly, this setting by itself already promises a high degree of gratification for the clientele. Individual coaching "in private" is also the ideal way for many coaches and HR managers. In his opinion, group settings also move coaching too close to training.

In individual coaching, there is more human proximity than in multi-person settings, almost regardless of the degree of institutionalization. Thus, matters with a higher degree of intimacy are also negotiable here. For this reason, life coaching topics are often relevant in individual settings, in which both biographical matters and topics related to the client's current family context are included.

Due to the increased personal density, however, the relationship can be overlapped by projections of all kinds (transmissions, etc.). This is why there are dangers of personal **MERGERS** or **ENTANGLEMENTS** that threaten to thwart the professional arrangement. The success or failure of the coaching is clearly determined by the conceptual and methodological competences of the respective coach, because in this setting no provision is made for any additional corrective action by a third person.

(2)
MULTI-PERSON SETTINGS

Multi-person settings can be subdivided again into group coaching sessions and team coaching sessions. Irrespective of the contractor constellation or the degree of organizational connection, the relationship between coach and client fades in these settings, because now the **OTHER CLIENTS** are also a significant factor in the consultation.

» Group coaching: "Group coaching" is generally described as a setting in which hierarchically and functionally identical managers from the same or different organizations are coached together on a regular basis (about once a month for three hours). In any case, they are not a cooperating working group, i.e. they are not part of a common working context. Typical examples are groups of ward managers in large clinics or groups of master craftsmen in the automotive industry. The thematic discussions are usually somewhat restrained in the beginning, but increasingly pick up speed as the coaching sessions progress, because the interest of one client usually touches that of the other group members as well, so that lively discussions frequently arise and the coach is often more likely to play the role of a moderator. In any case, the coach's significance slips more into the background, which means that the importance of the other members of the organization increases.

Thus, there is always the possibility of a corrective measure for the coach. In this setting, however, hardly any long-term processes will develop for specific issues.

On the other hand, this setting has a number of advantages: Due to the presence of several participants, the processing of issues in principle shows a greater diversity as the participants' professional and human experience always greatly enhances the topic discussions. Moreover, in this setting the coach can also make use of a variety of methodological group work features, for example in the field of psychodrama, which in individual settings can only be used to a limited extent.

» Team coaching: When teams, i.e. cooperating working groups, are coached, it Involves the interference with a system type that has a formal structure with task divisions and more or less pronounced hierarchies. As a result, the roles of the members of the organization are profoundly determined, which also has a strong influence on the relationships of the members of the organization. In addition, like any organizational system, teams also show informal patterns of different kinds. The coach has to take all these phenomena into account (at least implicitly) in his relationship design. Due to the formal relations of the clients, an increased level of anxiety is always to be expected, at least with a certain caution in one's own statements. In distinctly hierarchical constellations, as exhibited by many commercial enterprises, the commitment of the coach results in a latent contraction of the hierarchy, because for the period of the coaching, the coach is in the alpha position and the formal leader in the beta position. This proves to be particularly significant for strategic team issues, because now the system is at least mildly irritated, which the coach can then use for changes *(Wimmer 1992, original in German)*. Team coaching thus always comes close to organizational consulting. In the case of non-hierarchical teams, as we find them, for example, in alternative enterprises or in some Protestant regional churches, equal bodies of two or three people often ascribe to the team coach the role of an informal leader who might be able to implement power interventions (Glasl 1994). The coach should always reject this sort of imposition and, especially in conflicts, rather integrate forms of mediation into the coaching process *(Schreyögg 2002, original in German)*.

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1.6 COMPETENCE REQUIREMENT PROFILE FOR COACHES

Christopher Rauen, Ingo Steinke

Competences are created on the basis of knowledge and experience. The sociology of knowledge distinguishes knowledge structures within three life worlds: individual, interaction, institution *(Schütz & Luckmann 2003)*. Also, in communication theory we distinguish communication in the subjective, the social and the objective world *(Habermas 1981, p. 183)*. Findings from systems theory *(Müller 1996)* can be integrated at all levels: application to mental-emotional systems *(Maturana & Varela 1982; Roth 1994)*, application to interaction or communication *(Watzlawick et al. 1969)* and on social systems and subsystems *(Luhmann 1984; Simon 2007)*.

The **COMPETENCE MODEL FOR BUSINESS COACHING** is therefore based on these three levels: person, interaction, institution. The institution can be a traditional social institution (e.g. family, marriage, church) or, historically developed, an arrangement of roles/responsibilities, activities and processes in a structure called organization *(e.g. corporate body, association, GmbH, AG)*.

By competence (lat. competere: to be capable of something, to be sufficient for something) we basically understand the "occupational/activity relevant, behavioral and measurable characteristics of a person" (Original quote in German: Sarges 2001), more precisely "a **DISPOSITION** of a person which enables him to behave effectively, according to performance criteria, in his activity environment, corresponding with a specific set of abilities, personality traits or motives and which can be developed on the basis of learning experiences, training or the like" *(Original quote in German: Scherm 2014, p. 21)*. Short: Competence is a disposition for performance-oriented behavioral. A competence corresponds to the following criteria *(ibid., pp. 18-20)*:

(1) Complexity: Competences are focused on coping with complex activity requirements, whereby the agents organize themselves.

(2) Divergence of the situation: Competences refer to divergent action situations, which are not mastered with ready-made, but with creative, multidimensional approaches.

(3) Disposition: A competence is the disposition of a person, i.e. the ability to behave in a solution-oriented manner. It is not directly observable or measurable. What can be observed are rather behavior or results of actions that are assigned to a competence construct. Competences can therefore also be understood as a behavioral repertoire.

(4) Links to characteristics, abilities or motives: Competences are based on basic cognitive or emotional abilities, traits (personality traits) and motives (e.g. performance or power motivation), whereby the connections between these factors and competences are still insufficiently researched.

(5) Performance and construct reference: People with a high level of competence perform better than people with a low level of competence. Competence characteristics must also be "construct valid", i.e. reliably linked to the competence.

(6) Learning and future orientation: The acquisition of competences requires longer learning processes, and competences are fundamentally capable of development. Competences refer less to the side of the previous activity requirement, but rather to the side of the person and characteristics they bring with them, so that they can continue to act successfully in the future.

We have carefully evaluated the worldwide available sources on coaching competences *(cf. Blumberg 2016)*. In the **SYNTHESIS** of a requirement profile for coaches on the basis of an international comparison of coaching competence models we have – in a joint work of the Expert Committees of the German Federal Association of Business Coaching (DBVC, regist. association) „Profession", „Research" and the Quality Conference of Educational Providers for Business Coaching (DBVC) – combined them into the first requirement profile for Business Coaching competences in a comprehensible way *(cf. Steinke & Rauen 2018)*.

We have also referred this to the validated constructs of several selected diagnostic instruments for personality (MBTI, GDP), social competence (ISK) and vocational action competence (KODE-Kompetenz-Atlas), so that the probability increases that we are actually dealing with competences *(see Steinke & Rauen 2018 for justification of the selection of these instruments)*. In this way, heuristic theory acquisition *(Dörner 1994)* has resulted in a model of coaching competence requirements that distinguishes between **COMPETENCE FIELDS** (competence classes), over-

arching **KEY COMPETENCES** (competence clusters), associated **COACHING COMPETENCES** (competence requirements) and **BEHAVIORAL ANCHORS** (action competences). It was important to us to complete this requirement profile to such an extent that it could be used temporarily for practical purposes.

As can be seen from our analysis and synthesis *(Steinke & Rauen 2018)*, the development of a coaching competence model brings with it several challenges. In particular, we do not want to follow the American interpretation and equate "competences" with "behavior". Competences are precisely the personal dispositions and constructs that exist in and behind behavior, which produce an enormous **DIVERSITY OF BEHAVIOR** for solving tasks or problems or simply for coping with every day (professional) demands. This is precisely what makes it so important and valuable to deal with competences in a well-founded manner. However, it is hardly tenable to reserve the term "ability" in psychology exclusively for basic cognitive and emotional abilities. In particular, the relationship between competences and the enormous body of knowledge of cognitive psychology, differential personality psychology, the emerging (neuroscientific) emotion psychology, and the numerous constructs of personality and management diagnostics appear in our view to be underreflected and unexplained. In our opinion, this also applies to the relationship between the concepts of competence and other similar terms and constructs such as: knowledge, experience, qualification, key qualification, core competence or key competence, ability, capability, competence, skill, ability, know-how, traits) talent - aptitude - dexterity, motivation (e.g. willingness to learn), attitude, mind set and last but not least to concepts such as value, performance and behavior.

At the moment we can only talk about requirements for competences in coaching. Scientific evidence for coaching competences is weak *(Steinke & Rauen 2018)*. Therefore, at the moment we do not know whether the claimed competence constructs really exist and how relevant they are for professional coaching. We are therefore dependent on the accentuation and setting of competences from a subjective expert perspective and are therefore currently still talking about competence requirements *(cf. Steinke 2015)* rather than the "true constructs" that lie within them. We have therefore convened an expert council from science and coaching practice whose task it is, generally speaking, to complete the above-mentioned heuristic theory acquisition and to carry out a theory evaluation *(Gadenne 1994)*. The Expert Council should at least validate the competence requirements from a scientific view, considering the practitioner's point of view and involving further

experts from relevant **SUBDISCIPLINES**. In other words, the constructs that are in or behind the requirement profile are determined (construct validation), the different construct levels are scientifically justifiably standardized and implicit structure and context assumptions are explained. The gaps in the competence model that then still exist can logically be filled e.g. with the help of the questionnaire method *(Mummendey 1995)* within the framework of differential personality or self-concept and competence research. The questionnaire method should lead to the development of additional coaching competence constructs (including associated items/ behavioral anchors). The members of the DBVC and International Organization for Business Coaching (IOBC) are involved in this process, for example by participating in questionnaire-based online surveys. The project has been properly set up as a **RESEARCH PROJECT** and will be flanked by doctoral and master theses.

We classify the coaching competence requirements provisionally according to the social science meta-theory mentioned at the beginning as well as according to Roth (1971), Hülshoff (1996), Weinert (2001), Kauffeld (2006), Heyse (2017) and with a view to Erpenbeck & v. Rosenstiel (2007) according to so-called **COMPETENCE CLASSES** or competence fields in personal competence, social-communicative competence and professional competence. In coaching, professional competence breaks down into professional competence and methodological competence, i.e. explanatory knowledge and availability knowledge *(cf. Buer 2015)*. In addition, there is a competence that has found its way into coaching, especially through supervision: field and functional competence *(Berker 1992; Steinke 2015)*. We assume that competences can only be shown if the role and possibilities of action of the conditions within which action is taken provide this *(Reischmann 2004)*. Coaching competences are always context dependent. We define coaching competence as the ability to reflect and act in the context of person-oriented dialogical counselling of people in the world of work. On the one hand, we accentuate an activity or action orientation, i.e. the ability to practice or implement something. This also means "the ability to integrate one's own emotions, motivations, abilities and experiences and all other competences (...) into one's own motivation and to successfully realise actions" *(Original quotes in German: Erpenbeck & v. Rosenstiel 2007, p. XXIV)*. On the other hand, we accentuate the (self-)reflectivity in social relations *(Greif 2008; cf. chapter 1.2)* and the "conscious-behavior-towards" conditions, meanings, possibilities for action. These are not activity determinants for a coach. He is "in no way restricted in his actions... (but has) always the 'alternative' of not acting or acting differently" *(Original quote in German: Holzkamp 1985, p. 235 ff.)*. This also includes

1.1 Profession and professionalization

being able to reflect on when, how and why action or reacting-like-this is appropriate *(cf. Reischmann 2004, p. 6)*. Often enough, coaching is limited to providing the results of this (self-)reflection to the client without the need for special methods.

The coaching competence therefore includes the components: (1) Personality/self-competence (2) Social-communicative competence, (3) Professional competence, (4) Methodological competence, (5) Field and functional competence (for the derivation, definition and justification of these competences *see Steinke & Rauen 2018)*.

PERSONALITY
- » motivation
- » perceptual faculty
- » ability to judge
- » ability to learn and develop
- » self-regulation

SOCIAL-COMMUNICATIVE COMPETENCE
- » competence in relationship
- » ability to communicate
- » self-confidence
- » reflectivity

PROFESSIONAL COMPETENCE
- » general education
- » philosophical, sociological, educational, psychological and economic resources and resources of coaching research
- » legal resources
- » integration of theory and practice

METHODOLOGICAL COMPETENCE
- » dialogue competence
- » planning competence
- » analytical competence
- » didactic competence
- » cognitive-emotive development competence

FIELD- AND FUNCTIONAL COMPETENCE
- » professionalism
- » field and functional experience
- » educational training and development
- » organizational competence
- » role awareness
- » micropolitical skills

We operationalize the coaching competences as follows:

(1) <u>Personality/Self-Competence</u>

Motivation: Performance orientation, leadership orientation, creative will

Perceptual faculty: Perceptive faculty, sensual comprehension, intuition

Ability to judge: Analytical thinking, emotional assessment

Ability to learn and develop: Willingness to learn and develop, flexible action, openness to change

Self-regulation: Self-management, self-control, emotional stability, flexibility of action, conviction of control, tolerance of ambiguity

(2) <u>Social-communicative competence</u>

Competence in relationship: Building relationships, building trust, social orientation, cooperativeness

Ability to communicate: Communicative coupling, interpreting body language, comprehensibility

Self-confidence: Assertiveness, confrontational ability, conflict ability, extraversion/contact ability, decisiveness

Reflectivity: Self-portrayal competence, perception of persons, ability to reflect

(3) <u>Professional competence</u>

General education: Degree, further training in coaching

Philosophical, sociological, educational, psychological and economic resources and resources of coaching research: Naming, understanding, analyzing, synthesizing, assessing

Legal resources: Naming, understanding, applying

Integration of theory and practice: Reflected theory application, scientific foundation

(4) <u>Methodological competence</u>

Dialogue competence: Leading dialogue, actively listening, asking questions, giving feedback

Planning competence: Clarify assignment, clarify objectives, clarify expectations, conclude contract, draw up work plan, establish evaluation

Analytical competence: Conveying correlations, reconstructing/diagnosing connections, discovering solutions

Didactic competence: Ensure matching, work goal-oriented, think and act solution-oriented, accompany learning, ensure transfer

Cognitive-emotive development competence: Multi-methodically actions, stimulating reflection, creating awareness, associating, dissociating, using pattern recognition, using metaphors and analogies, coupling resources, positioning oneself, handling contradictions, shaping change processes

(5) Field and functional competence

Professionalism: Maintain professional ethics, conceptual ability to provide information, realistic self-assessment, role clarity, marketability

Field and functional experience: Intercultural competence, industry competence, business competence, organizational competence, divisional competence, functional competence, social role competence, personal maturity

Educational training and development: Learning, self-awareness, psychohygiene

Organizational competence: Manage organizational phenomena, manage system complexity, design group processes

Role awareness: Optimize role behavior, focus leadership, develop careers

Micropolitical skill: Developing the use of power, shaping institutional interaction, coping with crises

We advocate maintaining a certain gnostic distance when dealing with competences: Competence is a construct, a disposition. It is not directly observable; only its effects, i.e. behavior patterns, are observable. And these must first be turned into **INDICATORS** of competences, so that one can speak of competences at all. So, from a social psychological point of view, competence is always an attribution phenomenon, too, *(Stölzel 2012, p. 86)*, an attribution of something to someone, or in other words: a projection. When in doubt, competence says more about who sees it than who has it *(cf. Steinke 2015)*. Nevertheless, reflection on what professionally relevant competences consist of remains an important task.

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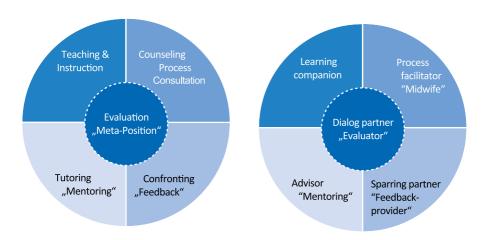
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1.7 THE ROLES OF THE COACH

Ingo Steinke

Depending on the client's mandate and concerns on the one hand and the respective situation and phase during the coaching process on the other hand, different competences of a coach *(cf. chapter 1.6)* are particularly in demand, and a coach fulfills different functions in each case. Accordingly, the attitude, procedure and design of the relationship between coach and client also vary, and the coach assumes different roles *(cf. Lenhardt 1992/2002; Schreyögg 2015)*. Thereby the dialog is characterized in principle by **INTERSUBJECTIVITY**, i.e. the authentic subject-subject encounter, although the relationship as the foundation of action in consultative dialogs *(Schmidt-Lellek 2006, p. 22, original in German)* in coaching is not always strictly symmetrical in nature, but different forms of symmetry and asymmetry are practiced *(cf. chapter 2.2, Section 10)*. Here, a role according to Claessens *(1968, p. 19)* and Gerhardt *(1971, p. 29 f., 37 f.)* is to be understood as a generalization of singular behaviors to typical patterns of action, which as a social form constitutes and regulates a normatively culturally expected behavior in a unit of interaction; this social form may be subject to social change.

In the role of a **PROCESS FACILITATOR**, coaches see themselves less as technical specialists than as a methodically adept process managers, process consultants *(Schein 1969; Reddy 1999, original in German)* or clarification assistants *(Thomann & Schulz von Thun 1987, original in German)*, who accompany the inner clarification process (of the system). Their task is the methodical control of awareness, learning and development processes. Like an **OBSTETRICIAN** *(Thomann & Schulz von Thun 1987; Whitmore 1994, p. 88, original in German),* they offer a "helping hand" to the client in order to develop their own knowledge and problem solutions ("to give birth"; for "maieutics" or "obstetrics" see Schmidt-Lellek 2006, p. 97 ff., original in German). By strictly restraining themselves as regards content and merely intervening methodically, they practice a communication style that reflects the consequences, as is inherent to counseling in its origin *(Rogers 1942/1972; Shertzer & Stone 1968, p. 22 ff., original in German)*, and shape the course of the conversation with a clear process orientation.

In the role of the **LEARNING COMPANION**, the coach acts as an expert with regard to technical or methodological procedural or behavioral questions on the client's role. In contrast to the topic-centered approach, their task is above all to impart knowledge and skills in a psychoeducational, issue-focused way, as well as on the instruction of behavioral testing to prepare the client for concrete practical situations (transfer assurance). Methods that originate in sociometry, psychodrama and gestalt therapy *(cf. Schreyögg 2012, p. 191 ff., original in German)* serve this purpose, but also those deriving from psychoeducation *(cf. Carkhuff & Berenson 1967; Jensen et al. 2009, originals in German)*. Focused on concerns means being closely focused on the specific concern and the objective in the client's world of expertise and experience in order to enable experience-activating learning through experience *(cf. Bommert et al. 1978; Bion 1990; Steinke & Steinke 2018, originals in German)*. During learning guidance, while still in the coaching phase knowledge will become proficiency or explanatory knowledge and will transform into availability knowledge *(cf. Lahman 1930; Buer 2015, p. 190 f., originals in German)*. This also includes analyzing the contents of conversations against the background of existing knowledge structures and getting to the heart of the matter. The coach is then an **INSTRUCTOR** in the original sense, a learning partner *(Looss 1990, original in German)*, whereby a coach teaches less, but rather helps to learn *(Lovin & Casstevens 1971, original in German)*. Like a "trainer", the coach can also act as an example or role model. A coach acts out of advanced knowledge, pursues a communication style oriented towards didactic viewpoints, and conducts the process closely linked

to the issue, but nevertheless with a clear structural focus (oriented towards the respective technical or knowledge structure).

In the role of **ADVISOR**, coaches act as "experts from lived experience" and see their task in providing the client with orientation on their (development) path. The coach enables learning from experience and learning through experience *(Lovin & Casstevens 1971, original in German)*. A coach usually does this in the *form of statements (Schreyögg 2012, original in German)*, which are offered to the client as a view, but are not administered in a missionary manner. Like a **MENTOR**, they can make their field and functional competence available to the client *(Berker 1992; Steinke 2015, originals in German)* and weigh up courses of action or approaches to solutions and related opportunities and risks against the background of realistic assessments of the situation *(cf. Options Phase at Whitmore 1994, original in German)*. Although special care must be taken here to ensure that the client's self-responsibility for their actions is fully preserved, the coach tends to be prone to a consultative style of communication and guides the process with a clear focus on results.

In the role of **SPARRING PARTNER** *(Schreyögg 2012, p. 252, original in German)* or agent provocateur *(Lenhardt 1992/2002, original in German)*, coaches view themselves as benevolent **FEEDBACK PROVIDERS** who, by confirming and critically questioning, accompany and support the client in their learning and development process. Confronting and feedback are established at an early stage as an essential contribution of the coach *(cf. Huston 1924; Kinlaw 1989; Looss 1991, originals in German)*. In doing so, the coach is also the bearer of unpleasant messages, which can be painful. Like a "good friend", however, they pursue a benevolent, confrontational communication style and at the same time show themselves to be persons with their own convictions made available to the client as a subjective positioning, without imposing it on them as an "instruction". Like an "ally" or "partner", they act solicitously encouraging, taking sides for the client's affairs. They shape the process with a clear personal orientation.

In the role of **DIALOG PARTNER** *(Schreyögg 2015, original in German)*, the coach acts as an empathetic relationship worker *(Looss 1990, 1991, p. 15, 194, original in German)*, whose task is to form a trusting relationship and a constructive **DISCUSSION ATMOSPHERE** in which the client is capable of opening up to new perspectives and paths. The coach reflects their inner and outer reactions during the coaching process, perceives the relationship occurrence (with transfers and

counter-transfers), examines their own role behavior as well as their communicative and methodical interventions with regard to appropriateness and effect in order to correct the course taken if necessary. They sensitively explore their own possibilities and limits and watch over the responsible "management" of personal resources, i.e. their use or restraint and care. This role can also be considered as the coach's seat of self-reflectivity, role-reflectivity and ability to judge. As "evaluators", the coaches enter into a "meta-position" from which they can confidently evaluate and regulate the relationship process, position themselves in terms of content and face the client with empathy, but as a professionally defined and congruently communicating counterpart *(cf. chapter 2.7).*

In one respect, this **ROLE MODEL** illustrates that professional coaching requires a flexible and flowing change between different role requirements. At the same time, it enables the location of individual preferences and strengths in one's own work and shows personal development tendencies in one's work as a coach.

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PART **2** APPLICATION –
PROFESSIONAL
STANDARDS

2.1 CODE OF ETHICS: ANTHROPOLOGICAL PRINCIPLES AND PROFESSIONAL ETHICAL STANDARDS

Walter Spreckelmeyer, Christoph Schmidt-Lellek, Astrid Schreyögg

Professional coaching requires a professional ethic which, based on anthropological basic statements, offers the coach operating principles for practical application. This code of ethics is intended to create internal and external **COMMITMENT** and a **PROFESSIONAL ETHIC** that provides orientation in the market and is reflected in day-to-day actions. This commitment also requires recognition of other value systems, with which, however, a dispute may be necessary.

Beyond compliance with ethical standards, the professionalism of the coach requires **ETHICAL COMPETENCE** to recognize ethically relevant conflicts as such and to deal with them in a reflective manner. For diverging values or ethical dilemmas can conceal themselves behind conflicts that broach the subject of coaching. The code of ethics therefore offers not only, and not primarily, concrete rules for moral action, but also an orientation for **ETHICAL REFLECTION**. Coaching is not a place for moral instruction, but a free space for open questions and mutual reflection. However, one of the coach's tasks may be to actuate this question, to point out possible connections and to name ethically relevant aspects, and, if necessary, to address taboo topics.

The following illustration is structured in such a way that, (1) a general anthropological principle is named, from which (2) conclusions for coaching and the basic ethical understanding of the coaches and (3) maxims for practical application are derived.

(1)
DIGNITY OF THE PERSON:
Human dignity is inviolable.

The basic equivalence of the persons involved in professional
settings can be derived from dignity. It applies in an overarching existential sense,
even if the consulting relationship implies an asymmetry
(the professional consultant has a control task).

» The coach recognizes both the uniqueness and the social evolution of the client in their tension-filled polarity based on unconditional respect for the dignity of the person.

» The coach acts from the awareness of his own evolution and of his personal and professional identity; he recognizes the importance and the relativity of his environment and his biographical and cultural imprints.

» The coach respects their clients' need for protection, maintains discretion and does not harm them; he also detects possible damages, for example through structures in organizations, and sensitizes the client to frequently occurring contradictions (e.g. profit vs. human orientation).

(2)
WORLDLINESS OF HUMAN BEINGS:

**Human beings are part of their world;
they are placed in a variety of contexts, such as
region, culture, religion, milieu, family.**

In coaching, the focus is on the human being in all his or her life references.

» The coach connects to the client's environment and respective perspectives (ability to adopt perspectives and empathy).

» The coach knows that his own environment is part of the counseling relationship; he reflects on it professionally, so that in the encounter between different environments, an enhancement of the interpretation and behavior patterns becomes possible.

» The coach reflects on the changes in today's life contexts, in particular through the dissolution of traditional social bonds and value systems, and develops contemporary solutions with the client against this background.

(3)
HUMANS AS A DIALOGICAL BEING:

**For their development and for their self-understanding, humans are dependent
throughout their lives on relationships with other people; "dialogical existence"
means both a basic human condition and a maxim for action.**

In its capacity as professional "work on people", coaching promotes the client's willingness and ability to engage in dialog and is itself a model for dialogic action.

» The coach recognizes the fundamental "otherness of the other" *(Lévinas 1983, original in German)*. This means the openness towards the unknown in the other, the recognition of its unavailability and the ability or willingness to marvel at the unknown and to be touched and enriched by it.

» The coach also makes his own subjectivity - professionally reflected - part of the dialogical consulting relationship.

» The coach knows and practices the double level of encounter that is characteristic of professional action with the client: the polarity between problem-related, analytical approaches in consultative interaction, with which the other is seen as a "case", and a further perspective, in which the other appears in his unique personality.

» The coach conducts the dialog with other people in common relation to the "third party" (in the form of a topic, a company goal or other persons) to reach an understanding between differences in knowledge about the complex interdependence of the protagonists involved.

» With his dialogical attitude, the coach also recognizes the possibility of insurmountable differences and limits of understanding, e.g. in the case of incompatible value orientations. In this case, a mere consensus on the disagreement can be achieved at best.

(4)
NON-REDUCIBILITY OF HUMAN BEINGS:
Humans represent a value beyond their respective functions.

Coaching serves both to promote the clients' ability to function and to reflect and strengthen the value of their humanity beyond their respective roles and functions.

» The coach consciously looks after the polarity of the client's functionality and personality (combining the postulate of "personal growth" with an optimization of the client's functionality).

» The coach never reduces the person to their mere problem, but always shows them the due respect for their unique personality.

» The coach supports the client in the perception of his freedom towards his roles and functions in order to prevent a possible self-reduction of the client.

(5)
HUMAN BEINGS' OPENNESS TO DEVELOPMENT:

Humans are open to previously unrealized possibilities of life. They can develop throughout their entire lives and unfold their potentials.

In addition, during the consulting relationship, the coach contributes to the client becoming what he can and wants to be.

» The coach avoids making defining statements about his clients and emphasizes the processuality and changeability of attributes and patterns.

» The coach supports the client in recognizing his possibilities, but also points out shadow areas and boundaries,

» in overcoming hurdles and obstructions, in consciously perceiving, evaluating and grasping the choices which have opened up (including their consequences),

» in accepting changes and taking leave of the familiar.

» The coach remains open for the thinking and value system of other people, for the foreign in the other, for new possibilities of action and for the unsolvable "secret" *(Kant)* of human existence.

(6)
FREEWILL/AUTONOMY OF HUMANS:

Humans live in the inextricable tension between conditionality and freedom, between heteronomy and autonomy. They have the freedom of choice to accept, reject, change or repress the realities of their world.

On the one hand, the coach supports the perception of the historical, social and situational conditions of the client's respective reality and, on the other hand, the creative, formative handling of these conditions.

» The coach initiates an awareness process in the consulting relationship and accompanies and facilitates open discussions.

» The coach offers support in the responsible handling of one's own freedom of choice and with possible alternatives for action, both for others or for the organization as well as for oneself.

» The coach respects the autonomy, the clients' decisions in the consulting process, but he also creates situations in which decisions become possible or easier to achieve.

(7)
UNITY OF HUMAN BEINGS:

Humans are not divisible; they are a subject of body, soul and spirit and live as such in intersubjective, dialogical relationships.

The coach addresses all three dimensions of the client (body, soul, spirit)

» The coach orients himself towards wholeness as the point of orientation for all interventions; even if only a one-dimensional (e.g. rational) approach is currently chosen, he considers the other dimensions.)

» Where appropriate, the coach may address spontaneous physical reactions or emotional parts of an expression or behavior in order to make them accessible to the client's attention and support him in his conscious handling of them.

» The coach also considers his own emotional resonances as an integral part of the professional relationship.

(8)
LIMITS OF THE COGNITIVE FACULTY:

In principle, the human being is more than and distinct from all attributions and typifications.

The coach is aware of the limitations of his cognitive possibilities.

» In the consulting relationship, the coach can draw on professional and everyday-related type formation as a basis, but they must not make it absolute but rather integrate it into the consulting as a trend or preference.

» Test methods serve as interpretation building blocks but must not be understood as definition or labeling.

» The coach clarifies the subjective character in all interventions.

» The coach pays attention to the quality of his activities and acts within the limits of his technical and interdisciplinary competence.

» The coach grows with the challenges in a lifelong educational process in the sense of continuous personality development, increasing realization and broadening horizons.

(9)
THE SIGNIFICANCE OF WORK:

Work is an essential part of human existential accomplishment.

Coaching as job-related consulting supports the client in his endeavors for the success of professional work.

» The coach supports the reflection on the significance of work as gainful employment to earn one's livelihood, as self-realization, as a foundation of meaning, as stabilization of social roles and as responsible participation in social processes.

» The coach encourages reflection on ethical dimensions in the objectives of professional work, such as the social and environmental impacts of products or the relationship between shareholder and stakeholder value.

» Coaching should support successful professional work as part of a success-

ful life in general. For a claim to the absoluteness of the value of work threatens a successful work-life balance, more precisely the balance between the various areas of life each with their own value *(Ulich & Wiese 2011, original in German)*.

» The coach promotes the conscious perception and appreciation of the various areas of life (gainful employment, housework, family, partnership, friendships, hobbies, voluntary posts, etc.) and the various "dimensions of activity" *(Seel 1999, p. 139 ff., original in German)*: (1) Work: goal-oriented action to achieve external objectives, subject-object relation, (2) Interaction: dealing with a human counterpart, subject-subject-relation, (3) Play: activity without external purpose, an execution-oriented action, (4) Consideration, contemplation: execution-oriented interaction with an object without a personal counterpart.

» The coach supports the reflective "working on oneself" in the sense of a responsible "caring for oneself", especially with managers; because a person is only entitled and in a position to lead other people if he is able to lead himself *(Foucault 1986, p. 128, original in German)*.

(10)
HUMAN BEINGS IN INSTITUTIONS:
The human being is secured and at the same time oppressed by institutionalization.

Insofar as work takes place in institutional contexts, the coach supports the perception and reflection of the respective institutional conditions in their ambiguities.

» The coach examines and supports the possibilities of a creative and realistic design of institutional conditions for the benefit of all participants and those affected.

» When discussing the ambiguity of belonging to a company or organization, the coach examines the proportion of the client's security or stability compared to the proportion of distress. If, for example, the price for security consists of unbearable distress, you may have to work towards a change of workplace.

(11)
POWER IN INTERPERSONAL RELATIONSHIPS:

Power is a necessary condition of the opportunity to assert one's will in the interplay of collective interests within the framework of legitimate arrangements of acting together.

Since managers have to influence other people, the coach supports the conscious perception and application of power within the framework of legitimate interests. It distinguishes power from influence and from the often synonymously used concept of violence as an instrumental disposition skill.

» The coach promotes the open and deliberate confrontation with power and its constructive and destructive possibilities. In doing so, a distinction has to be made, for example, between personal and institutional power.

» The coach recognizes the reciprocity of power claims and promotes a responsible handling of power.

» The coach supports the perception of the ambivalence of power: Thus, the attribution of power to superiors can be associated both with a longing for strong support and with fear of oppression.

» The coach encourages sensitivity for an open (e.g. repressive or violent) or concealed (e.g. narcissistically motivated) abuse of power in dealing with employees, competitors, customers, etc.

» The coach supports the development of self-powerfulness as an aspect of the client's self-care.

These maxims of professional action by coaches are embedded in a reflected **DIALOGICAL BASIC ATTITUDE**, which is to be viewed as an overarching category for the professionalism of the coach. The standards formulated in this compendium should be seen against the background of this code of ethics and can only represent a criterion for professional quality in this context. The coach can therefore check whether an assignment complies with ethical standards and, in the case of a triangular contract, he will, for example, reject a manipulative assignment that contains hidden assignments.

2.2 GLOSSARY ON THE CODE OF ETHICS

Christoph Schmidt-Lellek, Astrid Schreyögg, Walter Spreckelmeyer

In order to understand the code of ethics *(cf. chapter 2.1)*, some key terms, their origins and the theoretical concepts associated with them ought to be explained.

(1)
ETHICS AND MORALS

Morals and ethics are often used synonymously. However, the following conceptual distinction is useful for the discussion: To act morally is the condition of the ability to coexist with others; a "moral" contains the individual rules, necessities and prohibitions that try to substantiate this in the various contexts. Ethics describes the reflection of **VALUES** and moral judgments. A distinction must be made here between "target ethics" (or duty ethics, e.g. Kant) and "striving ethics" (eudemonistic ethics, e.g. Aristotle). As a philosophical discipline, ethics is a theory of morality; it searches for justifications for morality and is intended to find out which rules are suitable to enable moral action in the respective social and cultural situation. The "ethical codes" (*cf. chapter 2.1)* should therefore primarily serve as an **ORIENTATION** for ethical reflection and responsible professional action.

(2)
BODY-SOUL-SPIRIT-SUBJECT

In philosophical anthropology, a dichotomous image of man (body-soul) is distinguished from a trichotomous one (body-soul-mind). Both can be traced back to ancient Greek philosophy: e.g. Plato sôma - psyché (body vs. soul) or lógos - thýmos - epithymía (e.g.: reason, will, emotion/desire). In the tradition, this is partly understood as a division of body and soul, reinforced with the beginning of modern times and Descartes (res extensa - res cogitans). In modern philosophy, on the other hand, there are many attempts at a holistic approach, in which different perspectives on the human being are referred to *(cf. e.g. Nietzsche, Merleau-Ponty, the "Psychosomatic" by V. v. Weizsäcker and others).* The formula "body-soul-spirit-subject" emphasizes the inseparable **CONNECTION** of the diverse perceptions: the biological aspects, the emotional, psychological aspects and the spiritual aspects, which concern "cosmopolitanism", the cultural referentiality of humans.

(3)
DIALOG

The modern philosophy of dialog can be traced back primarily to Martin Buber (1984). He already pointed out the **PARADOXES OF THE DIALOGICAL** by interweaving objectifying, distancing and analyzing approaches (" I-it relationship") and an open intersubjective encounter ("I-You relationship"). In professional relationship constellations, the facilitation of dialogic encounter is to be viewed as an overarching goal *(cf. Isaacs 2002; Schmidt-Lellek 2006).* Prerequisites for successful dialogs:

» Recognition of the otherness of the other: He's not like me or as I think he should be.

» Willingness to let oneself be questioned by the otherness and unfamiliarity of the other or to become released from one's self-centeredness and thus open up to something new *(cf. Lévinas 1983).*

» The appropriate new possibility to give meaning to common thinking and acting: "Consensus" is then not only finding common ground as the "lowest common denominator", but beyond it something newly created.

» An adequate communicative tool (e.g. linguistic competence, perception of the various communication levels according to the communication model of Schulz von Thun 1981); this includes the ability to translate into foreign "languages" or worlds of imagination.

(4)
LIVING ENVIRONMENT

This term, which goes back to Edmund Husserl, emphasizes the indissoluble **INTEGRATION** of human existence in family, social, cultural and historical references, which, so to speak, constitute the "material" from which every human being constructs their individual identity. The task of understanding foreign living environments presupposes a reflected **AWARENESS** of one's own everyday impressions. In this respect, one's own living environment is a "component of the consulting relationship".

(5)
ETHICS IN COMPLEX LIVING ENVIRONMENTS

Today's working and living environments are characterized by increasing individualization and complexity in value orientation and design possibilities. The main problem with which e.g. the philosophy of "postmodernism" deals, is the **TENSION** between universalism (general validity of statements and evaluations) and particularism (their temporally, locally and culturally limited validity). With the departure from the assertions of absoluteness in Western tradition and modernity, the questions of ethics arise in a new and more explosive way: Decisions are not to be made between "absolutely right" and "absolutely wrong", but there are different possibilities, so that the question arises as to the **EVALUATION** criteria (e.g. between "economically reasonable", "aesthetically pleasant", "politically correct", "morally clean"). Therefore, the individual is all the more challenged with their moral responsibility and the self-reflectivity associated with it.

(6)
FREEDOM OF WILL, AUTONOMY

Freedom of will as a principle of moral action is an achievement of the modern era. Whereas previously the goals worth striving for were determined by customs and conventions (religions, traditions, fixed social structures, etc.) and ethical action was oriented to the norms of the generally recognized "moral code", modern ethics set an objective of freedom. Freedom as the freedom of will becomes the principle and criterion of moral action in general. This makes it clear that "freedom of will" is not an empirical term, but a normative one dependent on the respective anthropological constructions.

AUTONOMOUS WILL is in a conflict between external and internal conditions. These include biological conditions, hereditary, social, cultural, historical imprints etc., which an individual must and can confront in a process which is impossible to complete. These conditions are therefore not to be understood in a deterministic sense. Rather, they represent the material for an autonomous design of the person *(cf. Frankfurt 2001).*

FREE WILL, however, is limited, both factually in the possibilities of realizing the desired goals, and normatively, insofar as the autonomous human being binds their freedom to rules in order to maintain it *(Kant's "categorical imperative "; cf. Pieper 1991, p. 144 ff., original in German)* and takes into account the freedom of other human beings. Unrestricted free will, the arbitrary freedom in the sense of the optional ability to do and leave, would have inhuman consequences. For a person to achieve their own goals in the social community, they must consider the objectives of other individuals, not only at the level of action, but already at the level of will. **FREEDOM AND DETERMINATION** are thus the two aspects under which the moral practice of humankind can be grasped and understood. (Today, the freedom of will of humankind is discussed anew in the context of brain research, whereby the aspect of determination is often strongly emphasized.)

(7)
WORK

The concept of work presented here encompasses more than "vocational work", namely any purpose-determined action; the opposite concept is "play" as an action that has its purpose only in itself *(cf. Seel 1999, original in German).* According to Hannah Arendt (1967), work encompasses all the implementations of immediate provisioning; she defines work as the **ACTIVE IMPLEMENTATION OF LIFE** itself ("Vita activa" in contrast to "Vita contemplativa"). With reference to Aristotle, she distinguishes between "production" and "action" (Greek poíesis and prâxis). The activities of the professions are thus all to be assigned to "action" in this sense, more precisely to intersubjective, "communicative action" in contrast to "instrumental action" (so the corresponding distinction in *Habermas 1981).* In coaching, however, playful approaches can represent creative impulses that may open up surprising perspectives for solutions, freed from predetermined purposes and aims.

(8)
INSTITUTION AND ORGANIZATION

Institutions are socially determined **ROUTINES OF ACTION** structuring the over-complex possibilities of thinking, feeling and acting (complexity reduction). "Institutionalization takes place as soon as habitual actions are reciprocally typified by types of actors. Every typification made in this way is an institution" *(Berger*

& Luckmann 1970, p. 58, original in German). However, as Berger and Luckmann (1970) show, humans are not only the creators of their institutions, but also their victims, in that they can lose their autonomy, the possibilities of their self-development: "Human beings are paradoxically capable of producing a reality that denies them" (p. 96). Life and action in institutions is thus subject to a suspenseful paradox between enabling and obstructing, between security and distress.

In contrast to everyday language habits, the social sciences differentiate "institution" from "organization": Whereas **"INSTITUTION"** is to be understood as a set of rules with certain behavioral patterns and norms (e.g. marriage, the legal system, the free press), **"ORGANIZATION"** is initially defined as a "person-independent system of action" *(Max Weber 1921, original in German),* later understood as a social entity with planned structures of action, which is characterized by the fixed affiliations of persons who can join and leave an organization, by certain purposes to be pursued and by hierarchically defined roles and relationships between them.

(9)
POWER

Most authors dealing with the topic of power refer to a definition by Max Weber *(1921/2005, p. 28, original in German).* "Power means every chance to assert one's own will within a social relationship, even against reluctance, no matter what this chance is based on." Weber's research was in principle about "domination", which, however, always implies power. Oswald Neuberger *(1995, p. 55)* distinguishes between power, violence, influence, manipulation, authority and domination, and questions as to what extent the realization of the relevant terms is based on a relationship that can be perceived, whether a conflict is to be expected in the course of its realization, whether its realization is accompanied by concessions or sanctions. This is the case with power, which can, however, occur in legitimate and illegitimate forms. However, this is not the case with manipulation, which, in addition, is illegitimate in principle. Power very closely resembles domination and, above all, influence.

In literature, power is predominantly interpreted as **INTERACTIVE EVENTS** between people, whereas coaching is about "power in organizations", which, besides interactive phenomena, always includes and even must include systemic ones.

In organizations, dyadic constellations do not dominate, but power is exercised primarily within the framework of a complex network structure. Power stands here in the sense of "structural violence" *(Galtung 1975, original in German)* on the basis of bureaucratic variables such as standardization, division of labor and hierarchization. Therefore, Max Weber had already described "bureaucratic rule" as a social type of rule/power/influence at the beginning of the 1920s. In contrast to traditional and charismatic forms of rule, bureaucracy is an anonymous form of power.

Another equally anonymous source of power in organizations is depicted in **ORGANIZATIONAL CULTURES**. As collective systems of meaning, they are significantly involved in the modification of the behavior of the members of the organization. Through them, internal programs are established over time, which then usually exert their power unnoticed *(Neuberger 1995, p. 60, original in German).*

In order to address power in coaching, a distinction must therefore be made: (1) the formal, anonymized power framework and (2) the respective dyadic forms with which the formal framework is designed.

(10)
SYMMETRIC VS. ASYMMETRIC RELATIONSHIP

In his "Theory of Communicative Action" *(1981, original in German)* Habermas postulates an "ideal speech situation" for which the following rules, among others, are decisive: They should be "free of domination", "free of deception", "willingly" conducted by both partners, they presuppose the interchangeability of **DIALOG ROLES** and only recognize the compulsion of the better argument, etc. *(Habermas 1981).* This therefore requires a symmetrical relationship constellation. Professional actions, however, often imply an **ASYMMETRIC RELATIONSHIP**, solely due to the different definition of roles (e.g. advisor and advice seeker). "Ideally, the aim of professional activities is for the client and professional to face each other as **EQUALS** at the end of the process. The initially asymmetric relationship is to be transformed into a symmetric one in the course of the communication process. Professional practice therefore necessarily contains a contradiction: The practitioner must respond to the client with an asymmetrical role definition so that a **SYMMETRICAL** one can emerge at all" *(cf. Schreyögg 2004, p. 51, original in German).* This should manifest itself at the end of a coaching process when the participants let go of their roles defined during the coaching process.

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2.3 COACHING PROCESSES

Thomas Bachmann, Ingo Steinke

The coaching process model described here firstly specifies the **LINEAR SEQUENCE** of successive steps of coaching, from the selection of a suitable coach (within an organization) to the evaluation of the coaching. Secondly, it describes in essence the **IDEAL-TYPICAL ITERATIVE EXECUTION PATTERN** of a coaching session, i.e. the same or similar actions of the coach that are repeatedly iterated to approach a goal or a solution; similar to a spiral movement that repeatedly passes a comparable point, but at a more developed level. The **PROCESS MODEL** is both applicable in the individual coaching of single persons as well as in the peer or team coaching of dyads (e.g. dual leadership) and teams of several directly cooperating persons or in group coaching of non-directly cooperating persons. We understand the model as an auxiliary construction for organizing situations and processes; it cannot completely reflect the full reality, especially since dialogical processes ultimately remain unpredictable *(Bachmann 2016, original in German).*

1. PHASE:
INITIATION

In most companies that use coaching, this type of training is an instrument of personnel development, which in turn is part of the managerial function *(Lutz & Erhard 2009, Mayer-Tups 2018, original in German).* In this respect, the design of coaching (processes) is tailored to the particularities of the respective organization and culture *(cf. design variants of coaching in Bollhöfer 2011, original in German).* As a general standard, it holds true that companies have developed access criteria for coaches as well as a procedure for the selection and admission of coaches (in coach pools), the clarification of needs and the matching of coach and client (system) *(cf. e.g. the admission process of Daimler AG, cited after Rauen 2014, p. 62, original in German).* This **PRELIMINARY PHASE** of the actual coaching *(Rauen 2014, p. 66, original in German) c*an also be described as the initiation or instigation of coaching.

The initiation phase should be designed in such a way that **NEGATIVE EFFECTS**, i.e. undesirable consequences caused by coaching *(Schermuly 2016, original in German),* are reduced or avoided as much as possible. The avoidance of possible

causes of these negative effects can be a good starting position. On the client's side, these are: too little awareness of the problem, false expectations, pre-existing psychological conditions and lack of a coaching goal. On the coach's side, these are: lack of supervision, lack of knowledge about the client's organization and work (field and functional competence), insufficient technical expertise and verification on the part of the coach. On the organization's side, these are: transfer barriers *(e.g. lack of time for implementation, obstruction by superiors),* lack of support for the coach and enforced coaching. Other causes are: lack of time, insufficient financial resources and inadequate or imprecise diagnostics *(Schermuly 2016, original in German).*

The **INITIATION PHASE** includes:

(1) Determination and identification of a need

The observation that a client has a need for coaching is not always made by the client himself, but often by the client system. This can be the partner in the private environment or the client's superior in the organizational environment. Only rarely is the need clear at the beginning but expresses itself for the client and their system initially as non-specific negative pressure, tension or discomfort, or positively as a requirement, expectation or motivation in view of new tasks. Coaching can start with deficiencies or problems that need a solution, as well as with challenges that require a strategy. Consequently, it can make sense to use forms within the organization for an **ASSESSMENT OF REQUIREMENTS**, in which predefined response alternatives and unrestricted fields help transport the scope for coaching and facilitate the identification of needs *(cf. Eichhorn 2011, original in German).* As a rule, the coaching mediators succeed best initially in identifying the need for coaching because they have the necessary distance to the client (system). The assessment and identification of a need usually leads to a request to the organization's internal coach or an external coach.

(2) Finding potentially suitable coaches

Finding potentially suitable coaches is usually challenging. In corporations and larger companies, there is an increasing shift towards establishing coach pools *(cf. e.g. Lutz & Erhard 2009, Eichhorn 2011, Mayer-Tups 2018, originals in German)* in which four different types of coaches can be assembled *(cf. Bollhöfer 2011, original in German):* The **HR PROFESSIONAL** with a proportion of coaching in their range

of tasks, the **DIVISION COACH** for functional areas (e.g. sales coach), the **POOL COACH**, i.e. employees and managers with coaching training who do not coach in their own department, but in other departments of the company on a part-time basis, as well as **EXTERNAL COACHES**. The number of different target groups or hierarchical levels and topics that must be covered within such coach pools is usually large, while the number of available coaches is small *(e.g. 10 for Eichhorn 2011, original in German).* Even in groups with a coach pool, this often leads to managers spontaneously booking external coaches. Apart from the use of networks and the recommendation system, this is usually also the policy of small and medium-sized companies as well as private individuals who are looking for a coach. These can qualitatively improve and shorten their focus with the help of renowned associations and portals *(e.g. www.iobc.org, www.dbvc.de, www.coachdb.com).* Access criteria for coaching pools were, for a long time, of a rather formal nature *(university education, coaching training, several years of management experience, no application of esoteric practices, cf. Daimler AG selection criteria, Rauen 2014, p. 62, original in German),* but are increasingly being oriented more content-related and more closely to the organizations' understanding of coaching *(cf. Eichhorn 2011, original in German)* and can now also be aligned to coaching competence models *(cf. Steinke & Rauen 2018, original in German).*

(3) Matching and selection of a suitable coach

Matching describes the **FIT** of coach and client (system) in such a way that a trusting working relationship can develop. This is explored and ensured either in principle with the recruitment of potential coaches for coaching pools, or on a case-by-case basis through (a) preliminary (telephone) discussions, (b) in-depth personal discussions between the mediator and the coach and/or (c) initial discussions between the coach and the client *(Rauen 2014, p. 62, original in German).* Matching is decided on the basis of formal criteria such as occupation, gender, age (tenure, seniority), the coach's field and functional competence *(e.g. industry experience, divisional or management experience, see Steinke & Rauen 2018, p. 19, original in German),* but also on the basis of the **QUALITY OF THE RELATIONSHIP** between coach and client (system) – i.e. the "chemistry" is right – so that trust can develop and a working alliance be established. Good matching is considered fundamental for successful coaching *(see Baron & Morin 2009, original in German).*

Many companies leave the matching to chance or formally pretend that a client can choose three coaches from the coach pool in the intranet hoping that after the preliminary talks they will choose the right coach. Alternatively, matching works if coaching partners are established in the company – analogous to the structure of HR Business Partners – who have coaching competence and declare themselves responsible for coaching in the respective company, i.e. carry out selection processes and manage the coach pool, maintain relationships with internal and external coaches, ensure their qualification and further development and also identify themselves as being responsible for matching *(cf. Mayer Tups 2018, original in German).*

(4) Establishing contact and clarifying the situation (initial discussion)

If the coach and client come together on the basis of an inquiry and agree on an **INITIAL DISCUSSION**, they get to know each other and the relationship building begins *(Rauen 2014, p. 63, original in German).* The coaches introduce themselves personally and explain their coaching approach and way of working. Coaches have the task of clarifying and abiding by the role difference of businessperson and coach *(cf. Schreyögg 2012, p. 354, original in German).* This is where business partners first sit opposite each other and it must be clarified how the coaching has materialized, what the actual situation in which coach and client meet looks like and how it is understood and how the framework for the coaching can be created and shaped *(Steinke & Steinke 2018, p. 438 f., original in German).* Both sides first examine the prerequisites for successful cooperation *(e.g. mutual acceptance, voluntariness, discretion/reporting duties, functioning work organization that allow coaching to be established, openness and willingness to change, genuine personal concerns, see Rauen 2014, p. 63, original in German).* König & Volmer (2000) suggest that the situation in which coach and client meet must first be defined as a **CONSULTING SITUATION** in order that coaching can be successful at all. They sum up, for example, (a) that a certain problem or challenge of the client is to be the starting point of coaching, (b) that it is not the coach but the client who is responsible for solving the problem or developing a strategy, (c) that the coach supports the client with methods for solving the problem or developing a strategy, (d) that the client has the choice of accepting or rejecting the coach's advice, know-how or positions and cannot be compelled to anything *(cf. König & Volmer 2000, p. 57, original in German).* Furthermore, in order to establish contact and clarify the situation, the coach and client must discuss and settle all personal and business matters outside the actual coaching, such as general expectations, fears and taboos, all organizational matters

(e.g. frequency, location, duration), administrative matters *(e.g. finding an appointment, how to reach each other discreetly by electronic means)* and business matters *(e.g. remuneration, invoicing).* It has to be outlined under which **CONDITIONS** coaching is generally carried out, and it has to be decided that there is a mutual desire to work together. The establishment of contact and clarification of the situation also includes an orientation on the initial situation, the concerns and goals of the client (system) and potential interests of the main stakeholders in the coaching (superior, HR, BR, but also partner, family, children). The coach conducts the conversation and avoids delving too deep into the client's concerns, e.g. by describing the problems of the manager or the HR manager.

Establishing contact and clarifying the situation is a process element that can take place again and again at the beginning of every coaching session, for example when appointments, invoices, disruptions to the coaching process or influences from the organization that affect the coaching are discussed.

2. PHASE:
APPRAISAL AND ASSIGNMENT CLARIFICATION

A professional assignment clarification includes a comprehensive appraisal (diagnostics), the clarification of expectations, interests and coaching goals, the recording of all client topics (concerns and questions) in an agenda, the development of an offer and the acceptance of the offer in a contract. The causes of unsuccessful or non-optimal coaching processes are commonly to be found in mistakes or misjudgments by the coach when clarifying the assignment. The **COACHING CONTRACT** comprises and regulates all essential formal and social prerequisites and framework conditions, as well as the coaching objectives and their performance review between all contract partners who are involved in a coaching process or its realization. This process step takes place either in a one-on-one conversation with the client or in two steps, at first in three-way or four-way talks with the manager and personnel developer/HR and then in a one-on-one conversation between coach and client as a prelude to the actual coaching process. Different concerns and participant aspirations are often included in the coaching prelude, particularly in the case of polygonal contracts within the framework of coaching in organizations. Here, the coach's task is to recognize the different ideas and to reflect them in the coaching process.

The coach has the responsibility to assess the extent to which the clients are voluntary and willing to change the coaching process, and themselves assume or are able to assume responsibility for the implementation (problem area: coaching as a replacement for bad leadership, coaching as the 'final measure' etc.). At the end of this stage, there are objectives and a topic schedule to work on, which are documented in a concept or offer or entered in a contract form. Important in any case: The client and, if applicable, other responsible parties have agreed to the **OFFER IN WRITING**, so that a formal **SERVICE CONTRACT** is also created *(cf. Rauen 2014, p. 64, original in German)*. In brief, this process step can take place in any session and will then lead to a firm establishment, modification or extension of existing contracts (re-contracting).

(1) <u>Appraisal (Diagnosis)</u>

The term "appraisal" is understood to be an in-depth **ANALYSIS** of the client's initial situation and the event that led to the coaching *(Rauen 2014, p. 68, original in German. See also the core questions on reviews).* The coach highlights the situation together with the client and considers the different perspectives of perception (e.g. individual, team, organization).

Möller & Kotte (2013) have developed a diagnostic grid for this purpose that distinguishes between five **LEVELS OF ANALYSIS**: (1) **COACHING BACKGROUND**: age and professional lifestyle options, recommendation background for coaching, initial situation, event and time of request: Why is the client here now? Previous personal solution attempts, previous experience with and attitude towards coaching, notified coaching goal(s), (2) **OCCUPATIONAL BIOGRAPHY** and organizational incorporation: professional history, career stages, current professional function and tasks, organization (structures) and system environment, team and organizational climate, (3) **SHORT BIOGRAPHY**: father's and mother's profession, position in the sibling line, multi-generational perspective (genogram), significant life events (successes, crises, disruptions), current life situation, biophysical system (health, resilience), motivation patterns, strengths and weaknesses, life goals and (unfulfilled) life dreams, (4) **INTERACTION DIAGNOSTICS**: first impression, contact and relationship structure: How does the client treat me? Countertransferences, attitudes and expectations to coaching, (5) **MANAGEMENT TASKS**. The analysis of the client's situation (takes place) using suitable instruments and procedures, such as exploratory discussions, structured interviews, re-constructive

procedures, tests and questionnaires, imaginative processes, action-oriented procedures or evaluation of secondary sources.

In the course of the diagnostic discussion, the coach should guide a multi-perspective orientation. This means that there are also variations between the different paradigmatic levels of the social sciences (individual, interactional, system-related). The appraisal leads to the limitation, definition, structuring and prioritization of the coaching topics in the sense of developing the **CORE TOPICS**.

(2) Iterative clarification of objectives

Objectives play a central role in coaching. *Rauen (2014, p. 69, original in German)* therefore advocates working extremely conscientiously on the development of goals in order to avoid working on fictitious goals and superficial symptoms. Processes of objective setting, refinement and adjustment therefore take place in **SEVERAL PHASES** of the coaching process. We call this phenomenon "iterative objective clarification", i.e. objective clarification that recurs again and again on a new level. For both, the client and the coach, experience a broadening of their horizons during coaching and learn more and more about the actual objectives of it. Thus, it is also possible to work with **OBJECTIVE CORRIDORS** at the very beginning without being able to define "smart, pure, clear goals" yet *(Whitmore 1994, p. 64 f., Lippmann 2013, original in German, Fischer-Epe p. 75 ff., original in German)*, whereby care must be taken to distinguish objectives in the direct sphere of influence from those which lie only in the indirect sphere of influence and which are not only by the client but also by other factors *(Rauen 2014, p. 69, original in German)*.

Fischer-Epe *(2018, p. 44, p. 198 f., original in German)* therefore proposes a **MATRIX** that relates (a) person, (b) team and (c) organization to fields of competence such as (d) technical and field competence, (e) methodological competence, (f) social and personal competence, (g) strategic competence. Whereby only personal goals can be located on at least six different levels: (a) level of behavior, (b) level of abilities and action strategies, (c) emotional level, (d) level of values and principles or basic principles and beliefs, (e) role level, (f) meaningfulness and belonging *(Steinke & Steinke 2018, p. 428, original in German)*.

(3) Offer and contract

A coaching offer usually contains statements on at least the initial situation, the setting of objectives, the procedure (agenda, subject schedule), volume as well as remuneration and general conditions that are still of formal importance. As a rule, an offer also refers to the **FRAMEWORK CONTRACT** and the coaching concept (of the organization or coach) within which the coaching takes place, as well as, if applicable, to the general terms and conditions of the external coach. The coach must ensure that non-personal data is made known through the offer, e.g. through the **PSEUDONYMIZATION** of offers.

A contract is a **TEMPLATE OF SECURITY AND PROTECTION** for interacting partners in a financial, institutional, content-related and emotional sense *(Schreyögg 2012, p. 352, original in German).* Contracts are not concluded out of mistrust, but to create clarity and commitment *(cf. Rauen 2014, p. 65, original in German).* We distinguish between a formal contract and a social or psychological contract. As a rule, a coaching contract is a **SERVICE CONTRACT** because a service is provided, and an agreed-upon remuneration is paid for it. It is not a contract for work where a workpiece is delivered and remunerated, provided it is successful *(cf. §§ 611, 635 German Civil Code BGB, original in German).* In coaching, so-called **TRIANGULAR CONTRACTS** and **QUADRILATERAL CONTRACTS** are used *(Limpächer 2003, original in German).* Triangular contracts are agreements between manager (employer), client and coach, quadrilateral contracts are agreements between manager (employer), HR (mediator), client and coach.

Contracts contain information on the number, duration, intervals between individual coaching sessions, total duration of the coaching, places where the coaching takes place for logical reasons, persons involved in the coaching or the setting and number of participants, the goals and objective corridors of the coaching, concept and procedure, confidentiality, reporting obligations and information requirements, liability of the coach, fee amount, cancellation periods and cancellation fee regulations, license fees for test procedures, assumption of costs for room rental, moderation material, travel costs, expenses, etc. as well as information on invoicing, payment methods and payment periods and, if applicable, an anti-sect declaration *(cf. Schreyögg 2012, p. 354, Rauen 2014, p. 64, original in German).*

The **PSYCHOLOGICAL CONTRACT** specifies the rules of the joint working alliance *(see Raeder & Grote 2012, original in German).* These include: a common basis with regard to ideological orientation, the willingness to question oneself self-critically, sufficient self-reflectivity and the willingness to deal seriously with personal issues, the ability to understand and the willingness to change, conviction with regard to the necessity and effectiveness of coaching, assumptions, expectations, fears with regard to the coach and coaching, trust in the approach and the use of methods in coaching (esp. use of non-manipulative methods), agreement regarding the extent of the desired change, knowledge of the realistic possibilities and limits of coaching, taboo zones, i.e. respect for topics and areas of reflection that should not be the subject of coaching, the coach's dealings with the client outside of coaching, e.g. when meeting privately by chance *(cf. Rauen 2014, p. 65, original in German).*

The client normally has the possibility to decide after an **INITIAL DISCUSSION** whether the coaching should take place with the coach or not. Here it is important for the coach to define at a very early stage which part of a discussion – free of charge for the client – serves to establish contact and clarify the situation and from which point in time the appraisal and clarification of the assignment begins, i.e. the services of the coach become chargeable. In doing so, the coach should always allow the client sufficient time to make a decision. The decision as to whether the coaching will take place is also made by the coach. They must decide whether they are willing and able to accept the assignment on the basis of the code of ethics, their competence, their assessment of the feasibility of the coaching issue, their assessment of the client's ability to change and their relationship with the client. If necessary, a special agreement or an exclusion of specific concerns not suitable for coaching must be reached.

3. PHASE:
RECONSTRUCTION OF CONCERNS AND CONTEXT EXPLORATION

The assignment clarification serves to identify the goals and core issues, to forge them into a meaningful procedure and to fix them in a suitable agenda. Whenever a new topic or further concern from the agenda is invoked and addressed, a precise reconstruction is required in order to understand and specify the concern in its specific context in greater depth. The reconstruction is originally an **INTERVENTION**

METHOD of psychoanalysis *(Thomä & Kächele 2006, p. 282 ff., original in German).* In the reconstruction of concerns and context exploration, coach and client delve deeper into a specific concern of the client and explore everything. How exactly did the situation arise? How is the condition of the organizational context? Who is involved, who reacted and how? The initial situation and development of the concern, the specific key experiences with people, all inner, emotional-motivational and outer, systemic aspects of the overall situation are examined in detail. In the end, there may be a more precise or amended objective.

(1) Report and reconstructions

Hauser (1991) states that at the beginning of a coaching session, there is always a report from the client which serves to explore their perception and evaluation of the situation and to develop a suitable procedure. At the beginning of a sequence of several coaching sessions as well as at the beginning of a single session, there should always be a detailed report from the client. In this report on experiences – at the beginning of a sequence of several coaching sessions as well as at the beginning of a single session – the client produces constructions of a (past) situation without being fully aware of what was real. Schreyögg also finds that every coaching starts with a **FIRM ESTABLISHMENT OF THE CONCERN** which the client initially experiences as vague discomfort or experienced incapacity, because they do not have sufficient interpretative patterns for the subject presented and no suitable behavior patterns for coping with them *(Schreyögg 2012, p. 195, original in German). Visualization and scenic vivification (Schreyögg 2012, original in German),* i.e. the use of so-called experience-activating methods *(Schulz von Thun 1996, original in German),* serve to reconstruct the practical situation, not only linguistically and analytically, but also in an experiential way, and in doing so also have the purpose to update subconsciously or unconsciously retained aspects of reality.

(2) Contextual analyses

Systemic or organizational context also forms part of reconstruction. Context exploration in coaching generally includes the reconstruction of the client's position, role(s) and **LIFE SITUATION** *(Holzkamp 1985, p. 197 f. original in German)* – including the "not yet" and "not anymore" realization of position and role(s), – the reconstruction of social systems, their interaction structures and rules that are relevant to the client's concerns *(cf. König & Volmer 2000, p. 180 ff., 201 ff., Lohmer &*

Möller 2014, original in German), but also the reconstruction of structure (formal and informal aspects), culture and processes within the client's organization in its relevant sections and progressive forms *(Simon 2007, Kühl & Muster 2013, original in German).*

(3) Goal adjustment and key question(s)

The exploration of concerns and contexts is characterized by a professional, focused and quality-oriented use of analytical instruments depending on the client's questioning. The result is a clear picture of the situation, with the aim of the client's extended reflection on their situation (clarify, sort, tidy, make visible, etc.). At the end of a reconstruction of concerns and context exploration, there will usually be a deeper understanding of the overall situation and a modified, more **PRECISE OBJECTIVE SETTING** to work on. It is certainly advisable to formulate these as individual concerns in question form, beginning with: "How can I...?", "How do I succeed in...?", "How do I do it...?" A subject will turn into a concern only if one is personally affected by it and can connect it with a question *(cf. Schulz von Thun 1996, p. 27, original in German).* When formulating a concern, it is important that (a) an open question is included, (b) that the word "I" appears in it, (c) that the question contains a positive direction (rather than "not", "less", "none" etc.), (d) that the attainment of the goal is at least partly under the control of the client *(cf. Schulz von Thun 1996, p. 27 f., original in German).* Additionally: The coaching goals are often **REDEFINED** or refined in this process.

The results of the situation analysis are set in relation to the coaching goals developed at the beginning. The results may give rise to new objectives or sub-objectives. In the course of the coaching, a target hierarchy is developed and the fit to prescribed targets is checked by the superior manager or the organization. Occurring **GOAL CONFLICTS** must be addressed. In the case of unresolvable goal conflicts, it must be decided together with the client how the facts are to be communicated to the other persons involved and how the coaching can be continued.

4. PHASE:
CONSOLIDATION AND PATTERN CHANGE

It can be observed – and is often discussed in the literature – that in coaching sooner or later a phase of deepening self-reflection and role-reflection begins, which

is referred to differently, e.g. awareness help, recruitment assistance, decision support *(Vogelauer 1999, p. 51 f., original in German)*, change phase *(Rauen & Steinhübel 2001, original in German)*, theme-centered consolidation *(Fischer-Epe 2002, p. 154, original in German)*, focusing on individual barriers *(Struck 2006, p. 182 ff., original in German)*, resource activation and pattern state change *(Berninger-Schäfer 2015, original in German)*, processing *(Albrecht 2018, original in German)*, consolidation: conciseness of the feelings, principles, patterns, resources in question *(Steinke & Steinke 2018, original in German)*. Ryba *(2018, p. 478, original in German)* examined the role of unconscious processes in coaching, which are given priority in this phase, and came to the conclusion that **UNCONSCIOUS AND PRECONSCIOUS INTUITIVE PROCESSES** are very important for coaching. She identifies five elements that are important for the development from a cerebro-organic point of view: (a) insight and experience, (b) catharsis/regulation, (c) reorganization of memory content, (d) procedural practice of new ways of thinking, feeling and acting, (e) goal clarity and evaluation.

In the coaching phase, consolidation and pattern change are thematized as inner reactions of the client. Here, **EXPERIENCE-ACTIVATING METHODS** contribute to identifying, questioning and transforming patterns of action, to thematizing and changing the values, principles and frame of reference for the evaluation and experience of events, processes that clarify feelings and attitudes take place, connections in the outer world are recognized and processed and **PERCEPTION** is intensified. This includes the perception of the "relationship dynamics" here and now between coach and client *(cf. Steinke & Steinke 2018, p. 441 f., original in German).* This is where the linkage to internal resources takes place *(cf. Berninger-Schäfer 2015, original in German)*. During this phase, a coach concentrates on the repertoire of methods of process support *(Lewin 1948, Radatz 2000, p. 93, Backhausen & Thommen 2003, p. 105, original in German)* and clarification support, the support of the client's intra- and inter-psychological clarification processes:

In coaching we eventually reach a point where more verbalization no longer leads to a deeper understanding or better clarification. For this reason, Thomann & Schulz von Thun *(1988, p. 40 f., original in German)* recommend supplementing cognitive recognition and formulation in words with attitudinal and emotional experience by means of drawings, pictures, imaginative role plays, analogies, graphic **REPRESENTATIONS** and materializations of essential aspects of inner experience. Initial studies prove the promotion of self-reflectivity and self-change processes in

coaching through the use of such methods: In Messerschmidt's study *(2015, p. 363, original in German)* it was discovered how images establish a connection between consciousness and unconscious processes, enable access to one's own self and can contribute to identifying important life issues, unconscious needs, essential concerns, resources and competences. At the end of this phase there are usually more or less profound insights, which as a rule already contain solution approaches.

We cannot give this phase of the coaching process a clear operational structure; the working process is too individual, too varied. It therefore makes sense at this point to refer to the first results of interactionist coaching process research if we want to ask ourselves and present what happens during this phase of the coaching process, and to approach the question of what constitutes the quality of the coaching process. Thus *Geißler (2009, 2017)* has identified **CONTENT ANALYTICAL CATEGORIES** in his "survey" of coaching processes:

(1) The coach's activities with which he shapes the relationship with the client: indicating awareness and appreciation, questions, reflections, self-revelations, explanations/interpretations/options for action, feedback, providing information, planning of procedures, invitation to activities,

2) Formal client activities: focus, reflect/analyze, evaluate, develop action plans,

(3) Reference objects to which the formal client activities refer: general problems, client intentions, conditions of the problem situation, action / decision during the problem situation, consequences of an action / decision and development, consequences of a context event / context change, temporal position of the reference object (e.g. present, past, future), social point of view of the reference object (from the client's point of view, from the point of view of an "inner team member", from the point of view of factual others, from the coach's point of view, from the point of view of an ideal other), temporal point of view of the reference object (from the present, from the past, from the future), mode of reality of the reference object (factuality, contingency of the reference object), assessment of the reference object (positive, negative, no assessment)

5. PHASE:
SOLUTION AND STRATEGY DEVELOPMENT

Solution approaches, options for action and projects or process or structure-related changes (project plan) are derived from the defined coaching goals. Whitmore *(1994, p. 88 ff.)* already makes it clear how important the development of options for action in coaching is, and calls this "maximizing choice". All coaching process models contain this coaching phase. Coaching consists of opening up **SPACES FOR REFLECTION** which are not available to us in everyday actions. It often makes sense, only after a deepening, resource activation and change of patterns, to intensively analyze and systematize what is available, to find explanatory models and to develop hypotheses as to what might be helpful or work in the client's field of action. What possibilities are there to solve a problem, to master a challenge? Options for solutions and **ACTION ALTERNATIVES** are created, which are first collected and compared with one another before any solution decision and suitable action strategies can be made. Opportunities and risks, advantages and disadvantages, pros and cons of options are addressed and weighed up. Actions, procedures and whole strategies are planned concretely (who, how, what, until when, with whom?). The handling of possible barriers, obstacles, adversaries is developed.

(1) Developing options

During this phase, various good solution approaches to the client's problem or challenge are first developed before a suitable approach is selected. These solutions can lie within the client (e.g. overcoming obstructive beliefs) at the behavioral level (overcoming dysfunctional or ineffective behaviors), and can be of a very tangible operational nature (e.g. changing the way an employee or team is dealt with) or strategic nature (e.g. concerning a reorganization) *(cf. Fischer-Epe 2018, p. 207, original in German).*

The procedure during this phase depends on the **BASIC SOCIAL SCIENCE ORIENTATION** that a coach works with.

Lippmann *(2013, p. 45 ff.)* proposes working in a systemic solution-oriented tradition: (a) to work on previous solution attempts, (b) to focus on exceptions and "solution experiences", (c) to collect (further) solution ideas and examine options, (d) to design solutions taking into account cost-benefit analyses and, if necessary,

(e) to coach inner ambivalences and, if necessary, to develop completely new objectives.

Albrecht *(2018)* works in the phases (a) hypothesis formation, (b) environment analysis, (c) problem solving (in six steps)

Fischer-Epe *(2018, p. 208)* refers to the importance of "resources", some of which are already identified in Phase 4 (consolidation and pattern change). These can be psychological resources which help to solve problems and achieve goals (e.g. inner strengths, life experiences, talents and competences), but they can also be material resources and other possibilities of external support.

(2) Developing strategy

During this phase of the coaching process, it is a matter of further developing the previous work on options into a decision, to draw up an action plan that meets the previously carefully defined requirements *(Whitmore 1994, p. 96)*. In this process step, the coach and client agree on the procedure for the implementation phase in the coaching process. This includes (a) **PRIORITIZATION**, i.e. the selection of suitable options, a reality check and the development and prioritizing of the approach... The process step leads (b) to **AGREEMENTS** on the procedure: Development of a joint **PROJECT PLAN** (strategy) to achieve the coaching objectives. Whitmore *(1994, p. 57 f., 96 ff.)* contributes to this phase in the coaching process with his "What, when, who, will": (a) What are you going to do? (b) When will you do it, (c) Will the action lead to the desired goal? (d) What obstacles might you encounter? (e) Who needs to know? (f) What support do you need? (g) What other considerations do you have? (h) On a scale of 1 to 10: How sure are you that you will carry out the agreed actions? *(cf. Whitmore 1994, p. 97–99)*.

6. PHASE:
IMPLEMENTATION SUPPORT

This phase contains the actual change process and can therefore also be described as the **ACTION PHASE**. This is where the coach accompanies the client to achieve the coaching objectives. The support can take place off-the-job in coaching sessions or on-the-job in the client's everyday life. **REFLECTION**: Together with the client, the coach examines the implementation of the planned changes, provides feedback and orientation, and assists as a competent companion. Additional know-

how is often required to deal with or overcome a situation, which the coach has to inject and sometimes delegate to other experts for development. Also, reaction and behavior patterns may be tested and practiced specifically, factors crucial for success are thematized precisely and the client is adequately prepared. Here a lot of practical training, simulation in role play or role exchange and the transfer of the reached solution into the anticipated real situation are taking place.

(1) Trial action

Wherever solution approaches and strategies lead to communicative action, it can be helpful not only to work reflexively, but also to act out decisive interactions in the form of **DIRECT BEHAVIOR TESTS**, and if necessary, to practice them properly. This is mostly done with the help of psychodramatic or gestalt-oriented forms of work *(Schreyögg 2012, pp. 292-312, original in German)*, such as imaginative role plays, experiments and simulations, mirroring of the client, role reversal or role change, presentation of behavior and feedback, imaginative and awareness exercises, etc.

(2) Learning process support

While in learning and working groups, the didactics (the objectives, the arrangement of educational knowledge, the methods) are primarily geared to the topic, in individual coaching the learning and working process is geared to the clients – their "psycho-logic" – and their concerns. It is similar for group coaching. The events there are geared to the processing of the "socio-logic" of the group. From the objective world to which coaching is related, very specific knowledge structures, very specific compatible methods as well as specific learning contents, which in turn can be available as practical knowledge or experiences, can play a role. For the coach, this means that they must be thematically and methodically prepared to communicate issues in a way that is centered on the specific situation *(cf. Steinke & Steinke 2018, p. 107, original in German).* This is basically a very highly developed **DIDACTIC COMPETENCE**, which we know from what we now call learning (process) support *(cf. Bauer et al. 2006, but also Arnold 2012).*

(3) Transfer

The coach supports the **CHANGE PROCESS** of the client system with various methods. In this context, on-the-job support, diaries, homework, exercise and

training sequences and reflection phases can serve as methodological support to ensure the sustainable implementation of the change. The coach can support the implementation in the action areas in the form of **SHADOWING** or supervise the implementation of the solution approaches and strategies in the field by means of audio or video shadowing using recordings in the action areas.

7. PHASE:
<u>COMPLETION AND EVALUATION</u>

The professional commencement of a coaching process requires an equally professional conclusion. At the end, matters are summarized and cleared up, **LEARNINGS** are synopsized and final open aspects are structured and preconceived for further work. The coaching is evaluated, which can take place on the level of structure, process or result quality and applies not only to successful coaching processes, but also to discontinued or unsuccessful ones.

The aim of the process step is **FORMAL CONCLUSION**, the summary of achievements and what remains open, as well as the mutual feedback between coach and client. If triangular or quadrilateral contracts are concluded in the initiation phase, the other persons involved (manager, HR manager) are involved again in the final and evaluation phase. If all this applies to the end of a coaching session, appointments will be made for the next unit.

(1) <u>Review discussions</u>

In coaching, different types of coaching process reviewing are used, which are best carried out in the personal presence of the roles involved in the coaching or in video conferences:

(a) <u>Interim review:</u> Depending on the organizational design of the coaching process, jointly developed feedback on objective-setting, on the achievement of objectives or intermediate results will be given to the senior manager or the personnel development manager via the coaching process. Achievements and pending issues are documented.

(b) <u>Checkpoint review:</u> Intermediate feedback can also be given in scheduled milestone meetings with the manager and/or the HR manager, using documents specified by the organization.

(c) <u>Final review:</u> In the final discussion, the coaching process is formally concluded. The interview can initially be between the coach and the client, or in a second stage between all or some of the people involved. Firstly, this includes an evaluation of the achievement of objectives in coaching and an evaluative review: What has been achieved, what is still outstanding? In addition, this includes naming further, subsequent steps to ensure the success of the coaching in the long term. Thirdly, this includes the follow-up of the coaching through the coach who conducts an individual concluding reflection of the coaching process, e.g. in the form of supervision or peer consulting.

(d) <u>Steps, discontinuation:</u> During the coaching, new topics, unexpected developments or obstacles may emerge. Therefore, the coaching process can be re-started at different process steps if, for example, changes in the contract or new analysis steps become necessary in order to shed light on a changed situation and to define a new goal. Coaching can be discontinued for a variety of reasons. Possible reasons can lie with the client, changes in the organization or other framework conditions, or the coaching process as designed by the coach. If the coaching was initiated from within an organization, a clarifying review with the persons involved must take place in any case, with the aim of a professional process conclusion (clarification, consequences, feedback, quality assurance for further coaching processes).

(2) <u>Evaluation</u>

When evaluating coaching processes, the structural, process and result quality of the coaching can be viewed *(cf. chap. 2.7).* The evaluation can already take place during the review discussion or be carried out separately through the use of evaluation instruments – now often available online as well. This can be done from the following perspectives:

» Interviewing the client (interview, questionnaire),

» Interviewing the manager (interview, questionnaire),

» Surveying the client system in the client's environment,

» Systematic evaluation of several coaching processes from the above-named perspectives,

» Consultation of 360-degree feedbacks and other evaluation procedures.

The evaluation is carried out using **STANDARDIZED INSTRUMENTS**. For this purpose, organization-specific or generally accepted interview guidelines or questionnaires can be used, which can also originate from the coach. Each coach has standardized evaluation tools which are coordinated with the employer and/ or client as early as possible in the initiation phase. Due to the multi-faceted nature and the interdependence of effects the success of coaching should not be judged solely on the basis of economic or other organizational indicators. The **EVALUATION INSTRUMENTS** should integrate coaching competences *(cf. Steinke & Rauen 2018, original in German)* or findings on interaction-related and emotional effects that coaching can have, which arise predominantly within the framework of impact factor research. *Greif (2008, p. 148 ff., 2009, 2015, original in German)* lists the following success factors for coaching: appreciation and emotional support, affective reflection and calibration, result-oriented problem reflection, result-oriented self-reflection, goal clarification, resource activation and implementation support, evaluation of progress over time. The content elements of the evaluation are:

(a) Feedback: Coach and client use the review discussion for mutual feedback on the coaching process and the interaction within it. This takes place at the end of a session and again at the end of the entire coaching process. The HR manager has the coaching assessed by the client. The coach provides process feedback to the manager or HR manager while upholding the confidentiality of coaching content and agreed rules on reporting obligations.

(b) Lessons learned: All participants use the experience gained during the coaching process as well as the coaching results for critical reflection, e.g. to optimize the coaching in the organization or to further develop the coach's competences. This takes place in the final review and furthermore for the coach in supervisions and peer consulting.

Further details on the evaluation can be found in *chapter 2.7.*

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2.4 PROFESSIONAL STANDARDS FOR EDUCATION AND TRAINING

Ingo Steinke, Christopher Rauen

2.4.1 Definition

We speak of coaching education as defined by the German Federal Association of Business Coaching (DBVC, regist. association in Germany) and International Organization for Business Coaching (IOBC) by this compendium if it involves **QUALIFICATION** for the role of an organization's internal coach or an external, independent coach and the following criteria are met (*cf. Rauen 2018, p. 47, original in German):*

Coaching education

- » is based on the code of ethics and the DBVC's and IOBC's understanding of its role and professional standards in this compendium,

- » is based on a competence model and a qualification concept that integrates the standards mentioned here,

- » is didactically reasonably structured and is carried out in a structured way,

- » takes place with the support, guidance and supervision of qualified instructors,

- » serves the acquisition of technical and methodological competences as well as proven field and functional competences,

- » the development of social and personal competences and

- » and the conscious self-transformation and self-development of the participants,

- » who already have initial education and professional experience.

Coaching education should comprise at least **150 HOURS** of interactive activities, 250 hours are recommended (without self-study, creation of presentations, etc.; *see Stiftung Warentest 2013).* The total duration of the role maturation or qua-

lification period should be at least **ONE YEAR**; a period of 18 months is desirable. Short training sessions or similar are therefore not part of coaching education. Consultant, trainer or psychotherapist education do not count as coaching education either, because they are usually based on other competence models and deal with other topics *(see teaching content and methods imparted).* "A good coaching education stands or falls with a meaningful **OVERALL CONCEPT**, which confronts the critical discussion and examination by science and practice. Central to this are a clear knowledge structure, the emergence of a consultative identity, the creation of a meaningful learning architecture, the localization with regard to other consulting formats, the reflection of access requirements and motives as well as the experience and competence of the trainers" *(Möller et al. 2011, p. 30, original in German).*

2.4.2 The educational provider for Business Coaching

The basic requirement for a provider of coaching education to be certified by the IOBC is that they are an experienced and qualified provider: They have been successfully represented on the market for at least five years, have been offering coaching education for at least three years and run coaching education at least once a year. The Senior Coach (IOBC) is responsible for the content of the curriculum and personally been involved in the implementation of the coaching education(s). The provider shall produce an anti-sect declaration. Their overall offer corresponds to the **QUALITY AND VALUE STANDARDS** of the IOBC, in particular also those of the Quality Conference of the Educational Providers for Business Coaching (IOBC) in their respective most recent version. They should participate in the discussion about coaching through publications, evaluate their own services and procedures and participate in scientific studies. They resolutely oppose any misuse of a content-related or formal nature through coaching activities.

The organization and efficiency of the training provider are decisive for the training quality (structural quality). However, a large part of the coaching education sector consists of small providers with low turnovers. The educational providers for Business Coaching united in the IOBC are characterized by the following **STANDARDS**:

(1) Proper business operations

The educational provider for Business Coaching organizes their company and event according to the principles of proper business operations and the criteria of respectable conduct on the market. Firstly, this includes an adequate infrastructure, organization and number of employees for their services. Owners, salaried employees and freelancers are recognizable to outsiders and portrayed in different ways so that, for example, it is possible to recognize whether it is a network or an organization. The **SERVICE PORTFOLIO** is clearly defined, and performance promises are transparent. Owners and employees are characterized by professional conduct, i.e. they act professionally, with integrity and commitment (in language, manners, external appearance, etc.) and thus represent the **PROFESSIONAL ETHICAL STANDARDS** of the IOBC externally and internally. The size, quantity and equipment of the workspaces are appropriate to the education concept and make a reputable impression. All data (customer, personnel data, etc.) is treated confidentially and systematically managed in compliance with the statutory data protection regulations. The company works in solid economic conditions and with sustainable policies. The prices are transparent and consistent with the price-performance ratio.

(2) Market presence

The educational and training provider shall publicly disclose its IOBC affiliation and the associated quality standards. The acquisition and marketing strategy are professional and appropriate to the service. The communication performance and correspondence are professional and reliable. Accessibility is clearly regulated and transparent. The **COMPANY PRESENTATION** (web presence, company profile, brochure, flyer) is professionally and attractively designed for the clientele. References and performance records are convincing and verifiable. They will only be used in accordance with the customer, in the agreed manner and with due regard for the statutory data protection regulations. Fairness, respect and appreciation are the cornerstones of competitive behavior and dealing with industry peers. The provider avoids derogatory defamation of customers or disseminators.

(3) Personnel and management

Through proper personnel deployment planning of the resources of all educational training measures and course planning for individual measures, the conditions are created so that any commenced and expected training can be completed properly and on time. The provider ensures that responsibilities for **QUALITY MANAGEMENT** are regulated and that all permanent and freelance employees are integrated into the process of quality assurance and quality development.

(4) Client orientation

The educational and training provider presents those interested in continuing education with a comprehensive, consistent insight into the structure and **SELF-PERCEPTION** of their education via its external appearance and advertising materials. It should be possible for a potential education and training participant to quickly gain an impression of the provider through comprehensible and verifiable statements on the following aspects:

- » on the legal form,
- » on the organizational structure: What is the continuous education according to IOBC criteria, what are the company's other products? Which target groups participate in which measures etc.?
- » on the training venues,
- » on the qualification profiles of the employees,
- » on integration in the coaching and coaching education market through membership in certified associations and cooperation with market-relevant institutions (e.g. organizations, universities),
- » on the education offer in terms of content and form, contract-relevant regard,
- » on the provider's education concept or curriculum and competence model,
- » on the complaints processing and problem-solving procedures (e.g. checklists for participation requirements, clarification authorities and procedures, contact persons, reference to the Council of Experts),
- » on the definitions of success (e.g. "participation in education", "verified" graduates, "prepared" coaches) and certification conditions.

The educational and training provider advises interested parties on the individually tailored training offer, checks the participation requirements and suitability of his/her offer and, if necessary, does not authorize interested parties, but recommends an alternative. The educational and training provider informs about the **TRAINING CONCEPT** (target groups, goals, didactics, contents). The perspectives taken into account in the education and the competences to be acquired through them (performance promises) are realistic and clearly identifiable. Process and content fit together. The educational and training provider shall provide information on the educational qualification, possible examinations and, if necessary, any related costs as well as on the certificate of completion and its recognition on the market. The general terms and conditions and education contracts are known before conclusion of the contract.

(5) Teaching coaches

Teaching coaches have the task of designing, implementing and representing the content of coaching education methodically and didactically. They are also responsible for the evaluation and further development of education. They shape the relationship and interaction with the participants in such a way that the goals of the education are achieved within the framework of a defined **DIDACTIC** and the participants are accompanied and qualified accordingly in their individual development as coaches. The teaching coaches are often a **ROLE MODEL FOR** the participants. This requires many years of corresponding professional experience as a coach and a certain personal maturity in connection with comprehensive social-communicative, methodical and factual competences, as well as broad field and functional competences. Teaching coaches convince in their personal integrity, above all by their high ability for self-reflection, dialog ability, credibility, trustworthiness and integrity, and they orient themselves on the business conduct of an "honorable businessman" *(cf. Rauen 2018, p. 58, original in German).* Furthermore, it is important that the various teaching coaches used in coaching education "cooperate with each other and work conceptually in a similar way" *(Stiftung Warentest 2013, original in German)* A teaching coach should have the following minimum requirements:

» university degree in human, social or business orientation,

» be at least 35 years old,

» have at least 10 years of work experience in business, of which at least 5 years were as a coach,

» leadership or management experience (e.g. manager or project manager) in organizations and integrated organizational knowledge,

» completed coaching education as business coach or executive coach,

» written proof of qualifications, references (certificates) and completed supervision units,

» personal suitability to act as an example and role model for the participants and to assume a support function for the participants,

» ability to think and work in a scientifically substantiated way, willingness to process relevant research results as well as corresponding literature sources and integrate these into further training in coaching,

» ability and willingness to work according to the IOBC code of ethics and coaching principles.

A teaching coach should have qualifications and a considerable personal development and **EXPERIENCE-RELATED ADVANTAGE** over the participants in those competences, without letting the participants sense a hierarchical divide.

The educational and training provider shall ensure the qualification and professional development of the teachers working in education and their cooperation under his/her direction.

2.4.3 Target group for coaching education

On the one hand, the target group for coaching education is people who intend to work as internal coaches in an organization or as external, independent coaches; not infrequently also people who already carry out coaching and wish to professionalize their role as coaches *(cf. Rauen 2018, p. 58, original in German).* In addition, **MANAGERS** and people with control functions also use coaching techniques as a "communication skill" *(cf. Deegan 1979)* or the coaching attitude as an enrichment of their variety of interventions in the role of manager (ibid.), likewise **SELF-EMPLOYED PERSONS** and owners of small and medium-sized enterprises. HR Managers and **PERSONNEL DEVELOPERS** also use the contents of coaching education, on the one hand for their role clarity and support function, and

on the other hand for coping with the coaching situations they are confronted with. In addition, they often find themselves in the role of selecting suitable coaches for the coaching pools within their organizations. After all, many consultants, trainers, mentors, moderators and process facilitators (change managers), mediators, lecturers and other teachers (schools, vocational schools, universities) as well as members of social and medical professions now use coaching as a supplement to their core competence *(cf. Steinke 2017, original in German).*

(1) Requirements

Participants in education should meet at least the following requirements *(cf. Rauen 2018, p. 58; Scholmüller 2012, p. 83-86):*

» be at least 30 years old,

» completed initial vocational education or degree *(Lippmann 2015, p. 58, original in German),*

» 5-10 years professional experience in the commercial sector or in working with people,

» field and industry knowledge, which makes it possible to work as a coach,

» personal or social-communicative aptitude (e.g. empathy, ability to self-reflect),

» a functioning self-management, frustration tolerance and emotional stability *(Rauen & Steinhübel 2005, p. 307, original in German),*

» voluntariness of participation, "i.e. participants should not complete the education out of unwanted obligations" *(cf. Rauen 2018, p. 59, original in German).*

Participants should be able to see for themselves organizational or internal relationships, role requirements and their effects on life, work and personality, directly or indirectly (e.g. as the life partner of a manager). The participants should have the basics of an academic **CAPABILITY FOR REFLECTION** or a critical-reflexive capacity to act. The willingness to change one's own models of thinking, behavior and communication patterns as well as interest in the development of one's own personality and behavioral role(s) is always a prerequisite.

(2) Participant groups and group size

A heterogeneous composition of participant groups is usually advantageous, as this realistically depicts the organizational or professional reality of the future clients, is enriching for the learning processes and different target groups can benefit from each other; in other words, a mixture of

» male and female participants,

» various professional backgrounds (e.g. engineers and social scientists),

» different ages,

» different industries,

» various functional areas (e.g. production, service provision, sales),

» organizational hierarchy levels,

» prospective internal and external coaches (e.g. personnel developers and consultants).

However, "the target setting of the participants should be so compatible with each other and with the offer of the educational provider for Business Coaching that the participants can ideally support each other in their learning" *(cf. Rauen 2018, p. 59, original in German).* It is also desirable that every participant in the participant group finds at least one practice partner "on an equal footing".

A group of participants includes at least 6 and at the most 15 people. Reasons for exceeding this group size should be well-grounded and, in particular, not be at the expense of the support intensity *(cf. Rauen 2018, p. 51).* "In any case, face-to-face contacts should still be possible in a plenary session" *(cf. Schreyögg 2012, p. 391, original in German).* "A lecturer should not supervise more than ten participants, i.e. in larger groups (at least) one additional lecturer should be permanently available" *(cf. Rauen & Steinhübel 2005, p. 302, original in German).* A shortfall of this **GROUP SIZE** should also be well justified; otherwise the group would be too small to produce an appropriate diversity in the exchange of experiences and argumentation patterns in order to inductively illustrate methods inductively from the group events *(Schreyögg 2012, original in German).* Small groups offer an advantage, however, if the aspiration is to learn as individually and personally as possible *(cf.*

Rauen 2018, p. 50, original in German). The participants enter into quasi-real coach-client relationships and pursue their respective personal and methodological development processes over the entire training period; something that makes sense, especially for coaching education.

2.4.4 Education objectives

Coaching education should enable the individual to coach autonomously in his or her role as an internal or external independent coach in compliance with **PROFESSIONAL STANDARDS** *(cf. also Rauen 2018, p. 55, original in German)* and regardless of the context in which coaching is later applied *(see section 2.6.2 Target group of further training).* Against the background of their existing professional competences (training, studies) as well as field and functional competences (e.g. in staff or management functions), the participants should acquire **COACHING METHOD COMPETENCES**, expand their social-communicative, personal and professional competences as well as adopt field and functional competences so that they can act as coaches in a role-adequate manner in the world of work or in the organizational context (for the competence model *see chapter 1.6).* A coaching education develops the necessary self- and role awareness (attitude), trains the necessary self-awareness and ability to reflect (reflection competence) as a coach and the practical ability to act (action competence) in order to be able to apply intervention methods. This requires "conscious self-transformation and self-development aspects that can therefore also be regarded as objectives of coaching education" *(cf. Rauen 2018, p. 56, original in German).*

"The goal of a coaching qualification should (also) be that a participant can ultimately develop a **COACHING CONCEPT** that suits him or her" *(cf. Lippmann 2015, p. 55, original in German).* This should meet the following criteria: 1) a definition of one's own coaching approach and understanding, including distinction from other measures, (2) a description of the methods used in coaching and their cause-effect relationships in the coaching process, (3) the necessary basic requirements and framework conditions along with exclusion criteria for coaching, (4) the concrete offer of the coach including its specific characteristics, (5) the attitude towards his or her environment and the coach's view of humanity, which also includes fundamental questions about the feasibility or attainability of goals *(cf. Rauen 2018, p. 55 f., original in German).*

The concrete **EDUCATIONAL OBJECTIVES** of the special coaching education are outlined in the curriculum of the educational and training provider. The formulation of learning objectives is based on a recognized concept of learning objective dimensions or learning objective taxonomy *(cf. e.g. Bloom 1956, original in German):* Learning objectives can, for example, be differentiated according to the dimensions (1) cognitive learning objectives (knowledge, intellectual skills), (2) affective learning objectives (change of interests, attitudes, values) and (3) psychomotor learning objectives (motor, manual skills). The cognitive learning objectives follow, for example, the learning objective taxonomy: (1) Know, (2) Understand, (3) Apply, (4) Analyze, (5) Synthesize, (6) Evaluate *(Bloom 1956, p. 18, original in German).*

The general rule is: The educational and training providers for Business Coaching discuss the further goals of education, in particular the professional coaching action competence to be acquired individually, with their interested parties. The background of their vocational primary competences and previous experience must be taken into account, as well as the professional goals with the completion of education to examine their feasibility. In this way, they ensure in advance that each participant can develop a coherent coaching concept according to their needs. The **INDIVIDUAL LEARNING OBJECTIVES** are not fixed during the education, but can also change in the course of the coaching education. It is therefore necessary to conduct a transparent dialog between educational and training providers and participants on this issue according to the circumstances.

2.4.5 Teaching content and methods imparted

Coaching must be conceived in a **MULTIPARADIGMATIC** and **MULTIDISCIPLINARY** way *(cf. Fuoss & Troppmann 1981, original in German).* Coaching education should basically consider different theoretical references and 'schools of thought' so that flexibility and the ability to change perspectives are not only conveyed hypothetically" *(cf. Rauen & Steinhübel 2005, p. 305, original in German).* This means that philosophical, sociological, pedagogical, psychological and economic elements must be integrated into an educational concept. Schreyögg (2012, p. 160) suggests that this is not always possible without further ado. Behaviorism, for example, emerged as a countermovement to psychoanalysis whereas gestalt psychology came into being as a counter-movement to association psychology, while systemic psychology resulted as a counter-movement to all others.

According to Schreyögg (2012, p. 160 ff.), coaching and thus also coaching education must therefore be conceptualized on several levels: on the level of a meta-model, a theoretical level, on the level of basic methodological instructions as well as on the level of a general theory of human activity (praxeology). A **CURRICU-LUM** therefore always integrates the code of ethics and other professional standards in addition to these conceptual fundamentals. Additionally, the curriculum for coaching education provides information on the target group and the admission requirements, on the objectives, contents and methods imparted, on didactics, on the qualification of the teaching staff employed, on workload (differentiated according to interaction times, study periods, practical parts), concept and planning, on certification regulations as well as on evaluation and quality development.

Coaching education includes the imparting of coaching competences, which is therefore based on the **COACHING COMPETENCE MODEL** of the respective institute. This should integrate a learning objective taxonomy *(cf. e.g. Bloom 1956; Krathwohl et al. 1964, original in German)* that depicts the successive development of competences.

The knowledge, insights and theories from the sciences relevant to the coaching field serve as a basis for the educational and training provider. They are aligned with the research results and professional standards developed in the coaching field and selected contextually. In conjunction with practice-relevant instruments and procedures, models and techniques, they are integrated into a coherent overall concept.

Education is **PLURALISTIC** with regard to content, methods and models, embedded in a coherent concept. Emphases on perspectives and methods are established. In terms of content and didactics, education represents perspectives on the professional and organizational reality that are relevant for coaching and contains an examination of questions concerning the professional world, professional identity and professional life paths. It takes into account the interaction in the conflict area between organization, role and person. It conveys an understanding and handling of conflicts in professional and organizational contexts. The teaching content should ensure the individual use of the participant's coaching competence. For reasons of client protection, this always includes specialist knowledge of the distinction of issues in which coaching is the means of choice or in which psychotherapy or other procedures are required. Personal biographical **SELF EXPERIENCE**

CONTENTS are also part of the coaching education.

If one evaluates the more than 100 German and approx. 30 English-language publications on coaching education *(Rauen 2018, pp. 41-44, original in German)*, considers the approximately 30 publications on coaching competence models *(Blumberg 2016; Steinke & Rauen 2018, originals in German)* and takes into account the aspects provided by the coaching history *(cf. Steinke & Steinke 2018, original in German)*, then coaching education reveals the following **THEMATIC FRAME-WORK**:

» Theoretical fundamentals: Philosophical fundamentals (e.g. metaphysics, ontology, logic, philosophy of knowledge, phenomenology, hermeneutics, dialectics, existential philosophy, ethics), sociological fundamentals (e.g. sociology of knowledge, sociology of organization, theory of communicative action, role theory, systems theory, economic sociology), pedagogical fundamentals (e.g. learning theories, taxonomies of learning objectives, didactic models, teaching methods, planning of a learning unit, adult education) psychological fundamentals (e.g. personality models, cognitive and emotional psychology, psycho- and management diagnostics, evaluation), psychotherapy (clinical disorders and intervention methods), developmental psychology, work and organizational psychology (methods of work analysis, aptitude assessment), social psychology, neurosciences, economic fundamentals (e.g. economic thinking traditions (Smith, Keynes, Friedman) organizational and management theory, commercial relations), legal fundamentals (e.g. professional law topics, corporate and contract law, tax law, commercial law, liability law, labor law).

» Coaching know-how: Coaching definitions (and distinction from other formats), coaching history and trends, coaching theories, concepts, approaches, models, coaching occasions, ethics and professional standards, coaching competences, coaching roles, coaching attitude(s), coaching processes and phases, coaching formats, settings, exercise and learning formats, market analysis, marketing, quality management and evaluation, current results of coaching research (e.g. effectiveness research, impact factors).

» Coaching methods: Clarification of tasks and goals, reconstruction methods, methods of diagnostics, active listening/associating/depths, dissociation/ working with perceptual positions, work with transfer and counter-trans-

fer, resource coupling, dialog/conversation techniques and relationship building, questioning techniques, process consultation/accompaniment, collegial advice and team development methods, Interpretation (of body language/signals), communication and transaction analyses, organization and system analyses, pattern recognition, feedback/confrontation techniques, role analyses and role play, work with media, positioning, contradiction management, change management, option and solution development, visualization methods, transfer methods, evaluation methods, etc.

» Coaching expertise: Strategy, culture, process, organization (development), (lateral) leadership and management, argumentation and rhetoric (debate coaching), dealing with power and micro-politics, gender / diversity, personnel development, conflict management and negotiation, group dynamics, biography and vision work, professional transitions, career (development) and outplacement, resilience, stress management, self-management, time management and relaxation, health / work-life balance, crisis intervention, change management, project management, problem solving, creativity and decision-making, current developments in the world of work.

The thematic emphases vary depending on the educational and training provider, resulting in a welcome variety of choices worthy of support for interested parties. At the same time, it is crucial that those interested in education accentuate certain aspects in their choice of continuing education, depending on their previous education and the prerequisites for participation, according to the content they lack.

2.4.6 Didactics

(1) Concept and planning

The education concept is based on a meaningful and practical didactic model *(cf. Jank & Meyer 2014, original in German)*, is oriented towards the coaching process and integrates the didactics of learning and change *(cf. Geißler 1999, original in German).* The individual elements together form a coherent **OVERALL PROGRAM** (e.g. technical-conceptual "common theme", professional assignment of teachers, selection and placement of educational elements, methodological structure, process design).

The educational and training provider shall present the contents of its education and the structure of the education course in a differentiated manner with regard to duration and scope and shall justify both. The educational and training provider organizes the conveyance of the contents in learning processes and takes into account the individual learning behavior of the participants. Thus, he plans the learning goals for the cognitive, affective and psychomotor area and enables reflection and experiential learning in the experience of education.

The education enables and expects the participants to **DEVELOP THEIR PERSONALITIES AND ROLES** with regard to their professional actions. This includes feedback and awareness steps for one's own effect and is implemented as an individual reflection process in a comprehensible way within continuing education. The education imparts a plausible model of the self-control of people in employment, enabling an access to their inner world in connection with role-reflexive behavior, as well as an appropriate way of dealing with it in coaching. The education offers the opportunity to reflect on one's own professional relationships, gives the opportunity to experience oneself in the role of a coach and to recognize when a competent external perspective (e.g. supervision) is needed.

The educational and training provider observes the **LEARNING LEVEL** and **LEARNING SPEED** of the participants and conveys the subject matter in an adult-appropriate way in coordinated learning target levels with target-oriented methods from lecture and discussion to creative techniques and procedures.

The educational and training provider has a coherent concept of **LEARNING OBJECTIVE TEST**(s) and ensures learning outcomes through appropriate measures. These can include: "(1) a written assignment, (2) five sessions of 'teaching coaching', during which self-performed coaching sessions are presented, (3) a colloquium in which two or three candidates present their own coaching work to a committee of trainers" *(cf. Schreyögg 2012, p. 395, original in German).* The certificates awarded are appropriate to the education or the qualification acquired.

(2) Methods and forms of exercise

There are very different forms of exercise, especially for interactive work. For the coaching qualification, it is recommended to choose the forms of exercise in such a way that a modeling of the achieved competence field is made possible. Overall,

a broad spectrum for the practical organization of the exercise phase of coaching emerges, from which a few examples are mentioned *(see also Rauen & Steinhübel 2005; Schreyögg 2012, p. 393 f.; Klenner & Bischofberger 2014; Rauen 2018, p. 54 f., originals in German):*

» Individual work: Reflection exercises on one's own person or role.

» Case studies: Participants confront a case situation from practicing as a coach; participants learn to assess the situation and to develop approaches to such a "typical coaching case".

» Partner exercise: Dyad, e.g. structured exercises with coach and client role.

» Marketplace with changing dyads: Working on a series of topics one after the other, always with different partners.

» Triads: Triple constellation, e.g. with practitioner, client and observer.

» Small groups: Subgroups of the whole group, e.g. also collegial advice.

» Plenum: Dealing with topics in a collective group, e.g. flash, round, plenum with observation tasks.

» Live coaching demonstration with a learning group participant.

» Fish bowl: a representative discussion of a topic by a subgroup amidst the other participants.

» Reflecting team: reflecting on a topic, the development of hypotheses by a subgroup.

» Role simulation: the representative facing up to and performing of certain role figures.

» Role formation: the assignment of certain roles or the embodiment of system topics in a spatial arrangement as well as the execution of the self-dynamic movement impulses of the roles.

» Learning partnership/intervision group: mutual learning assistance beyond the attendance-based measure.

» Learning project: agreed learning and application example.

» Exercise coaching: Coaching implementation with practice clients.

Overall, the professional practice of the participants is regularly the subject of learning processes that lead to an integration of theory and practice. Education makes it obligatory for the participants to introduce concerns from their own professional experience and to be coached. Education supports networking in the collegial field. Interactive collegial learning groups or learning partnerships within or in connection with education are mandatory.

(3) Learning organization and procedure

Two- to three-day seminar blocks, usually at weekends or at least several weeks apart, provide a time frame for coaching education, so there is sufficient time for self-study, peer group activities or learning partnerships and the development of a culture of mutual support through to networking, and above all for practical exercises between the blocks *(cf. Schreyögg 2012, p. 391; Rauen 2018, p. 54, original in German).*

» Binding learning groups with a defined participant group and a seminar leader who supervises education from start to finish have a clear advantage over modular learning organizations in coaching education. Only in a fixed participant group can relationships between the participants develop and a certain intensity and depth of encounter take place. Modular concepts, in which participants meet again in an updated composition in each topic module, are less suitable for coaching education.

» Distance education: Distance education without an attendance component is basically unsuitable, as only experiencing and working in personal contact between instructor and learner can illustrate the form of coaching in an exemplary manner, so as to guarantee the requirement for personal contact between coach and client.

» E-Learning: The combination of different learning methods, particularly including modern technical media, can be purposeful. However, as noted above, learning with personal contact is paramount so that the units of blended learning can be used in regular education.

» Compact education: Coaching education enhances the personal maturation processes of the coaching learner. Experience has shown that these need time and a review at appropriate intervals. Compact sessions that try to shorten this period and interval learning to a few blocks are therefore less suitable for achieving the learning objective.

(4) Teaching and learning materials

In addition to content and process-related considerations, the educational and training provider for Business Coaching also ensures an appropriate stock of learning and teaching materials. He or she creates learning material in the form of structured working documents and scripts and recommends textbooks and other specialist literature. He or she provides **TEACHING AIDS, MEDIA AND MATERIAL** in sufficient quality and condition. He or she makes sure that the learning and teaching venues are equipped, for example, with pin boards, flip charts, whiteboards and video equipment and have a pedagogically suitable range of teaching materials such as games, films, audio CDs, etc. Finally, he or she ensures that the participants are adequately cared for and respects their needs and semantic expectations for the implementation of the education.

(5) Evaluation and quality assurance

The Educational Provider for Business Coaching (IOBC) systematically evaluates the coaching education. He or she participates regularly in the Quality Conference of the IOBC´s Educational Providers for Business Coaching. He ensures the quality of his coaching education with regard to the **STRUCTURE, PROCESS AND RESULT QUALITY** and documents these.

Thereby the educational concept or curriculum and the competence of the teaching coach are central points of the structural quality of the coaching education. Further factors of structural quality are the efficiency of business operations and infrastructure (incl. premises), market presence, customer orientation (incl. transparent conditions of participation) and personnel management. The process quality is expressed in the quality of the relationships between the teaching coach and the participants, as well as between them; furthermore in the clarification of mutual goals and expectations, in didactic-methodical design, in the possibility of concrete coaching practice, and in the evaluation. The quality of the coaching education results is reflected in the gain in observable coaching competence among the participants, e.g. in the existence of basic and special techniques as well as in the ability to actually implement and reflect on a complex coaching process. The quality of the results is also evident from the participants' self-transformation, personal development and role reflectivity *(Rauen 2018, original in German)*.

2.4.7 Concluding remark

According to the IOBC's understanding, the educational providers for Business Coaching autonomously determine the competence level of their education. Accordingly, **CERTIFICATION** is the sole responsibility of the educational and training provider. Certificates shall not be deemed to have been issued or confirmed by the IOBC. The further education standards formulated here are the requirement and standard for the certification of IOBC educational and training providers with their respective coaching education. IOBC certification refers to the conformity of the educational and training provider for Business Coaching and his or her coaching education with the professional standards formulated in this compendium.

IOBC certification does not refer to the achievement of a participant's certain **LEVEL OF COMPETENCE**, the acquisition of a certain professional profile or status of a trained coach. Determination of the fulfillment of the requirements for association membership occurs solely through the admission procedure for members and an individual admission interview within the framework of the regulated application of a coach for membership in the IOBC.

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2.5 SPECIAL CHARACTERISTICS OF INTERNAL COACHING
Astrid Schreyögg

In recent years, internal coaching has established itself comprehensively. Some empirical studies even show that internal coaching is more successful than external coaching *(cf. Kotte et al. 2016, p. 19, original in German)*. In any case, it offers some **ADVANTAGES** for the client:

» The coach has a high level of field competence, i.e. they know their client's environment better than an external coach.

» The access barrier for coaching is low, because the coach may even be known from seminars, etc., one usually does not have to travel long distances, there are no selection procedures, etc.

In all coaching, the organization forms the **BACKGROUND** for the coaching, but in the internal variant it is also material for many of the determining features of the coaching itself:

» The organization is crucial for the concept, i.e. it must cover relevant concerns of the organization, e.g. more executive or more life coaching.

» Who influences the coaching: personnel development or superiors?

» Who acts as a coach within the organization, who determines this?

» In which areas and on which regulations is coaching based?

» Who may benefit from coaching?

» Which settings are used? *(Schreyögg 2015, original in German).*

2.5.1 Types of internal coaching

In this section, **SIX TYPES** of internal coaching are presented. They stem from discussions with responsible representatives from more than 25 organizations as part of the work of the German Federal Association of Business Coaching e.V. (DBVC, regist. association in Germany), as well as from discussions with professional providers concerned with the use of coaching in executive programs. Experience

shows that the respective objectives, the starting point, the clientele, the culture of the organization etc. influence the content design of the internal coaching *(Bollhöfer 2012, p. 93 f., original in German)*:

(1) Job enrichment by personnel professionals

Personnel developers dealing with traditional personnel development (PD) topics are selectively asked by managers to assist them in conflict or dismissal discussions. This is **"ON-THE-FLY CONSULTING"**, which should not be classed as coaching in the sense of professional consulting. From such encounters, however, the PD employees develop the idea to qualify seriously for coaching and offer it specifically as such later. In small companies, this provisional variant is usually the only option. In large companies, it is often the first step towards the professionalization of coaching.

(2) The divisional coach

These are experts from a specific area of a company, such as sales specialists. They will then train in banks, for example, on how customers can be optimally advised on real estate purchases over the telephone. Or they are responsible for complaint management in large department store chains. This is a very **LIMITED FORM** of coaching, i.e. it only refers to a specific task. Thus, the work goal is also very narrowly defined. Before the term "coaching" came into fashion, such activities were referred to as "training".

(3) The coach pool of professionals and demi-professionals

These are cross-occupational and cross-hierarchical **GROUPINGS** within a company. Employees with certain personal and qualification requirements can be included in a coaching pool after verification by HR and PD employees. In this way, **LARGE ORGANIZATIONS** try to use the professional skills of different groups of people for the benefit of the organization. Employees are released for coaching, i.e. the part-time coaches are occupied with coaching during their working hours. The work not performed in the core areas of activity is then to be compensated in accordance with superiors by offsetting it against a profit center. We only find this variant in very large systems.

(4) Internal coaching as a standard instrument of personnel development

In rare cases, psychologists, pedagogues, business economists etc. are employed in an organization exclusively for the coaching of employees. Due to the coaching profession, **EMPLOYED COACHES** work in the organization with the main task of coaching and offer this to certain groups of employees under defined conditions. This approach will only develop in conjunction with a strategic goal, because only then will jobs be created with the main purpose of coaching. It requires a corresponding coaching demand in order to guarantee a sufficient workload for the coaches and to ensure a systematic process description and communication on the goals, benefits, working methods, entitlement and evaluation.

(5) The cross-organizational coaching pool of internal coaches

Occasionally we also find **ASSOCIATIONS OF ORGANIZATIONS** that jointly "afford" one or more coaches. To begin with, the advantage of this constellation is that such coaches are well utilized. For an in-house coach can only be financed in large organizations. Another significant advantage, however, is that coaches do not become professionally blinkered because they are confronted with different organizational cultures and subcultures. Although this demands a high degree of adaptability from them, they will repeatedly perceive all the phenomena they encounter from an off-center position. And this, in turn, will favorably influence their ability to understand the most diverse constellations quickly and to process them smoothly.

(6) The psychological coach pool

Since **PSYCHOLOGICAL EXPERTISE** represents a fundamental prerequisite for coaching, it stands to reason that organizations in which psychologists are employed also use it for coaching. Thus, the 'Bundesagentur' (Federal Employment Agency in Germany) today has more than 100 trained psychological coaches available to managers; or the state of Bavaria has already trained more than 200 school psychologists in supervision/coaching. Not only teachers, but also head teachers and school inspectors are coached by them.

2.5.2 Rules for choosing external or internal coaches

In many organizations, the rule is that lower and middle-level managers are supported by internal coaches, while a pool of **EXTERNAL COACHES** is provided for the top levels. However, in terms of technical and organizational aspects, there are such specific milieus that an external coach would hardly be able to connect with the topics. In the IT industry, as an example, **INTERNAL COACHES** are, for technical reasons, more convincing for employees. The same applies to schools. In many cases, teachers and school principals allege that people who do not originate from the school sector have too many prejudices against school interests or can understand them only to a limited extent. In addition, they do not want to spend their own money on advice, but only use internal offers. The general relationship they have with their organization seems to play a decisive role in the question of whether managers want an external or an internal coach. Internal coaches from federal authorities explain that employees feel well treated by their company if that company provides them with a coach. They then also place their trust in their managers.

2.5.3 Settings for internal coaching

Coaches, in whose organization training as a measure of personnel development is common, often take the view that coaching is only useful as **INDIVIDUAL COACHING**. They fear a dilution of the formats during group settings. The actual exclusive and, in principle, also innovative aspect of coaching is effectively the "four-eyes situation". It was exactly this setting that originally caused a furor. And as Stefan Kühl (2008) points out, the individual setting also contains an exceptional significance from a socio-political point of view. Because in our society, and especially in the world of work, we are constantly in "forced groups". To be able to express oneself in a one-to-one situation with one's own concerns and to find an attentive ear is in itself something exclusive.

Nevertheless, representatives of several large companies report on very successful **SMALL GROUP COACHING SESSIONS**. For example, Daimler foremen who have been promoted to master craftsman are offered coaching with six to seven colleagues. Siemens also organizes group coaching sessions for managers with similar functions and hierarchies. Koschuth (2011) even recommends the installation of group coaching as a regular personnel development tool for managers who have made a "career jump" in their company. In particular, a promotion to the position

of supervisor of former colleagues would be easier to handle. We also find group settings in some clinics when nursing staff are promoted to ward managers.

2.5.4 Implementation of internal coaching

To date, there are hardly any suggestions on this question in literature, which is why it will be dealt with in more detail here:

A fundamental dictum is that coaching must never be offered as a method of deficit compensation. In this case, coaching would quickly be "incinerated", because in the extreme, every member of the organization would then beware of approaching the coach's room. Coaching should, in principle, appear as a constructive measure of **PERSONNEL DEVELOPMENT**, such as "promoting social skills", "promoting communication", etc. Ideally, employees should link coaching with positive aspects in the organization from the very beginning. It should also be clarified to what extent it fits into the portfolio of all PD measures. Should it follow, for example, certain training sessions or seminars? It proves to be advantageous if coaching is offered in an aggressive manner during the introductory phase on topics that arise in every organization, such as "support after the career jump", "support for inducting new employees" *(Schreyögg 2012, original in German)* or "help for inducting successors".

Depending on the **LEVEL OF PROFESSIONALIZATION** of the coaching in an organization, the coaches should use all informal networks to publicize their services. It proves to be optimal when high-ranking managers in an organization announce that they have already hired coaches for themselves. In this way, coaching is most likely to become a natural component of personnel development. Internal coaches can use a number of advertising opportunities for their profession in the organization:

» give short lectures about coaching,

» place an article in the employee magazine,

» make their offer known at staff meetings,

» hand out flyers in the canteen,

» post on the notice board,

» incorporate coaching as an item in employee surveys,

» small introductory sessions to, for example, assist with filling a new position,

» demonstrate small coaching sequences during training sessions or seminars,

» introduce coaching to people in key positions,

» introduce coaching at meetings with works councils, staff councils, equal opportunities officers,

» use assembly rituals for announcement,

» offer coaching for all change processes.

Once again, it should be emphasized that coaching can only become a natural part of an organization if it succeeds in convincing the **TOP MANAGEMENT** of this personnel development tool. However, the general reputation of the personnel department or the personnel development department is also decisive for the success of coaching and its image.

2.5.5 Pitfalls of internal coaching

In addition to the advantages outlined above, internal coaching also has some **DISADVANTAGES**:

» Operational blindness: Internal coaches can hardly escape it, because an unconventional position towards their own company is in principle difficult for them to take. After some time, they become part of the system themselves. So, they will hardly come into question if the members of the organization are to be encouraged to innovate more.

» Hierarchical interference: Coaches, like all organizational members, have a certain status in the system. If they now coach persons with a higher status, irritations can occur with their interaction partners. In coaching, the consultant must in principle control the relationship, because otherwise the client will not benefit from the advice. The coach must not mutate into a respondent *(cf. Haley 1978, original in German).* However, that is difficult for low-ranking coaches. For this reason, it is advantageous for the coach to have at least a high level of education.

» Loyalty issues: They are created when a client severely criticizes the common company. If coaches agree seamlessly, they get into a conflict of loyalty with their employer, if they defend the company, they may lose the client's trust.

» "Temptations by the authorities": Many coaching sessions, including internal ones, start with a three-way conversation where a supervisor, in the presence of the future client, introduces the coach to the relevant consultation need that the client feels is required. Then it is often the case that superiors address the coach later in the sense of a "parental conspiracy" as to how the client is "doing". This quickly leads to problems with confidentiality, especially when coaches feel flattered due to their importance to the supervisor. Coaches also fall into traps if they are lured by the suggestion that they could best deal with particularly difficult or previously unsolvable topics.

» Confidentiality issues: They often arise when the coach in a department coaches individual persons at different hierarchical levels. In such cases, they are comprehensive bearers of secrets and must pay close attention to who they communicate with. Then there is often the danger that the professional standards of the internal coach will be eroded by informal phenomena. A problem can also arise if the coach's client knows that the coach is advising several people in one department. In this case, it is advisable to avoid interface topics.

» Abuse: There is, of course, a danger that internal coaches in particular will be abused or allow themselves to be abused as agents for adapting clients to unbearable organizational conditions. They are often even supposed to compensate for leadership vacuums or structural grievances.

» Failure: A fundamental problem with internal coaching, however, are the consequences of failure. Where it is easier for the external coach to shake off the failure of a consultation, the internal coach may suffer general damage to their image. For this reason, internal coaches should pay particular attention to contract design and role clarification. If a consulting interaction fails, it is important that the coach receives support from the PD department. In some cases, it may even make sense for them to "borrow power" from the Personnel Director or to reassure themselves morally and/or legally with a higher authority. Esse (2011) suggests that the organization's rules for internal coaching should already provide for a certain degree of conflict prevention.

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2.6 CONCEPT OF QUALITY AND QUALITY MANAGEMENT
Ingo Steinke, Ulrike Wolff

In addition to providing qualified consulting services directly to the client, the professional **ACTIVITIES** of a coach also include securing and developing the quality of their services and organization, regardless of whether this concerns the coaching office of a single coach, the network of several coaches operating jointly on the market, an owner-managed coaching company with employees and freelancers or the coaching pool within a company or group. That is why every coach continuously checks the quality and autonomy of their work and that of their employees. How this can be done is explained below.

2.6.1 Concept of quality

"Quality is the degree to which a set of inherent characteristics meets requirements" (DIN EN ISO 9000: 2000-12, 2001). In other words: If I demand that my coaching process has certain quality characteristics (e.g. a contract is concluded and a situation analysis is carried out), then these characteristics should actually also be inherent in the coaching process. Thus, this concept of quality is not about a particular quality based on an abstract system of norms, but about whether something in the way it functions or is constituted corresponds concretely to what was claimed or demanded beforehand. The decisive factor for the quality of coaching is therefore what requirements are set. This compendium contains all these requirements for coaches and coaching.

In German, the term **QUALITY MANAGEMENT** (QM) has developed from the term quality assurance; both terms were used synonymously for a long time (until 1994). QM today is defined as "coordinated activities for quality-related management and control of an organization" *(Geiger & Kotte 2005, p. 94, original in German).* These are all those activities of the coach and the members of their organization that lead to defining and implementing the philosophy, objectives and responsibilities in quality development. Ideally, a QM according to the control loop model can be represented analogously to the management functions planning, implementation, supervision and improvement *(cf. Bruhn 2006, original in German: quality planning, quality control, quality inspection, quality improvement incl. QM presentation to an assessor).*

The coach's QM can be used

» to support and strengthen quality-related reflection (self-learning effect),

» to support the pursuit of excellence by revealing and optimizing deficiencies or gaps in the coach's own quality awareness in the practice of QM and in the quality of the work (optimization effect).

» to confront doubts about the quality of the work or the coach's quality competence and to create or restore confidence (legitimation effect).

» to distinguish itself in competition in a comprehensible manner from such providers who only claim the quality of their work or their quality capability, but do nothing for it (marketing effect).

2.6.2 Quality management tools

The International Organization for Business Coaching (IOBC) defines instruments in QM as **METHODS** that can be used to implement QM, quality testing and quality development. Which instruments are useful depends on the respective context.

(1) Documentation

Documentation is very important for recording the process and result quality of coaching. It is divided into the documentation of customer data (Customer Relationship Management System, CRM), the preliminary and initial conditions for coaching (basic documentation), and the process and results (process documentation). The **PROCESS DOCUMENTATION** in particular is a decisive instrument for planning and recording of and reflecting on the coach's interventions, their impact and the resulting (or prevented) changes.

(2) Supervision, expert advice

Each coach should make use of regular supervision in order to relieve pressure on themselves and increase self-reflectivity and role reflectivity. Supervisors are characterized by the same qualification standards as teaching coaches *(cf. chapter 2.4.2)* and in particular help to enable a high degree of **SELF-REFLECTIVITY** in

dealing with tense antinomies, such as corporate logic versus professional logic *(cf. chapter 1.1.2).* If necessary (e.g. in case of doubts about one's own suitability or about the coaching result), a coach should seek expert advice immediately.

(3) Education, participation in dialog forums, symposia and congresses

In a consulting service such as coaching, it is particularly important to pay attention to the professional and personal development of the coach and their employees. Therefore, further education and training courses are to be attended regularly in order to incorporate the expanded knowledge into the range of services and to enable clients to benefit from it. The German association German Federal Association of Business Coaching (DBVC, regist. association in Germany), for example, organizes dialog forums, coaching congresses and symposia, which are strong internal instruments for educating coaches.

(4) Quality circles, involvement in regional groups and specialist committees

A quality circle is a voluntary association of a group of professions involved in client care. The aim is to analyze one's own field of activity under the coordination of a trained moderator, to evaluate it with regard to formulated quality criteria and, consequentially, to develop measures to improve quality *(cf. Härter et al. 2003, original in German)*. Quality circles serve the continuous intervision, examination and development of one's own activity in a constructive **DIALOGICAL REFLECTION AND LEARNING PROCESS** based on the experiences of the participants. To stay with the example of DBVC, regional groups, the expert committees' "profession", "small and medium-sized businesses" and "research", the quality conference of educational and training providers and the group of experts for coaching in organizations are considered established and proven circles in the DBVC.

(5) Dealing with complaints and dissatisfaction, Council of experts

Complaints and reproaches from customers are treated in a customer- and solution-oriented manner. For coaches are aware that human relationships are of great importance in addition to the practical solution. Responsibilities for handling complaints are clearly defined. In the event of weaknesses in the QM system or non-compliance with rules, immediate measures are taken to overcome them. Employees should be able to submit complaints without worrying about perso-

nal prejudices. The **EXPERT COUNCIL** is an established, independent point of contact for the DBVC. It is a body of experienced senior coaches that objectively assesses and provides technical support for unclear situations in coaching relationships and questions on methodological competences, settings, quality standards and liability problems using relevant and scientific knowledge, i.e. examines positions, evaluates situations, takes a stand and makes recommendations.

(6) Evaluation

The execution of all contracts should be evaluated at regular intervals *(cf. chapter. 2.7)*. This also entails that the individual coaching services are assessed on the basis of subjective and quantifiable **MEASUREMENT CRITERIA** in order to be able to constantly optimize one's own offer. For the benefit of the clients, the employees and for one's own well-being, work processes and relationships can therefore be improved. In addition, a coach should participate in external evaluations and research projects that enable an independent evaluation according to scientific standards.

(7) Quality development process

Every coach ponders how they can uncover improvement potential and implement improvements. Each coach organization shall pursue a systematic quality improvement in terms of quality requirements (conformity) as well as the further development of requirements and the QM system (non-conformity). To this end, the following steps can be determined, which always incorporate the preceding ones:

(1) Quality dialog: At regular intervals, opinions and activities of quality development in the coach organization are discussed and measures to be taken to develop the quality of organization, evaluation and work with the client are deduced.

(2) Brief check: A checklist can be used to check to what extent the desired quality criteria are implemented in one's own work and organization, so that measures for quality improvement can be initiated.

(3) Self-assessment: A checklist with quality criteria is used to reflect on how the requirements are implemented in one's own organization (requirement-

evidence). The result is documented in tabular form so that quality improvement measures can be recorded and initiated.

(4) <u>Self-assessment and presentation:</u> Like step 2; in addition, the evidence is recorded in a folder and made available for future quality improvements. It is recommended to work at least at this level.

(5) <u>Self-report, quality management concept:</u> Like step 3, but additionally a description of the content of quality management in a concept or a report indicating how the quality criteria are implemented. Anyone who undergoes external audits will work at least at this level.

(6) <u>Quality management manual:</u> It includes a description of the content of the quality management system and a compilation of all associated procedural instructions, evidence or references (where to find what) and checklists in folders, so that they can be used as a reference guide in the working process itself.

(8) <u>Inspection</u>

The entire quality management concept and system is reviewed at regular intervals as part of an inspection (e.g. by questionnaires, documentation of projects ready for review, internal audits or with the aid of a checklist) in order to ensure **COMPLIANCE WITH QUALITY STANDARDS**. This applies both to the organization of work and to the execution of individual assignments.

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2.7 POSSIBILITIES OF AN EVALUATION OF COACHING

Astrid Schreyögg

"The term evaluation refers to the systematic, data-based and criterion-related **ASSESSMENT** of programs, projects and individual proposals. It should contribute to rational decision making on the continuation or transformation of the proposals examined" *(Heiner 2004, p. 825, original in German)*. In recent years, various authors have repeatedly called for evaluations of coaching. In fact, several colleagues have tried their hand at evaluating coaching. Which forms of evaluation have been tested so far in coaching and which of them are entirely feasible will be outlined below. However, it should also be mentioned that the evaluation of coaching is accompanied by a whole series of problems.

2.7.1 Possible forms of evaluation

Following on from Daniel L. Kirkpatrick (2006), Stefan Kühl (2008) outlines a potential four-stage approach to the evaluation of coaching by analogy with his research into the effects of training measures:

(1) Happiness indices: Initially, clients are asked about their satisfaction concerning their experiences during the consultation. This can be done methodically, either in the sense of a ranking by school grades or categorically simplified with smilies, i.e. with graphics of faces that laugh, appear neutral or cry. Although this has been the most common form of evaluation of coaching to date, it is quite superficial. For in the course of person-oriented consultation, a relationship always arises between coach and client, which becomes increasingly trustworthy, especially in the case of long-term interactions, and thus almost automatically lends a positive tinge to each evaluation. Therefore, the evaluations obtained in this way must ultimately be regarded as less meaningful.

(2) Measuring learning: Kirkpatrick suggests that a slightly more demanding form of evaluation is the measurement of what has been learned, i.e. of changed abilities, changed attitudes, etc. This involves "before and after tests": At the beginning of the coaching, certain client characteristics are collected, tested again after completion and, if possible, contrasted with a comparison group.

Effects are then interpreted based on the difference. In the area of coaching, for example, it can be determined in the course of the consultation whether a client has broadened their social perspective, i.e. their range of views on social situations, or whether they still cling to stereotypical interpretations, or whether, as Greif (2008) suggests, the client has improved their ability to self-reflect. The problem with such research strategies is that it is not certain whether the results found in this way can also be observed in real work situations, i.e. whether the client has transferred their broadened perspective or gain in self-reflection into their professional life.

(3) Measuring the transfer: Therefore, studies that attempt to record actual changes in behavior at the workplace are more meaningful. Indicators for the success of coaching are then, for example, the reduction of absenteeism or the increase in productivity. Frequently, changes in 360-degree feedback are also used, i.e. the client's assessment by superiors, colleagues, subordinates, customers – and often a self-assessment. However, even with such findings, it always remains questionable whether the positive changes can be attributed exclusively to coaching or whether other factors such as new employees joining a company, new developments in an industry etc. were not decisive. 360-degree feedback in particular is often used by companies as a success indicator for coaching. However, even here it can never be said with certainty that an improvement is solely to be attributed to coaching.

(4) Evaluation of economic success: Kirkpatrick considers the fourth and most challenging form of evaluation to be the determination of economic success through a measure such as training or coaching in an organization. With such a "return on investment", the aim is to record numerically the extent to which training or coaching has actually "paid off". In organizations, key figures are used to assess the financial benefits and compare them with other measures. For this purpose, the current economic data of a company is raised and the financial expenditure for the coaching is deducted. The difference then shows whether and to what extent the coaching was successful. However, even with this form of evaluation, the attribution is always questionable; because it is conceivable that an increased turnover is caused by generally good economic developments.

In the case of evaluation tests, a distinction is also made between summative and formative studies:

» Summative evaluation refers to the evaluation of results; one tries to grasp the effects of coaching after its completion.

» In the case of formative evaluation, phenomena are recorded in the course of a process; in coaching, for example, the relationship arrangement between coach and client or changes in the problem formulation during the coaching process.

2.7.2 Previous coaching evaluation attempts

All authors dealing with the evaluation of coaching *(Greif 2008; Künzli 2009, originals in German; Ely et al. 2010) s*tate that the number of empirical studies on the effects of coaching is still comparatively small and that the majority of them have considerable **METHODOLOGICAL SHORTCOMINGS**. Nevertheless, four scientific journals in English have been established in recent years which deal with the topic of coaching. In German-speaking countries, a publication by Siegfried Greif with an overview of the current state of evaluation research was released in 2008. The author analyses all the work that has been available so far and designs a **STRUCTURAL MODEL** as a "preliminary orientation basis" that encompasses the requirements, factors and results of coaching. The requirements are in turn subdivided into coach and client variables and the results into specific and general. This structural model is referenced below:

Structural model of effects in result-oriented individual coaching
(Greif 2008, p. 277, original in German)

(1) Greif has extracted the following
requirements from previous research:

Requirements on the part of the coach:

Professional credibility,

Clarification of goals and expectations.

Requirements on the part of the client:

Motivation for change,

Reflectivity,

Perseverance.

(2) Greif identified the following success factors from the literature:

Appreciation and support,

Affect reflection and calibration,

Promotion of result-oriented problem and self-reflection,

Clarification of objectives,

Resource update and implementation support,

Evaluation in process,

Individual analysis and adaptation.

(3) Specific results/criteria:

Increase in specific result-oriented problem and self-reflection,

Problem clarity and goal realization,

Rating of social skills, openness to new experiences, team behavior,

Performance improvements,

Self-control, coping with problems, persistence, specific self-efficacy.

(4) Generally applicable results/criteria:

Degree of goal achievement,

Client satisfaction,

Improvement of emotions,

General well-being,

Potential enhancement/self-development.

Künzli remarks that this model is very similar to the "General Psychotherapy Model" by Orlinsky & Howard (1988). This closeness is to be seen as an advantage, because despite the diversity of target groups, contexts and goals, there is still comparability on a structural level. For future **INTERDISCIPLINARY RESEARCH**, the support of psychotherapy research could certainly prove fruitful.

The empirical studies cited by Greif can only be assigned to summative evaluation research. This means that the effects of coaching are determined without special temporal differentiation. In most cases there is no differentiation as to which clients or coaches are involved, or how the relationship and coaching process are designed. He regards comparative summaries of the studies as very difficult because they deal with different questions, examine different characteristics and also highlight different methods.

In the most recent major **REVIEW** on the evaluation of coaching, Katherine Ely and five co-authors *(Ely et al. 2010)* included 49 studies in their survey, which dealt exclusively with the coaching of managers. These studies, too, mostly deal with summative research and similar aspects to those already presented by Greif. The authors argue, however, that in the future, increasingly more research will be done on the particular influences that are crucial for the effectiveness of coaching.

Despite the differences to training, these authors also consider the research approaches described by Kirkpatrick to be useful. The authors differentiate the findings according to Kirkpatrick's **STEP MODEL**:

» In 13 studies, the client's reaction to coaching was assessed as satisfactory, and in 24 studies, the perceived effectiveness of coaching was determined.

» On the learning level, a distinction was made between cognitive and affective learning. In cognitive learning, self-confidence was ascertained in 11 studies and cognitive flexibility in three studies. In the category of affective learning, 11 studies investigated self-efficacy and 5 researched job satisfaction.

» On the behavioral level, 20 studies recorded the assessment of the process of goal achievement, 20 of which were self-assessed and 5 of which were assessed by others. Another behavioral dimension was the commitment to key behavior, with self-assessment in 40 studies and assessment by others in 14.

» Finally, on the fourth level, where effects in the organization are measured, in two studies, the economic preservation of an organization was of interest and in five it was the return on investment (ROI).

The authors' **RECOMMENDATIONS** for further evaluation research of coaching essentially refer to three points:

(1) In the future, the effects should be researched more closely with regard to several sources, which can then also feed into an ROI.

(2) Management as a social influence in principle challenges a multiple perspective of the coaching effects. This includes changes in settings, performance and effects (retention) on both sides.

(3) The evaluation should be applied over a longer period of time, as some effects in organizations only materialize after months or even years.

2.7.3 Conclusion

Despite all reservations, it must be in the interest of the coaching community to seriously deal with the effects of coaching. Additionally, as Seghers et al. (2011) recently stated, coaching is a global market that has probably already grown to nearly two billion US $, and it will therefore in any case be necessary to legitimize coaching activities in the future through evaluation measures that are reflected as much as possible.

For this purpose, **NEUTRAL RESEARCH INSTITUTES** should be commissioned ideally, for example at universities. These then not only assess happiness indices, but also deal with different learning and transfer effects using **SCIENTIFIC STANDARDS**. And, if possible, they will even try to determine economic effects through coaching.

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ABRIDGED VERSION
Christoph Schmidt-Lellek

The **COMPENDIUM** contains professional standards which are binding for the members of the International Organization for Business Coaching (IOBC). These standards

» define the professional and ethical guidelines for the training, application and success measurement of coaching,

» contribute to more transparency and education in the coaching market,

» support the development of coaching as a profession and

» set standards and routines for quality assurance and quality control.

PART 1
BASICS – DEFINITION OF THE PRACTICAL FIELD OF COACHING

In part 1 of the compendium the **BASICS** are presented first.

1.1 PROFESSION AND PROFESSIONALIZATION is a special challenge. For the characteristics that characterize a profession as "responsible work with people" do not apply entirely to coaching (e.g. state-regulated license and mandate with a monopoly claim, as is the case with doctors, psychotherapists or lawyers, for example). Thus, the traditional concept of profession must be taken into account, but also revised, in order to do justice to the current social conditions and the specific field of activity of coaching. In addition to the professional development of coaching, the professionalism of the coach is an essential yardstick for the quality of the coaching: It should not only establish and secure the coaches professional competence, but also the independence of his professional thinking and acting.

1.2 DEFINITIONS: Coaching is the professional consultation, accompaniment and support of people with management and control functions and of experts in organizations. Coaching aims at the further development of learning and performance processes with regard to primarily professional concerns. This can be preventive, developmental, orientational and/or problem solving. The following facets have differentiated themselves: Business Coaching (general: job-related coaching), executi-

ve coaching (coaching with executives in top management), life coaching (including personal, biographical or family aspects).

1.3 APPLICATION AREAS: Coaching finds many applications both in both personnel and in organizational development. The constellations in which coaching situations suitable for setting a course occur in professional contexts can be assigned to four classical application areas: (1) Organizational development, (2) Management development, (3) Positioning in the case of operational and/or personal reorientation, (4) Conflict management.

1.4 DIFFERENTIATION FROM OTHER CONSULTING FORMATS: The profile of coaching differs from other consulting formats that deal with personal or professional issues. (1) Supervision, (2) Training, (3) Outplacement counselling, (4) Mentoring, (5) Moderation, (6) Mediation, (7) Management and organizational counselling, (8) Psychotherapy. Today, however, coaching is often combined with other professional consulting formats, such as training or management consulting.

1.5 THE SETTINGS OF COACHING: Coaching settings are the external arrangement between coach and client or clients. Like any professional interaction, it is within an institutionalized framework that can vary according to two characteristics: (1) The extent to which client and coach or both are involved in an institutionalized social system or organization (individual contracts, teaching coaching, team coaching, internal coaching). (2) According to the number of clients participating in the coaching (individual, group, team coaching). This also results in specific role constellations where coach and client face each other, as well as in topics and methods.

1.6 COMPETENCE REQUIREMENT PROFILE FOR COACHES: Competences are created on the basis of knowledge. The sociology of knowledge distinguishes knowledge structures in three life worlds: individual, interaction, institution. The competence model for Business Coaching is therefore based on these three levels and requires appropriate knowledge and skills in order to understand how it happens intrapersonally, interpersonally and corporately. A competence meets the following criteria: (1) complexity, (2) the divergence of the respective situation does not require ready-made solution patterns, but creative multidimensional problem solving, (3) disposition of a person, i.e. the ability to behave according to the respective requirements, (4) connection with traits, abilities or motives, (5) performance and construct reference, (6) learning and future reference, i.e. competences

are fundamentally able to be developed. The coaching competence comprises the following fields of competence: (1) Methods competence, (2) Social-communicative competence (3) Field and functional competence, (4) Professional competence, (5) Personality or self-competence.

1.7 THE ROLES OF THE COACH: Depending on the client's concerns on the one hand and the respective situation and phase of the coaching process on the other hand, different competences of a coach are particularly in demand, and a coach fulfils different functions within the scope of his or her coaching activities. Accordingly, the attitude, the procedure and the design of the relationship between coach and client also vary, and the coach assumes different roles: process facilitator, instructor, knowledge mediator, trainer, advisor, mentor, sparring partner, relationship worker.

PART 2.
APPLICATION – PROFESSIONAL STANDARDS

Part 2 deals with the **PROFESSIONAL APPLICATION** of coaching. This is where the conceptual framework, the professional ethical canon of values and the knowledge gained through coaching come together and are translated into guidelines for professional action as a coach.

2.1 CODE OF ETHICS describes anthropological principles and professional ethical standards for IOBC coaches. It offers an orientation for a professional considerate attitude and patterns of action derived from it, which are to be combined with the respective professional competences in a process of reflection that is not conclusive. The standards formulated in this compendium are to be seen against the background of this code of ethics and can only represent a criterion for professional quality in this context. In eleven sections, (1) a general anthropological principle is named, from which (2) conclusions for coaching and the basic ethical understanding of the coaches and (3) maxims for action in practice are derived.

2.2 GLOSSARY ON THE CODE OF ETHICS: In a subsequent glossary, some key terms are explained with their scientific backgrounds, as they partly deviate from an understanding of everyday language: (1) ethics and morality, (2) body-soul-mind-subject, (3) dialog, (4) life-world, (5) ethics in complex life-worlds, (6) freedom of will, autonomy, (7) work, (8) institution and organization, (9) power, (10) symmetric vs. asymmetric relationship.

2.3 COACHING PROCESSES: The design of the coaching process, the actual provision of services, is explained in detail. A process model with seven process steps is presented, whose respective objectives and associated responsibilities for all participants are described in detail. These process steps are: 1. initiating (determination and identifying a need, finding potentially suitable coaches, matching and selecting a suitable coach, making contact and clarifying the situation); 2. taking stock and clarifying the assignment (taking stock, iterative clarification of objectives, offer and contract); 3. reconstructing concerns and exploring the context (report and reconstructions, context analyses, target adjustment and guiding questions); 4. Deepening and pattern change (relationship-forming activities of the coach, focusing, reflecting, analyzing, evaluating, developing action plans, looking at reference objects); 5. solution and strategy development (developing options and strategy); 6. implementation support (trial treatment, learning process support, transfer); 7. conclusion and evaluation (balance sheet discussions, notes on evaluation).

2.4 PROFESSIONAL STANDARDS FOR EDUCATION AND TRAINING: Coaching further education sees the mediation of a professional coaching attitude and the qualification for professional coaching as being the goal. The professional standards presented here are based on the "professionalism" of the coach and help the him to establish and secure his professional competence and the independence of his professional thinking and acting in further education. We do not assume a standardized uniformity of a clearly defined occupational profile with codified knowledge bases and a standardized level of competence. Rather, the quality requirements for further training in coaching are guided by the filter of the above-mentioned understanding of the profession. This enables a diversity of entry requirements, other characteristics, developments and, in particular, the achieved qualifications and the professional focus of graduates. The standards for professional action by educational provider for Business Coaching are described in the following subject areas: (1) the further education provider and its range of services, (2) the further coaching education with the following sub-topics: goal of further education, participants of further education, entitled teachers, teaching content, didactics and quality assurance.

2.5 SPECIAL CHARACTERISTICS OF INTERNAL COACHING: Since internal coaches derive their legitimacy from the respective organization as well as from the standards represented in associations and training courses, balancing between organizational interests and professional standards is characteristic of internal

coaching and the exercise of roles by internal coaches. The benefits and objectives of internal coaching lie in the following aspects: Support organizational changes, strengthen employer brand, innovation for personnel development and retention strategy, build and protect know-how. The following dimensions are relevant for the conception of internal coaching: the objective, the acceptance of the organization for coaching, the size of the organization, interferences e.g. with other offers of personnel development and the type of evaluation.

2.6 CONCEPT OF QUALITY AND QUALITY MANAGEMENT: The professional action of a coach includes, in addition to his or her qualified consulting services and the respectable behavior described in this compendium, the assurance and development of the quality of his or her services and company. This concerns three different levels of quality: (1) the structural quality (the conceptual, personnel, material and structural prerequisites), (2) the process quality (the activities and procedures in the coaching itself) and (3) the result quality (the success of the coaching). The instruments required for this should relate both to the organization of the coaching conditions and to the quality of the coaching itself. Structural aid and proposals for procedures are formulated for this purpose: It sets out some basic positions on quality management and describes quality management tools that can be used to ensure and develop quality. The instruments of quality management to be mentioned are: (1) documentation, (2) supervision, professional advice, (3) training, (4) quality circles and intervision, (5) dealing with complaints and dissatisfaction, (6) evaluation, (7) quality development process, (8) review.

2.7 POSSIBILITIES OF AN EVALUATION OF COACHING: When it comes to the scientific nature of coaching, the evaluation of coaching must also be discussed. For this reason, some basic evaluation concepts, existing attempts at evaluation, but also problems associated with the evaluation of coaching are discussed here. Despite all reservations, it must be in the interest of the coaching community to seriously deal with the effects of coaching. And since coaching is a global market, it will nonetheless be necessary in the future to legitimize coaching activities through reflected evaluation measures. For this purpose, ideally neutral research institutes should be commissioned, for example universities, with the aim of not only recording Happiness indices, but also using scientific standards to determine learning and transfer effects and, if possible, economic effects through coaching.

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Compendium with the IOBC professional standards

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