Mentoring and Coaching: A Literature Review for the Rail Industry
Synopsis: This literature review contributes to the activities of the CRC for Rail Innovation’s Workforce Development Program by reviewing current issues and developments in the areas of formal mentoring and workplace coaching practice in Australia and internationally - informing the development of a national framework for the Rail Industry. The review features commentary on emerging practices in mentoring and coaching within a wider strategy on human resource development and highlights the differences between each activity. Despite the increasing popularity of mentoring and coaching, the review considers a range of ethical and organisational issues surrounding professionalisation and the need for good-practice standards.
# TABLE OF CONTENTS

**EXECUTIVE SUMMARY** ........................................................................................................ I
**LIST OF TABLES** ................................................................................................................... III
**LIST OF FIGURES** ................................................................................................................ III
**ABBREVIATIONS AND ACRONYMS** .................................................................................... IV

**CHAPTER 1: OVERVIEW** .................................................................................................... 1

**CHAPTER 2: WORKPLACE MENTORING** ........................................................................... 3

2.1 **WHAT IS MENTORING?** ............................................................................................. 3
  2.1.1 Mentoring and other developmental relationships in the workplace ..................... 4
2.2 **A BRIEF HISTORY OF WORKPLACE MENTORING** .................................................. 5
  2.2.1 Origins of the term ‘mentor’ ....................................................................................... 5
  2.2.2 Mentoring in the Renaissance and Industrial Revolution ....................................... 6
  2.2.3 Mentoring in current turbulent times ......................................................................... 6
2.3 **INFORMAL AND FORMAL MENTORING** .................................................................. 8
  2.3.1 Informal mentoring ..................................................................................................... 8
2.4 **ETHICAL ISSUES IN FORMAL MENTORING** ............................................................. 12
2.5 **CONDUCTING A WORKPLACE MENTORING PROGRAM** ........................................ 14
  2.5.1 Defining the purpose .................................................................................................. 15
  2.5.2 Assessing organisational readiness .......................................................................... 15
  2.5.3 Selecting a program model ...................................................................................... 16
  2.5.4 Professional standards in mentoring programs ...................................................... 18
  2.5.6 Selection and training of participants ..................................................................... 22
  2.5.7 Matching participants ............................................................................................. 24
  2.5.8 Facilitation and coordination .................................................................................. 24
  2.5.9 Evaluating the organisational outcomes of a mentoring program ....................... 24
  2.5.10 Timelines of evaluation ......................................................................................... 28
  2.5.12 Level of evaluation within organisational settings .............................................. 30
  2.5.13 Case study of an evaluation ................................................................................... 31
  2.5.14 Mitigating the risk of negative experiences ......................................................... 32
2.6 **EMERGING PRACTICES IN WORKPLACE MENTORING** ........................................ 34
  2.6.1 e-Mentoring .............................................................................................................. 34
  2.6.2 Emerging practices in workplace mentoring .......................................................... 38
2.7 **SUMMARY** .................................................................................................................. 38
  2.7.1 Organisational culture .............................................................................................. 38
  2.7.2 Emerging issues ........................................................................................................ 39
  2.7.3 Selection, training and matching of participants .................................................... 39
  2.7.4 Benefits ..................................................................................................................... 40

**CHAPTER 3: WORKPLACE COACHING** ...................................................................... 41

3.1 **INTRODUCTION** ............................................................................................................ 41
3.2 **WHAT IS COACHING?** ............................................................................................... 41
3.3 **A BRIEF HISTORY OF WORKPLACE COACHING** ................................................. 43
Executive Summary

This literature review is the first stage of a larger CRC research project that aims to develop a national mentoring and coaching framework and learning resource for the rail industry. The output of this research will examine the relevance of mentoring and coaching in the context of rail and will contribute to the knowledge of how to achieve a uniform approach to workforce development across Australia, using developmental tools within mentoring and coaching techniques.

Mentoring and coaching are both subjects that have been around for a long time, but the recent upsurge in business interest is driven by a pressing need for organisations to harness tacit knowledge from valued employees, provide development in areas where formal training may be inappropriate and find ways of engaging staff to aid retention and improve performance.

Mentoring and coaching belong to the same family of learning activities contained within the human resource development portfolio and sit somewhere in the middle of a longer continuum between formal, public lectures at one end and personalised counselling or therapy at the other. In an era when many employees complain of ‘training fatigue’, mentoring and coaching may offer an alternative form of professional development that is more individually tailored to the needs of people and less intrusive in terms of time away from work.

This literature review takes a broad sweep of the vast amount of information available on mentoring and coaching, while attempting to capture the essence of what rail organisations will need to consider. Of prime importance, as with most learning and development activities, is the sustained commitment and support of senior managers. Mentoring and Coaching programs require not only solid financial support and a longer-term outlook on the benefits, but also a healthy amount of emotional support and encouragement from organisations’ most senior leaders.

Chapter 2 of this report deals with mentoring and reviews the progression of mentoring from its early development to the latest applications using the Internet and smart technologies. For hundreds, if not thousands of years, mentoring has been characterised by six facets: an underpinning reason or goal, a valued relationship with one or many, the transfer or development of knowledge, psychosocial development or support, mutual benefit for those taking part and a desire for the mentee to grow. While mentoring attracts a large number of positive reviews, within these facets, the literature reveals some hidden issues that can weaken on the success of mentoring. The review considers each in turn and these relate to: how an organisation first becomes aware of the need for mentoring, how a mentoring program is designed and communicated; how mentors and mentees are selected, matched and trained; ethical issues and standards of behaviour within a program and finally, how mentoring is evaluated for results at individual and organisation level. The literature makes an important point that the best type of mentoring arrangement is often informal and self-selected; therefore, formal programs should aspire to achieve the same level of credibility and engagement among participants.

Chapter 3 of this report considers coaching; in particular, coaching approaches, genres and contexts most relevant to the rail industry. Coaching as a legitimate practice was first researched and published in the late 1930s but was only substantially published in the 1990s. Today there is a substantial and growing body of literature and research available
across many disciplines (see Figure 3.1). This provides a significant amount of evidence-based research upon which to base critically informed decision-making for those rail organisations wishing to embark on or evaluate their current coaching activities. The field now boasts three academic journals dedicated to coaching and two journals that cover both coaching and mentoring. It has also seen the establishment of an array of international and national professional bodies which in turn has seen the development of coaching standards and certification and a growing number of university-based courses. The literature review on coaching has unearthed a variety of approaches all with a mix of theoretical foundations and underpinnings. Due to the limitations placed on this review we have only been able to present a brief overview of each approach; nonetheless, we have provided a list of further readings for those interested in more detailed reading. The key messages that have emerged from the coaching literature review include:

- the array of coaching approaches and genres (and their related theoretical foundations) provide both choice and challenge in terms of evaluating the option(s) which will best suit organisational needs. This diversity provides a ‘smorgasbord of choice’ and allows for the customised development of coaching interventions;

- the increasing professionalisation of coaching provides a safeguard for the rail industry when evaluating the services of external coaches and coaching services, hence increasing organisational risk mitigation, quality service provision and increasing the likelihood of return on investment;

- the benefits of coaching, as evidenced by the research presented, can be significant for a variety of staff at different stages of their respective careers. It is not only in the exclusive domain of the executive or senior leadership but applicable to all staff. It also proffers benefits for overall organisational performance through workforce development initiatives;

- the development of a coaching culture is an imperative precursor to implementing a coaching intervention or Human Resource Development (HRD) activity.
List of Tables

1.1 Distribution of literature consulted ............................................................................. 3
2.1 Informal and formal mentoring ....................................................................................... 15
2.2 Ethical considerations in formal mentoring ................................................................. 17
2.3 Guidelines for mentoring programs ............................................................................... 22
2.4 ISMPE Six Core Standards .......................................................................................... 23
2.5 Drawbacks of mentoring programs ................................................................................ 34
2.6 Reported strengths of existing mentoring programs ..................................................... 34
2.7 Reported weaknesses of existing mentoring programs .................................................... 35
2.8 Reported obstacles to implementing a mentoring program ........................................... 35
2.9 Would consider adding mentoring program to curriculum ............................................ 35
2.10 Benefits and challenges of e-mentoring ...................................................................... 40
3.1 Definitions of coaching .................................................................................................. 47
3.2 Professional coaching associations and bodies .............................................................. 54
3.3 Coaching theory matrix .................................................................................................. 87

List of Figures

2.1 The relationship between mentoring and coaching ......................................................... 8
2.2 Number of mentoring publications ............................................................................... 10
2.3 Disciplinary focus of mentoring publications ............................................................... 10
2.4 Four phases of a best practice mentoring program ......................................................... 21
2.5 Factors affecting the quality of a mentoring program ..................................................... 24
2.6 Overall e-mentoring experience .................................................................................... 39
2.7 Recommend e-mentoring to a colleague ....................................................................... 39
3.1 Number of coaching publications ................................................................................... 49
3.2 Disciplinary focus of coaching publications .................................................................... 49
3.3 The ACER coaching model ........................................................................................... 69
3.4 The coaching relationship ............................................................................................... 70
3.5 The coaching pyramid .................................................................................................... 74
Abbreviations and Acronyms

ASCCANZ  Association, Supervision, Coaching and Consultancy Australia and NZ
COF    Cultural Orientations Framework
EI     Emotional Intelligence
GCC    Global Convention on Coaching
HRD    Human Resource Development
ICF    International Coaching Federation
ICRF   International Coaching Research Forum
ISMPE  International Standards for Mentoring Programmes in Employment
PD     Professional Development
WABC   Worldwide Association of Business Coaching
Chapter 1: Overview

This review is the first section of a larger CRC research report (P4.119) which addresses how formal mentoring and coaching techniques can be used to benefit the Australian rail industry. When taken together, these separate but closely related areas of human resource development (HRD) are on the increase and making an important contribution to contemporary workforce development strategies. According to a study in Fortune 500 companies (Hegstad & Wentling 2004, p. 421), mentoring [and coaching] programs help organisations to ‘cope with the challenges of increased globalisation, technological advancements, and the need to retain a high quality—and thus highly employable—workforce’. The report further suggested that these two activities have an important role to play in increasing employee engagement, job satisfaction and retention.

Modern organisations, including those within the Australian rail industry, are also facing a range of internal challenges including deregulation, market competition, flatter organisational structures and increased work complexity (Jacobs 2003, p. 37). Most governments and many organisations see the need for ongoing workplace learning in order to ensure sustainability (Darwin 2000, p. 198). In this context, mentoring and coaching are often promoted in the HRD and professional development (PD) literature as useful processes to facilitate learning, manage change, improve staff retention and optimise performance. This review will seek to identify the benefits of such initiatives as well as potential challenges that need to be addressed in order to maximise their chances of success.

This report offers a systematic review of literature and explains why and how mentoring and coaching have developed to take different forms—from traditional one-to-one pairing of a more experienced person with a junior colleague, to an emerging trend of group mentoring and coaching processes in which a number of employees mentor or coach each other. The report touches on e-learning processes where coaches or mentees use Internet, iPhone or Tablet technologies to connect in an informal and often less-planned way to traditional approaches.

In these new learning environments, the terms mentoring and coaching are closely related and are often used interchangeably. However, this report will attempt to explain the defining characteristic of each concept—discussing when and how both techniques can be deployed in the rail environment. Above all, this report aims to offer a balanced review of the mentoring and coaching literature, extracting insights and key issues from a large amount of information available in both academic and professional publications. It draws on information from a cross-section of research reports, journal articles and books—taken from both Australian and international sources. The distribution of literature consulted is indicated in Table 1.1.
Table 1.1: Distribution of literature consulted

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<th>Type</th>
<th>Regional Focus</th>
<th>Discipline</th>
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<td>2007-2012</td>
<td>62</td>
<td>USA</td>
<td>Social Science</td>
</tr>
<tr>
<td>2000-2006</td>
<td>19</td>
<td>Australia</td>
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<tr>
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<td>14</td>
<td>Europe</td>
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<tr>
<td>1980s</td>
<td>3</td>
<td>Asia</td>
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<tr>
<td>Pre 1980</td>
<td>2</td>
<td>Other</td>
<td>Health</td>
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<td><strong>Total (%)</strong></td>
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1.1 Context

Since 2008, mentoring and coaching have been cited in several CRC reports that relate to workforce development (P4.102, P4.104, P4.110 and P4.111) and both are recognised as valuable learning techniques, especially when off-job training is limited by time or logistical factors, or the learning is more long-term and developmental in nature. Rail reports further indicate that blended learning (which includes coaching and/or mentoring) may be more suitable in the rail environment where operational pressures and unforeseen events frequently clash with formal training courses. Additionally, as the Australian rail industry expands and competes with other modes of transportation to become the green alternative, some rail organisations are struggling to retain older workers and capture valuable tacit knowledge before it is lost. At the same time, the industry recognises a pressing need to engage apprentices and orientate younger employees towards a future in rail (ARA 2008). Mentoring and coaching may be highly relevant in meeting these strategic needs.

In order to understand the principles of mentoring and coaching and the relationship with HRD in rail organisations, the report is divided into two sections. Chapter 2 will deal with mentoring and this is followed by coaching in Chapter 3. Great care has been taken to ensure the literature review is balanced, comprehensive and fair. Through a process of critical reflection, it is hoped that both the researchers and industry readers will be able to explore how mentoring and coaching techniques can be aligned with rail HRD strategies and whether or not they are appropriate to all rail settings.

Broadly, each chapter will address:

- the background and contexts of mentoring and coaching
- how rail organisations might benefit
- approaches to mentoring and coaching
- applications such as professional development and use of technology
- strengths, weaknesses and other forms of evaluation.
Chapter 2: Workplace Mentoring

2.1 What is mentoring?

Despite numerous articles on mentoring across multiple disciplines including health, education, business, psychology and social sciences, a definitive answer to the question ‘What is mentoring?’ remains elusive. Most definitions provided in the scholarly and practitioner literature refer back to the seminal studies on workplace mentoring undertaken by Kathy Kram in the 1980s. According to Kram (1985),

Mentoring is an intense long-term relationship between a senior, more experienced individual (the mentor) and a more junior, less experienced individual (the protégé). (Kram 1985, cited in Eby & Allen 2002, p. 456)

This early definition has been subsequently critiqued and expanded, so that today there is a proliferation of definitions and discussions of the mentoring concept to be found in the literature. Disputed themes include Can peers be mentors? Can a younger employee mentor an older employee? Can a direct superior be a mentor? Can mentoring be formalised?

Regardless of terminological quibbles, mentoring is ‘a deeply human, normal and very ordinary activity’ (Garvey 2004, p. 8) which occurs spontaneously in communities, institutions and workplaces every day. Mentoring is potentially ‘an important vehicle by which adults learn in our society’ (Merriam 1983, p. 161). Healthy mentoring relationships are based on ‘encouragement, constructive comments, openness, mutual trust, respect and a willingness to learn and share’ (Spencer 2004, p. 5). The characteristics of informal mentoring are captured in this definition by Bozeman and Feeney (2007):

Mentoring: a process for the informal transmission of knowledge, social capital, and psychosocial support perceived by the recipient as relevant to work, career, or professional development; mentoring entails informal communication, usually face-to-face and during a sustained period of time, between a person who is perceived to have greater relevant knowledge, wisdom, or experience (the mentor) and a person who is perceived to have less (the protégé). (p. 731)

Most contemporary literature identifies two significant dimensions to the workplace mentoring relationship: career-related and psychosocial. For the mentee, reported career-related benefits include promotions, higher earnings, improved levels of job satisfaction and more optimistic career expectations. Reported psychosocial benefits for the mentee include enhanced levels of engagement, increased self-esteem and an opportunity to share experiences with a trusted role model (Hallam et al. 2003; Herrington et al. 2006; Lo & Ramayah 2011). Mentoring may also be a useful buffer under adverse work conditions (van Emmerik 2004a), such as when the mentee feels isolated or is new to the work environment (Hallam et al. 2003). For the mentor, the relationship can also have positive outcomes (Haggard et al. 2011) such as increased satisfaction from enabling others to learn, learning the art of reflective dialogue and developing one’s own interpersonal skills (Institution of Railway Operators).

These employee outcomes can also have positive implications for the organisation. In times of increased workplace turbulence and mobility, mentoring can help to build morale (Lo & Ramayah 2011) and improve the level of retention (Herrington et al. 2006). Mentoring can
promote good management-employee relations, thus improving overall job performance (Burgess & Dyer 2009, p. 465). Furthermore, formal mentoring programs allow organisations to utilise the skills of experienced staff by encouraging the transfer of tacit knowledge to mentees who may be new to the organisation (Koc-Menard 2009).

It is important to recognise that none of the reported benefits of mentoring are assured, whether for the mentee, the mentor or the organisation. Many aspects of workplace mentoring relationships remain under-researched and inconclusive. For example, the issue of causation has not yet been resolved: does mentoring build competence, or does competence attract mentors (Chandler et al. 2011, p. 529)? Some recent studies suggest that ‘effective mentoring is [as] much a function of protégés as it is of mentors (Chandler et al. 2011, p. 529). Furthermore, as we shall see, not all relationships result in positive outcomes. Nevertheless, workplace mentoring appears to be a ubiquitous phenomenon, with different cultures emphasising various dimensions of the relationship. Literature from the United States tends to focus on career implications of mentoring, while the European literature emphasises personal development and learning (Megginson 2000; Klasen 2002; Bright 2005; Poulsen 2006). Australia presumably borrows from both American and European traditions.

Throughout the literature, the terms protégé or mentee are used interchangeably to refer to the recipient of a mentoring process. For the sake of consistency, this review will use the term mentee (except when quoting other writers).

In an effort to capitalise on the reported benefits of naturally occurring informal mentoring, many organisations have introduced programs designed to ‘kick-start’ the mentoring process. Formal or facilitated mentoring refers to ‘mentoring relationships that are established, recognized, and managed by organizations and are not spontaneous’ (Bozeman & Feeney 2007, p. 732). Some researchers and practitioners are dubious about the effectiveness of such programs in achieving the desired outcomes (Megginson 2000, p. 257). However, Bozeman and Feeney note that genuine mentoring relationships can and do arise from formal programs:

Our decision to define mentoring in such a way as to disqualify formal mentoring contains no judgment about the thousands of formal mentoring programs that have been set up in organizations. We view formal mentoring programs as sowing the seeds of relationships, many of which flower into useful and productive mentor relationships. (p. 733)

This review is principally concerned with formal mentoring in the belief that it can, in some cases, result in productive and satisfying mentoring relationships.

2.1.1 Mentoring and other developmental relationships in the workplace

This review considers mentoring alongside an equally popular HRD process—coaching. It is important to evaluate both techniques in the context of the rail industry, recognising that the concepts overlap in a number of ways (Figure 2.1). For example, both coaching and mentoring are developmental interactions directed towards learning outcomes; both techniques can have formal or informal dimensions, take place over a long or short period of time and be applied irrespective of the recipient’s work role or position.
Figure 2.1: The relationship between mentoring and coaching

Haggard et al. (2011, p. 292) suggest that the core attributes that distinguish mentoring from other work-related relationships, such as counselling, advising and supervising, are:

Reciprocity: involving a mutual, rather than one-way, social exchange

Developmental: benefits are often lasting benefits that go beyond strictly job-related skills or protégé benefits required by the organisation

Regular/consistent interaction: typically of a longer term nature than other workplace relationships.

2.2 A brief history of workplace mentoring

There are two principal reasons for including some background knowledge of mentoring in this report. First, it highlights awareness of what has gone before and secondly, it enables us to learn from the past and prevents policy makers from making decisions in ignorance of previous experience.

2.2.1 Origins of the term ‘mentor’

The mentoring literature customarily turns to ancient Greece to locate the ‘archetypal’ mentoring relationship. In Homer’s Odyssey, a mythical poem written at least 3000 years ago, Mentor was an older man whom King Odysseus entrusted to care for his household, including his young son Telemachus, while he went to war. According to Homer’s plot, Mentor actually lacked the caring, nurturing qualities that are typically associated with mentoring today. Instead, Telemachus was guided by the goddess Athena, who took on various disguises including that of Mentor (Colley 2002; Ragins & Kram 2007). The modern connotations of mentor originate in a comparatively ‘recent’ work of fiction. In 1699, the French writer and educator François Fénélon published Les Aventures de Telemaque, a tale intentionally modelled on Homer’s Odyssey. In Fénélon’s ‘sequel’, Mentor was endowed with the virtues that have come to be associated with mentoring today (Roberts 1999). From Fénélon’s very popular book, the word mentor, with its current meaning, eventually found its way into the English language.
2.2.2 Mentoring in the Renaissance and Industrial Revolution

Turning from literature to the real world, we find that mentoring played an important role in apprenticeships as a key way in which skilled crafts and trades were learnt during pre-industrial times. For example, in 16th century England, young people were indentured as apprentices to business owners in an arrangement managed by the craft and trade Guilds. The apprenticeship system served two purposes. Firstly, it enabled Guilds to control labour supply because an indenture was binding and labour for the cost of producing the goods was assured. Secondly, an apprenticeship assured a young person a livelihood for a number of years while ensuring that skills were learnt in particular trades. Apprentices entered the contract at the age of 14 and remained with the one employer until they were 21 years old. During this time, the education and training of the young apprentice was conducted by a number of people skilled in a given trade or craft. Typically, the main craftsperson passed on knowledge and skills to ensure the apprentice developed competency. As well as the transfer of skills and knowledge, apprenticeship enabled the individual to be socialised into the cultural norms of the workplace. With the Industrial Revolution, the master-apprentice relationship gave way to the employer-employee relationship (Murray 2001, p. 9). Increasingly, training shifted off site to institutions which, although offering a more structured learning environment, provided fewer opportunities for workplace mentors to pass on their specialised skills and tacit organisational knowledge.

2.2.3 Mentoring in current turbulent times

More recently, significant changes in the economic and political environment during the 1980s and 1990s were accompanied with widespread organisational downsizing and a shift in expenditure away from apprenticeship and training. These changes inevitably had repercussions for mentoring; for example, reducing the number of experienced employees available as mentors. At the same time, a change in gender balance and an increase in diversity added new dimensions to workplace mentoring. According to Hezlett and Gibson (2005, p. 446), books and articles on mentoring began appearing in the scholarly and practitioner press in the late 1970s and early 1980s, and interest in the topic rapidly gained momentum. This interest is illustrated in Figures 2.2 and 2.3. Drawing from the search engine Scopus, Figure 2.2 shows the escalation in publications between 1980 and 2011. Figure 2.3 illustrates a clear bias towards publications on mentoring the social sciences, with business and management in second place.
Despite the enthusiasm demonstrated for workplace mentoring, some of the earlier studies were qualitative in nature and lacked adequate control groups. As Underhill (2006, p. 294) notes, ‘in most cases it is impossible to tell whether these [positive] outcomes were actually the result of the mentoring itself or other confounding variables for which the study has not accounted’. Contemporary studies are attempting to overcome these shortcomings and provide a more robust analysis. Five recent meta-analyses have confirmed that mentoring ‘has positive small-to-moderate effect sizes on objective (e.g. promotions, salary) and subjective (e.g. career and job satisfaction) outcomes’ (Chandler et al. 2011, p. 523).

Today, industries are faced with a number of simultaneous workforce challenges. With the impending retirement of the ‘baby boomer’ generation, many organisations face the loss of specialised skills and knowledge. Industries must compete for a declining labour supply of talented individuals to fill these gaps. These issues are compounded by the pressures of globalisation, rapidly changing technology, privatisation and a high level of competition. The workforce is increasingly multigenerational (Houck 2011) with ‘populations previously underrepresented in organizations becoming an integral part of the workforce’ (Stevens et al. 2008, pp. 116-117).

Furthermore, there is ‘a widespread recognition of the limitations of formal classroom-based teaching and training (Klasen 2002, p. 5). Contemporary approaches to facilitated mentoring must take into account these workplace realities in order to optimise programs. At the same time, they need to acknowledge the changing experiences and attitudes of employees. Rather than anticipating a career for life, in today’s workplaces, ‘individuals will experience mini-learning cycles as they transition between and within organizations’ (Chandler et al. 2011, p. 520). For all of these reasons, mentoring may be more important now than ever.
2.3 Informal and formal mentoring

When reports of workplace mentoring began to appear in the scholarly, practitioner and popular press, it was rather indiscriminately hailed as a ‘must do’ practice, without which one’s career was essentially doomed (see, for example, Levinson 1978). Since then, researchers and practitioners have realised that the situation may in fact be far more complex than first recognised. Simple dichotomies such as ‘mentoring-good, no mentoring-bad’, or ‘informal-good, formal-bad’ are now being challenged. More attention is being paid to bringing out the best of both informal and formal mentoring in organisational cultures.

2.3.1 Informal mentoring

Regardless of any planned intervention, informal mentoring will occur spontaneously in many workplaces simply as a result of social interaction (Wanberg et al. 2006, p. 410). According to Homitz and Berge (2008),

Good mentors are responsive, good at listening, open and honest, non-judgmental and ethical, approachable and available, good at observing and problem solving, and patient, and they set expectations and have a genuine interest in helping the protégé. (p. 330).

Successful informal mentoring relationships can be highly satisfying and productive for both the mentee and mentor, and ultimately the organisation. The Institute of Railway Operators, a UK membership-based training organisation supported by the British rail industry, Government and academic institutions, suggests the following benefits for mentors and mentees:

For the mentor:

- gaining valuable experience from other groups within the sector
- developing interpersonal skills
- opportunity to nurture networks
- satisfaction from enabling others to develop
- learning the art of reflective dialogue
- achieving clear goals and direction
- learning

For the mentee:

- developing reflective learning
- developing wider network influence
- introduction to new ideas
Increased confidence and self-awareness

- increased confidence and self-awareness
- increased creativity and innovation
- developing clearer goals and direction
- realising professional aspirations

Source: [http://www.railwayoperators.org/LearningandDevelopment/Mentoring.aspx](http://www.railwayoperators.org/LearningandDevelopment/Mentoring.aspx)

In addition, a range of organisational benefits can accrue from mentoring, including:

- stabilising and reinforcing company values (Bamford 2011)
- improved communications across different organisational levels or between divisions (Bamford 2011)
- professional development of both mentee and mentor (MacGregor 2000)
- Exchange of knowledge and skills from senior to junior partner in the dyad. In the case of so-called reverse mentoring, hierarchically senior staff can learn valuable skills, such as emerging communication technologies, from hierarchically junior staff (Chaudhuri & Ghosh 2011)
- Identifying talent
- Increased organisational engagement and loyalty (Ragins 1997; Allen et al. 2005)

However, there is also a ‘dark side’ to mentoring (Long 1997, p. 115). Traditional informal mentoring can be highly selective and elitist in nature (Ehrich & Hansford 1999, p. 94) with the perception of ‘jobs for the boys’ leading to questions of workplace fairness and equity. The quality of the relationships can vary, and naturally occurring pairings ‘tend to exclude people who do not fit the mould, by virtue of their gender, race, culture or some other differentiating factor’ (Clutterbuck 2004, p. 16).

Informal mentoring relationships can turn sour with negative outcomes for the mentee, the mentor and/or the organisation (Eby, Butts, Durley & Ragins 2010). Mentors can have various motives for engaging in mentoring relationships, ranging from altruistic (e.g., wishing to leave a legacy and contribute to the community) to the selfish and manipulative (de Janasz et al. 2003, p. 78). For example, in their study of mentors at manager level in the finance sector, van Emmerick, Baugh and Euwema (2005) concluded that,

Individuals are more likely to engage in mentoring activities and to desire to become a mentor if they have high career aspirations. This relationship may be the result of an instrumental perspective on the part of the mentor, who sees developing a cadre of loyal and supportive organizational members as having a positive effect on his or her own career advancement. (p. 310)

The limited empirical data available suggests that the frequency of negative mentoring experiences from the mentee’s perspective is not to be dismissed. In a survey of 156 mentees, Eby and colleagues (2000) found that 54 percent had been in at least one negative
mentoring relationship. Negative mentor behaviours include taking credit for the mentee’s accomplishments, politicking and sabotage, abuse of power, mentee neglect, poor attitude and inappropriate delegation (Eby et al. 2000). Likewise, mentors report their share of problematic mentees. Negative mentee behaviours include exploitation of the mentor, deception, over-dependence, sabotage and unwillingness to learn (Eby & McManus 2004).

2.3.2 Formal mentoring

Many organisations supplement naturally occurring informal mentoring with formal programs. According to Clutterbuck (2004) ‘[O]ne of the goals of formal mentoring programs is to bring the organization to the point where the majority of the mentoring is carried out informally, without the need for substantial, structured support from HR and elsewhere’ (p. 16). Until recently, there has been a lack of research findings related to formal mentoring outcomes. According to Eby and Lockwood (2005), ‘most of the empirical research is either based on informal or spontaneously developed mentoring relationships or has failed to ask protégés whether or not they are involved in formal or informal relationships’ (p. 442). Presumably any of the mentor, mentee and organisational benefits of informal mentoring can potentially arise from a mentoring program. In addition, proponents of organisational mentoring programs cite some advantages of formal mentoring over informal relationships. For example, when applied non-selectively across employee populations, programs may counter the perception of bias which can accompany informal mentoring. As Ehrich and Hansford (1999) point out, ‘The major advantage of formal mentorship is it ensures that mentorship is extended to individuals and minorities who would not have been considered previously within the organization’ (p. 95). Formal mentoring programs can also help to attract and retain employees because, ‘when employees believe that the organization is committed to them, they feel obligated to be committed to the organization’ (Baranik, Roling & Eby 2010, p. 366).

Gibb (1999) outlines the following organisational reasons for introducing formal mentoring:

- better induction and socialization (e.g., new graduate trainees)
- complement formal learning processes (e.g., professional development)
- to improve performance (e.g., grooming for promotion)
- to realize potential (e.g. equal opportunities) (p. 1058)

However, any organisation intending to implement a formal or facilitated mentoring program must consider the financial, logistical, practical and ethical perspectives of the initiative. As Allen, Poteet and Finkelstein (2009) comment, ‘a formal mentoring program may not be right for every organization or a program may be implemented for the wrong reason’ (p. 4). Darwin (2000) sees ‘a contest between those who construct mentoring within a functionalist perspective (where the task is to yield efficiency) and others who consider it a matter of social justice’ (p. 199). If an organisation’s motives are entirely pecuniary, for example to enable cuts in training budgets, or as a low-cost way of socialising and retaining employees (Moberg & Velasquez 2004, p. 114), then the results may disappoint. Lack of managerial commitment frequently results in failure:
All too often people in an organization that spends valuable time, energy and resources in building a mentoring program end up feeling disappointed, frustrated, and dissatisfied because of their inability to sustain either the program or its results. Some viewed their mentoring program as a cure-all for everything that had previously gone wrong and yet committed no funding to supporting mentoring ... if a mentoring program is not sufficiently embedded in a supportive organizational culture that values learning and development, it rarely flourishes. The program may enjoy short-term success but then disappear. It becomes the whipping-boy for other programs and initiatives and problems. It competes for dollars, attention, participants. It becomes too easily expendable. (Zachary 2005, p. xxii)

If a formal program is being considered in order to bring about cultural change in the organisation, there are caveats to consider:

Do organisations wish to create a ‘new’ order where development is seen as the way forward? Or is this just another case of management jargon aimed at achieving its own ends with people as the means? If they subscribe to the first question, there are many cultural, structural and management style challenges ahead. If they subscribe to the second, mentoring is likely to fizzle away just like other quick-fix managerial fads. (Garvey 1999, p. 41)

The existing culture within an organisation may inhibit the success of a program:

Unfortunately, corporations that undervalue personal and professional development often see formal mentoring programs as a quick fix. Formal mentoring programs may seem an ideal way to develop people without probing the deep-seated cultural problems. (Kizilos 1990, p. 55)

Just as informal mentoring relationships can be unhelpful to the mentee, mentor or the organisation, the literature also documents a range of negative mentoring experiences which organisations should take into account when embarking on mentoring programs. Apart from negative outcomes already documented for informal relationships, third party matchings have added complications. For example, mentees in formal mentoring relationships are more likely to report mentor lack of interest, self-absorption, neglect, lack of job-related skills and interpersonal competence (Eby & Lockwood 2005, p. 444). In their study of formal mentoring, Eby and Lockwood (2005) reported:

Little evidence that formal mentors act as public sponsors for protégés or take active steps to enhance their promotability or visibility within the organization. We also found that the benefits for mentors appear to be somewhat limited. Further, there was little evidence that formal mentors played a key role in protégés’ long-term career development. Formal mentors simply provided advice, coaching, and perhaps some career planning assistance. We also found little evidence of the deep, intense type of interpersonal relationship. (pp. 455-456)

This suggests that participants in mentoring programs should not set their expectations too high and should be alerted to the possibility of negative experiences so that they can seek assistance from program facilitators should the need arise.
To summarise, participants cannot anticipate that formal mentoring relationships will replicate naturally-occurring mentoring relationships. Table 2.1 outlines key differences between informal and formal mentoring. Of course, given suitable conditions, a formal mentoring relationship may well lead to a successful informal mentoring relationship, but this cannot be guaranteed.

**Table 2.1:** Informal and formal mentoring (adapted from Blake-Beard et al. 2007)

<table>
<thead>
<tr>
<th>Informal</th>
<th>Formal</th>
</tr>
</thead>
<tbody>
<tr>
<td>Initiated without organisational support</td>
<td>Initiated by the organisation</td>
</tr>
<tr>
<td>Driving force usually similarity and attraction</td>
<td>Driving force usually organisational agenda</td>
</tr>
<tr>
<td>Mentor and mentee self-select</td>
<td>Mentor and mentee usually matched by third party</td>
</tr>
<tr>
<td>Initial emotions positive</td>
<td>Initial emotions often apprehension, awkwardness</td>
</tr>
<tr>
<td>Often low organisational visibility</td>
<td>Often high organisational visibility</td>
</tr>
<tr>
<td>Unstructured meetings as needed</td>
<td>Meeting schedule structured by program facilitator</td>
</tr>
<tr>
<td>May be no explicit goals</td>
<td>Explicit organisational goals</td>
</tr>
<tr>
<td>Can be long-term in duration</td>
<td>Usually short-term, with a pre-determined endpoint</td>
</tr>
</tbody>
</table>

The impact and effectiveness of formal mentoring programs on mentees, mentors and organisations remains an under-researched concern (Blake-Beard 2001; Baugh & Sullivan 2005, p. 331). Unfortunately, ‘many organizations are developing and implementing formal mentoring programs without the benefit or guidance of empirical research’ (Blake-Beard 2001, p. 334). This is all the more reason for rail organisations in Australia to base formal mentoring programs on sound principles which are supported by adequate funding and solid organisational commitment.

### 2.4 Ethical issues in formal mentoring

As with any workplace intervention, there are ethical implications for an organisation intending to embark on a mentoring program. While HRD may play a minimal role in naturally occurring mentoring relationships (McDonald & Hite 2005, p. 574), it often falls on HRD practitioners to develop and co-ordinate formal mentoring initiatives. Under these circumstances, it is vital to be aware of potential ethical issues and to develop effective strategies to counter them (McDonald & Hite 2005, p. 570).

The first question to be answered before initiating an ethical mentoring program is *Why do we wish to offer a mentoring program?* McDonald and Hite (2005) suggest that it is important for HRD practitioners to clarify with organisational leadership ‘that the intention in establishing a mentoring program is to contribute to the development of mentors and protégés, not simply to benefit the organization’s image or to ensure compliance with the prevailing culture’ (p. 574). An ethically sound mentoring program cannot eventuate if the underlying organisational motives are flawed.
The second question to be answered is *Who do we intend to offer the program to?* If mentoring can improve career opportunities, then the selection criteria must ensure that access to the program is equitable (McDonald & Hite 2005). According to McDonald and Hite (2005) a program:

> Should be made available to employees from traditionally underrepresented groups as well as those from the existing majority. This is to counter the potential for mentors to choose protégés who most resemble themselves, a practice that perpetuates the traditional power structure and often marginalizes those who could benefit most from having a mentor to guide them through the organizational system. (p. 574)

In Australia, populations currently under-represented in the public sector workforce include women, Aboriginal people and Torres Strait Islanders, members of racial, ethnic and ethno-religious minority groups, and people with a disability (Spencer 2004, p. 24). Presumably, similar profiles may exist in some private organisations. For these demographic groups, formal initiatives can offer transparent selection and more equitable access to mentoring (Spencer 2004, p. 24).

Finally, HRD practitioners need to be aware that, whether formal or informal, most mentoring relationships involve an unequal distribution of power (McDonald & Hite 2005, p. 572). Typically, mentors hold more organisational power than mentees, and ‘this basic inequality means that mentors must assume greater responsibility for the course of the relationship’ (Moberg & Velasquez 2004, p. 97). This suggests that participant training and follow-up (discussed further below) should be built into the program design so that mentors and mentees are mutually aware of their ethical obligations in terms of power and confidentiality.

A summary of ethical considerations is provided in Table 2.2.
Table 2.2: Ethical considerations in formal mentoring

<table>
<thead>
<tr>
<th>Ethical concern</th>
<th>Possible consequence</th>
<th>HRD response</th>
</tr>
</thead>
<tbody>
<tr>
<td>Inappropriate cultural replication</td>
<td>Diversity inhibited</td>
<td>Ensure program goals are: ethical, beneficial to all parties, conducive to good practice</td>
</tr>
<tr>
<td></td>
<td>Jobs-for-the-boys reinforced</td>
<td></td>
</tr>
<tr>
<td>Limited access</td>
<td>Under-represented groups miss out on mentoring benefits (psychosocial support, learning, career progression)</td>
<td>Offer program equitably</td>
</tr>
<tr>
<td></td>
<td>Organisational diversity goals hampered</td>
<td>Use selection processes that result in equitable access to mentors</td>
</tr>
<tr>
<td>Abuse of power</td>
<td>Dysfunctional behaviours (over-dependency, exploitation, sabotage, jealousy, violation of confidences, harassment etc.)</td>
<td>Discuss dysfunctional mentoring behaviours in training and provide assistance in troubleshooting.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Follow up dyads with periodic meetings, interviews, and/or surveys to determine satisfaction and address issues that may arise</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Provide ongoing coaching support and training as needed</td>
</tr>
</tbody>
</table>

Adapted from McDonald and Hite (2005)

2.5 Conducting a workplace mentoring program

Having discussed the benefits and potential challenges of formal mentoring and the inherent ethical implications, the subsequent discussion assumes that organisations are committed to the process. Mentoring programs can succeed and achieve positive outcomes when careful consideration is given to their design and implementation. Drawing on practitioner recommendations (for example, Murray 2001; Megginson et al. 2006) several components effective program design are suggested. These may include (but are not limited to):

- defining the purpose
- assessing organisational readiness
- selecting a suitable model that meets stakeholder needs
- promoting the program to potential participants
- recruiting and selecting participants
- training and orientation of participants
- matching participants
Detailed guidelines for conducting successful mentoring programs are best obtained by consulting with reputable professional practitioners or referring to materials published by them (a selection of which is provided at the end of Chapter 2). Several considerations are discussed further below.

2.5.1 Defining the purpose

At the outset, organisations need to be clear about their reasons for introducing a mentoring program. Formal programs are developed in response to a need, and these needs can vary greatly. Megginson et al. (2006) note:

“One of the challenges raised by defining purpose is that the stakeholders ... may not agree about what the purpose is. Indeed, lack of agreement / common understanding of purpose may make the scheme prone to failure in the eyes of many of the stakeholder groups due to the conflict and tensions that this may raise. (p. 8)

Failure to clearly articulate the purpose of the mentoring program will also have implications for evaluation (discussed further below).

2.5.2 Assessing organisational readiness

How does an organisation know it is ready to initiate a mentoring program? According to Management Mentors, an American-based consultancy, organisations should not consider embarking on a mentoring program unless they already have internal structures to support success. Such internal structures include, but are not limited to:

- a performance management program
- a valued training function
- diversity training
- competence-based programs in place
- a commitment to succession planning
- a commitment to management development
- strategic business objective

Source: [http://www.management-mentors.com](http://www.management-mentors.com)
2.5.3 Selecting a program model

When designing a mentoring program, the balance between too much and too little structure is delicate. Too much structure—such as over-detailed training guidelines, complex questionnaires, and extensive paperwork—can be suffocating (Karallis & Sandelands 2009). On the other hand, too little structure can lead to poor quality mentors, inadequate communications, and mentees who operate under the false impression that ‘their mentor will not only get them promoted, but solve all of their life’s problems’ (p. 203). It is important to allow sufficient time for consultation, training and the development of trust between participants (Lang 2010).

In the four examples that follow, practitioners suggest key considerations when implementing a mentoring program.

Bamford (2011) and MacGregor (2000) recommend the following steps to establishing and running a successful mentoring program:

- Secure adequate resources to ensure the program maintains momentum and risks are minimised.
- Formalise the mentoring competences and arrange for professional development from a reputable organisation such as a university business school.
- Consider starting with a small pilot program to test the organisation’s readiness for mentoring.
- Take care in matching mentors with mentees.
- Prepare mentors, by providing all participants with a training handbook to help them understand the mentoring process—with tips for mentors and mentees.
- Allow for a no fault ‘divorce’ if the mentoring relationship is not working effectively.

Clutterbuck Associates ([http://www.generalphysics.co.uk/divisions/clutterbuck-associates/](http://www.generalphysics.co.uk/divisions/clutterbuck-associates/)) suggest a semi-structured process before embarking on a company-wide mentoring program. This process translates into the following stages:

**Pilot programs**

Pilot programs provide organisations with a safe, planned, systematic and measured approach to the implementation of mentoring. A steering group of 6-8 people, taken from a cross-section of the organisation’s stakeholders can:

- determine the goals of the program
- choose an appropriate mentoring model
- select criteria for mentors and mentees
- interview and match potential candidates
- evaluate results at the end of the program.

Source: [http://www.management-mentors.com](http://www.management-mentors.com)
- Develop a strategic case for formal mentoring and win support from senior managers.
- Consult with all stakeholders to the design and promote the program among likely participants.
- Set in place the HR systems, supporting materials and training resources to assist participants.
- Check the program against Standards set by a leading body and adjust if necessary (see below).
- Support the program with on-line mentoring spaces.

This process can be supplemented with the formation of a steering group who oversee the implementation, especially the delicate task of matching mentors with mentees (Lang 2010).

The National Mentoring Association of Australia suggests that a responsible mentoring program requires:

- a well-defined mission statement and established operating principles
- regular, consistent contact between mentor and mentee
- establishment under the auspices of a recognised organisation
- paid or volunteer staff with appropriate skills
- written role statements for all staff and volunteer positions
- adherence to Equal Employment Opportunity requirements
- inclusiveness in relation to ethnicity, culture, socio-economic background, gender and sexuality as appropriate to the program
- adequate ongoing financial and in-kind resources
- written administrative and program procedures
- documented criteria which define eligibility for participation in the program
- program evaluation and ongoing assessment
- a program plan that has input from stakeholders
- risk management and confidentiality policies
- use of generally accepted accounting practices
- a rationale for staffing arrangements based on the needs of all parties.

Finally, Boags (2011) recommends four phases which will help organisations to ensure the efficiency of a mentoring program and safeguard its longevity. These phases (summarised in Figure 2.4) are:

- **Start-up**: Builds the foundation for implementation. Start-up requires a considerable investment in time to meet people, research the topic, plan, prepare materials and brief the stakeholders.

- **Implementation**: Involves promoting the program and inducting stakeholders through written communication, leaflets, websites and employee forums. Boags (2011) suggests that a one-year program can take up to 14 to 16 months to implement.

- **Monitoring and Evaluation**: Evaluation is a critical process for any learning program and intermediate check-points, or formative evaluation, help to measure and monitor progress.

- **Transition and Expansion**: Once evaluation information has been gathered and analysed, mentoring programs typically need revising in one way or another. If the mentoring program creates interest in another part of the organisation, the program may need revision, although should not need to go back to basics.

![Figure 2.4: Four phases of a best practice mentoring program (from Boags 2011)](image)

2.5.4 Professional standards in mentoring programs

Professional standards can be used to describe the abilities, knowledge, understanding and professional values that a mentor demonstrates, but they can also outline the ethical practices associated with mentoring as a process of human interaction. These standards include the need for confidentiality, treatment of diverse groups and imbalances in power.
Standards orientate the behaviour of individuals and, in some professional settings, can provide a means of registration or recognition. Until recently, there has been no unified body of knowledge or professional institution to represent, recognise and accredit standards of competence among mentors, resulting in significant issues relating to quality (Chao et al. 1992; Russell & Adams 1997; Clutterbuck 2008). Part of this reluctance to define a standard may stem from the notion that mentoring is an individualistic activity between two people in a unique context. Given that mentoring is being formalised in many organisations, this notion may require revision.

Recently, several Australian public and private sector bodies have developed their own codes of practice, using the Internet as a platform to communicate a range of development materials, implementation checklists and evaluation frameworks. Eight recent examples of these bodies are provided in Table 2.3.

**Table 2.3: Guidelines for mentoring programs (Australian examples)**

<table>
<thead>
<tr>
<th>Organisation</th>
<th>Title</th>
</tr>
</thead>
<tbody>
<tr>
<td>New South Wales Dept. of Education and Training</td>
<td>A checklist for mentoring programs</td>
</tr>
<tr>
<td>VicHealth, Victoria</td>
<td>Setting up a mentoring program</td>
</tr>
<tr>
<td>La Trobe University, Victoria</td>
<td>Developing a mentoring program in your school</td>
</tr>
<tr>
<td>Australian Womensport and Recreation Association</td>
<td>The Mentoring Program (website)</td>
</tr>
<tr>
<td>Queensland Government</td>
<td>Running a mentoring program (website)</td>
</tr>
<tr>
<td>Engineering Australia</td>
<td>Women in Engineering Mentoring Guidelines</td>
</tr>
<tr>
<td>Planning Institute Australia</td>
<td>2012 Queensland Mentoring Program</td>
</tr>
<tr>
<td>Department of Finance and Deregulation</td>
<td>Women in IT Executive Mentoring Program</td>
</tr>
</tbody>
</table>

In addition to these local initiatives, organisations may refer to the International Standards for Mentoring in Employment (ISMPE), which was launched in 2003. These standards are based on an extensive review of current literature and consultation with academics, practitioners and program managers from Europe, Canada, Australia and the US. The ISMPE have been introduced to provide a consistent and globally-acceptable benchmark of good practice in mentoring program management. In particular, the standards (outlined in Table 2.4) aim to ensure that mentoring programs:

- are well designed and managed
- make a significant contribution to the development of participants
- contribute to the effectiveness of the host organisation.
Table 2.4: ISMPE Six Core Standards

<table>
<thead>
<tr>
<th>Snapshot of ISMPE Standard</th>
</tr>
</thead>
<tbody>
<tr>
<td>1  <strong>Clarity of purpose</strong></td>
</tr>
<tr>
<td>Define clear outcomes and benefits</td>
</tr>
<tr>
<td>Outcomes become viable objectives</td>
</tr>
<tr>
<td>2  <strong>Stakeholder training and briefing</strong></td>
</tr>
<tr>
<td>Concept and roles are fully understood</td>
</tr>
<tr>
<td>Participants are aware of skills they need</td>
</tr>
<tr>
<td>Skill gaps are identified</td>
</tr>
<tr>
<td>Support is available throughout the program</td>
</tr>
<tr>
<td>3  <strong>Processes for selecting and matching</strong></td>
</tr>
<tr>
<td>Mentor is selected to meet needs of mentee</td>
</tr>
<tr>
<td>Relationship between mentor/mentee is mutual</td>
</tr>
<tr>
<td>Significant learning opportunities for mentee</td>
</tr>
<tr>
<td>Process for recognising poor matches</td>
</tr>
<tr>
<td>4  <strong>Effective processes for measurement and review</strong></td>
</tr>
<tr>
<td>Program is measured and assessed frequently to identify problems and make adjustments</td>
</tr>
<tr>
<td>5  <strong>Maintain high standards of ethics and pastoral care</strong></td>
</tr>
<tr>
<td>Code of Ethics and conduct are understood</td>
</tr>
<tr>
<td>Performance against code is monitored</td>
</tr>
<tr>
<td>Participants understand the hierarchy of interests</td>
</tr>
<tr>
<td>6  <strong>Support participant throughout the process/systems of program administration</strong></td>
</tr>
<tr>
<td>Participants have adequate support</td>
</tr>
<tr>
<td>Program is managed professionally</td>
</tr>
</tbody>
</table>

**Why maintain quality standards?** The terms *quality* and *standards* are often used interchangeably in organisational development, especially in critical areas where auditable measures of competence or compliance are required. The ISMPE Standards illustrate how a quality framework can be used systematically to steer mentoring programs, and help ensure that they remain professional and ethical. In mentoring, the term ‘quality’ can apply to a range of internal and external characteristics as illustrated in Figure 2.5.
Organisational environment: Billett (2000, p. 15) suggests that successful mentoring programs exist in supportive workplace environments that are ‘conducive to these kinds of interactions’. This means that mentors and mentees must be ready and willing to participate, and that the organisation leadership and climate provide training and time for mentoring to take place. Billett notes that readiness may be located in how employees feel about a number of organisational factors such as security of employment, levels of trust and the existence of mentoring expertise.

The expertise to manage a mentoring project emanates from a project steering group, established by human resource functions, to lead the program and ensure that quality and standards are maintained (Lang 2010). The quality of advice provided to mentors is a critical factor in building credibility (Emelo 2011) and a steering group further ensures that the advice and training provided align with the agreed goals. Therefore, a successful mentoring program begins at an early stage, with effective communication strategies aimed at clarifying the goals and benefits of using mentoring as a developmental process (DiRenzo et al. 2010).

Training, support and follow-up: Tailored training courses, designed to develop mentor or mentee skills are no different from many other workforce development programs insofar as quality is paramount (Whelan & Carcary 2011). In the case of mentoring, high quality training programs develop both mentor and/or mentee competencies as appropriate to the program design and goals. Given the three fundamental purposes of mentoring namely:
career progression, psychosocial support and personal development, it is possible that mentors may come away from the training with a heightened sense of capability in providing vocational support, but less able to deal with the challenges of providing psychological support or role modelling (Weinberg & Lankau 2011). These insecurities can influence the quality of the mentoring experience for both parties (Gibb 1994; Seibert 1999). In most cases, quality implies:

- thoughtful preparation on the purpose of a mentoring program
- a process to recruit and train willing volunteers
- care in matching the mentor and mentee
- access to resources and on-going professional support
- high quality work assignments during the mentoring (Karallis & Sandelands 2009)
- an exit process with no blame
- a process of long-term evaluation.

**Quality of relationships:** There is much evidence in a wide selection of research reports to support the importance of developing a solid relationship between the mentor and mentee (Eby et al. 2000; Ragins et al. 2000; Weinberg & Lankau 2011). According to Kram and Isabella (1985), mentoring is a deeply personal relationship that has great potential to enhance the development of individuals, but embedded within these relationships are the personal qualities of the mentors and their ability to stimulate a significant amount of trust from the mentee (Crumpton 2011). Effective mentoring relies on positive relationships that are developed in a professional manner since the mentor is, by the nature of their role, in a position of trust, authority and influence. Moreover, for the mentee, a new mentoring relationship is likely to be affected by the quality of a former mentoring relationship or the quality of decision-making within the process (Eby et al. 2006; Bozionelos & Bozionelos 2010), while the mentor is more likely to recall to issues relating to low quality mentees (Eby et al. 2006).

### 2.5.6 Selection and training of participants

Both mentors and mentees cannot be expected to enter a mentoring program pre-equipped with the skills and behaviours that will ensure success. There is widespread acknowledgement that mentors need to engage in programs of professional development, supervision and possibly some form of registration process, either internally or by a recognised external agency. According to Ragins et al. (2000, p. 1119) the degree of a program’s success may depend on the level of ‘stringency in selecting, screening and training mentors’, making sure that later there were valid processes put in place to monitor and measure performance. One prerequisite to mentor training is the candidate’s willingness to become involved in the first place. Parise and Forret (2008) found that, ‘mentors whose participation in the program was more of a voluntary nature were more likely to perceive it to be a rewarding experience’ (p. 236).
Selection of mentors: As Clutterbuck (2011) notes, ‘[n]ot everyone makes a good mentor’ (p. 5). While the selection of suitable mentors is critical to the success of a program, some organisations could struggle to find a sufficient pool of suitable candidates willing to become mentors (Armstrong, Allinson & Hayes 2002). It is important to select potential mentors on the basis of their qualities, rather than their hierarchical position in an organisation:

Some companies have assumed that the qualities of a manager or leader are such that they should automatically be able to perform the mentor’s role. In practice, many managers are unable to escape from the habit of telling and advising. Many also lack the depth of self-awareness that characterises an effective mentor. (Clutterbuck 2011, p. 5)

Weinberg and Lankau (2011, p. 1531) suggest that selection processes would include an assessment of a candidate’s

– previous experience as a mentor
– disposition
– motives
– interpersonal characteristics such as communication skills, being able to listen and refer mentees to a wider network of support.

Training of mentors and mentees: Once a pool of mentors and mentees has been identified and selected, training should be undertaken to ensure that all participants are fully informed of their roles in the programme. According to Clutterbuck (2011):

The most successful in-company mentoring programmes train both mentors and mentees and, at least, provide a detailed face-to-face briefing for line managers. The figures are stark. Without any training at all, less than one in three pairings will deliver significant results for either party. Training mentors alone raises the success rate to around 65%. Training both and educating line managers about the programme pushed the success rate above 90%, with both parties reporting substantial gains. (p. 5)

Training may cover the following themes:

– providing a clear outline of the purpose of the mentoring initiative
– pros and cons of mentoring relationships
– how to set realistic relationship expectations
– building trust
– managing conflict effectively
– recognising problems and seeking help

Sources: Megginson, Clutterbuck, Garvey, Stokes & Garrett-Harris (2006); Eby et al. (2010)
2.5.7 Matching participants

In formal mentoring, matching refers to the process of pairing mentors with mentees to create mentoring dyads. The literature indicates that organisations vary greatly in their matching strategies (Blake-Beard et al. 2007, p. 622). Inappropriate matching impedes the quality of a mentoring relationship and may render the process ineffective. Blake-Beard, O’Neill and McGowan (2007, p. 623) identify three matching methods: administrator assignment, choice-based and assessment-based. Each of these is described briefly.

**Administrator assignment:** Formal mentoring programs are often created to address organisational goals and internal administrators, such as HR personnel, know the participants well. In these situations, the mentors and mentees have less input into the selection process, often relying on the knowledge and insight of the administrator. While this approach may align neatly with the organisational goals, the participants may feel excluded and lack ownership for the end result.

**Choice-based:** In choice-based arrangements, both mentor and mentee take part in a process of mutual selection, or choose a favoured partner from an available list provided by the administrator. Participants are allowed to invest in the process so there is a higher likelihood of complementarity. On the other hand, there is a risk that candidates may select one another based on similarity and comfort rather than development need.

**Assessment-based:** Though time consuming and costly, an assessment-based matching process offers an impersonal goal-oriented approach to matching. A wide range of psychological development instruments, such as MBTI®, can be used to match people with similar traits or attributes. Not only does this increase the level of complementarity, but also complements other human resource activities where increased self-awareness is an imperative to development.

While acknowledging that matching is an important part of the mentoring process, the topic is under-researched relative to other areas and it will be helpful to consider how rail organisations with prior experience of mentoring programs have approached the issue. Equally, the choice of matching technique may be dependent upon the unique goals of each formal mentoring program and, in some organisations, all three approaches may have an important role to play.

2.5.8 Facilitation and coordination

An effective mentoring program requires coordination by a trusted individual or team. Program coordinators administer the program, distribute the promotional materials, train the participants, supervise the matching process, monitor the progress of dyads, provide support and coaching where needed, conduct any activities such as group meetings where all participants are brought together for sharing ideas or feedback, and finally, evaluate the outcomes.

2.5.9 Evaluating the organisational outcomes of a mentoring program

As with any major investment in HRD, it is critical to find empirical data that verifies whether a mentoring program is actually leading to positive outcomes for both mentors and mentees:
If organizations are to enjoy any benefits from formal mentoring programs, it is important to establish that mentoring is actually taking place within the relationships facilitated by the programs. If protégés do not believe that the traditional mentoring functions are actually being provided to them, then organizations can hardly expect that any of the benefits of formal mentoring programs will materialize. (Baugh & Fagenson-Eland 2007, p. 254)

Yet evaluating the benefits of mentoring is not a straightforward process, largely because each mentoring program or individual relationship is unique. Furthermore, there are four key perspectives to evaluating a mentoring program:

1. the mentee
2. the mentor
3. the program facilitator(s)
4. the organisation.

A full evaluation may require each of these perspectives to be considered, and cover an assessment of the program itself (to inform future iterations of the program) and the program outcomes (to ascertain if, what and how the goals were reached). Generally, this report takes a work-related perspective, but the literature also recognises that the beneficial or adverse effects of a formal mentoring program are not contained solely within the workplace setting; and, aspects of evaluation can extend beyond organisational life. The value of psychosocial support is one example of how mentoring can influence the ‘holistic’ wellbeing of a mentor or mentee not only at work, but also in their time away from the job.

In terms of evaluation, it is not always possible to measure causation—that is, to attribute the mentor or mentee outcomes directly to the mentoring program (Lumpkin 2011). Moreover, mentoring uses personalised and subtle interpersonal communication techniques to improve self-awareness and adopts methods not always found in other workplace interventions. In practice, most mentoring programs, both overseas and in Australia, are not formally evaluated and few studies provide concrete and measurable evidence of mentoring effectiveness. However, where evaluation does take place, external evaluations are thought to be preferable to internal evaluations for a number of reasons (Wilczynski et al. 2003):

- They provide a more reliable and independent assessment of the program and have extra credibility.
- People skills in evaluation techniques can be employed.
- It is easier for all parties involved to provide data to an independent evaluator, particularly where negative views are being provided.

Why is evaluation so often lacking? The reasons may include:

- a strong reliance on subjective observation of participants
- the long-term nature of maturation of mentoring relationships
- the voluntary nature of participants
- the difficulty in separating the impact of mentoring from other workplace interventions
- interpreting from small samples
- shortages of funding to support an external evaluation, especially when evaluation is considered as a lower priority.

Using findings from MacGregor (2000) and Wilding and Marias-Strydom (2002), three perspectives of mentoring evaluation are considered: learning, business and wellbeing.

**Evaluating from a workplace learning perspective:** Evaluating the extent to which formal mentoring has contributed to the education and development of a mentee can include the following:

- **Assessing the acquisition of new knowledge:** This assessment might include a progressive testing of whether the mentee has received the knowledge, understood it, can describe how the knowledge might be used and can give practical examples of application.

- **Observing increased levels of skill:** According to Parry (1997), skill development can be evaluated by various strategies including observing actual operations, simulation, role play, case studies, in-box activities and problem solving activities.

- **Identifying increased technical competences:** Competencies, and the assessment of competency, are areas of learning and development that extend far beyond the process of mentoring and are better reflected in the way mentoring schemes blend with other forms of human resource development in an increasingly technological society (Sparrow 2004; Bierema & Hill 2005). Competence-based evaluation requires the assessment of not only the mentee’s knowledge and skill, but also a measure of their attitudes, or ways, in which they carry out their work. Combined, these elements contribute to performance improvement (Parry 1997).

- **Measuring reduction in time spent on formal learning programs:** Critics argue that coaching and mentoring programs are increasingly used as an alternative to formal training, especially when training budgets are limited or taking time away from the job is not possible. Of course, mentoring programs take time and resources albeit in a non-classroom or formal setting, though a new concept of **group mentoring** is reported to combine both techniques. It is argued that ‘group mentoring is emerging as best practice in the training and development world’ (Emelo 2011, p. 221) largely because it offers a cost-effective way of ‘leveraging and multiplying internal expertise’ (p. 223). See also Carvin (2011).

**Evaluating from a business perspective:** Evaluating the extent to which formal mentoring has contributed to individual changes in behaviour and created a favourable outcome for the business can include but is not limited to:
- **Employee engagement, satisfaction and retention**: Studies show that when employees are committed to their organisation, job satisfaction increases, people become attached to their organisation and are less inclined to leave. Mentoring plays an important part in influencing employees’ attitudes and aids retention, especially when the outcomes of mentoring offer career development and advancement opportunities (Emelo 2009; Lo & Ramayah 2011; Weinberg & Lankau 2011).

- **Reduced absence**: In an ever-changing workplace, reactions to uncertainty can include feelings of unfairness, attempts to leave the organisation, reduce productivity, and increase absence (Judge & Kammeyer-Mueller 2011). On the other hand, employees who can successfully adapt to changes in an organisation’s landscape may find opportunities for growth and development.

- **Effective utilisation of talent**: The identification and engagement of talent is becoming a significant priority for rail organisations (PricewaterhouseCoopers 2006; ARA 2008). Mentoring is a convenient process for evaluating the development of talented employees. Although considered by some to be yet another management fashion (Iles, Preece & Chuai 2010), Francis (2009) comments on how one communication and aviation electronics organisation in North America used talent management to reshape traditional mentoring. They offered a range of mentoring programs that addressed numerous initiatives and learning needs, ranging from directed programs for developing leadership to e-mentoring based on self-selection targeting the development of talent across the whole enterprise.

- **Focussed deployment of resources**: Formal mentoring requires the organisation to invest in resources such as training and follow-up, appointment of a coordinator and provision of materials. It is therefore important to evaluate the extent to which this investment is more cost effective than other workforce development initiatives. Evaluating ‘soft-skill’ development is notoriously difficult, largely because of the many variables involved, but one-to-one mentoring programs may offer more tangible outcomes and value for money.

- **Improved team work, extended work-related networks and building of social capital**: There are at least three ways mentoring could be evaluated in relation to how they affect the performance of a team or contribute to building social capital. First, Bamford (2011) suggests that mentoring programs can improve team-work by helping to address interpersonal issues that impede team performance, while Bozeman and Feeney (2007) consider the concept of team mentoring whereby team members help others, either in the inter- or intra-team environment. Thirdly, the nature of mentoring frequently includes or involves team leaders taking an active role—either as volunteer mentors or supporters of a mentoring program (Holland 2009).

**Evaluating from a wellbeing perspective**: Evaluating the extent to which mentoring may contribute to a reduction in stress, work anxiety, feelings of security or recognition of contribution/potential is more complex:

- **Improvements in self-esteem and self-awareness**: Much is made in the literature about how mentoring can contribute to an individual’s self-esteem, self-worth and self-confidence. These beliefs, attitudes and attendant behaviours are thought to come from the combined effects of psychosocial support, career development and a focus
on self-evaluation, including insights into the mentee’s emotional intelligence (Kram 1983; Kram & Isabella 1985; Seibert 1999; Crumpton 2011; Emelo 2011; Weinberg & Lankau 2011). It has been suggested that ‘core self-evaluation’ is an important process for enabling people to identify how they relate to their environments, drawing on characteristics that differentiate one person from another. It is further claimed that people who self-evaluate themselves in a positive way are ‘capable of solving problems and have higher self-efficacy, higher self-esteem and higher emotional stability’ (Judge & Kammeyer-Mueller 2011, p. 332).

- **Confidence to apply for new positions and motivation to create a career plan:** Since the introduction of neo-liberal policies in workplace practices during the early 1990s (Jesson 2005), employees are taking increased responsibility for management of their careers. On-going employability has become connected with both job mobility and career orientation (Simmonds & Lupi 2010; Kong et al. 2012) making mentoring and coaching useful tools for advancing individual progression. For the purposes of evaluation, one measure might be the extent to which mentoring has advanced employees and contributed to a long-term career plan. Of course, this advancement may not be within the host organisation.

- **Clarity of goals and work-related projects:** Mentoring programs often complement other HRD projects and thus contribute to wider communication processes within an organisation. Successful mentoring relationships can increase understanding of the organisation’s goals and help secure commitment to strategic or succession planning. As a result, the mentee’s confidence and self-esteem are enhanced (Lo & Ramayah 2011).

2.5.10 Timelines of evaluation

**Pre-commencement stage:** The first stage of evaluation takes place before mentoring commences to evaluate if the organisation and individuals are ready for mentoring. Key evaluation considerations for program administrators, mentors and mentees include:

- what each participant hopes to achieve from the mentoring program and whether the outcomes are achievable, realistic and measurable
- what the stakeholders need to know before commencing the program
- what organisational factors will enable or inhibit the success of the program
- what resources exist to enable the program to operate effectively
- what are the costs of the program in relation to any planned benefits.

**Formative stage:** Formative evaluations should be completed at regular intervals by the program coordinator to check how things are progressing for each dyad (Lang 2010; Lumpkin 2011). Not only do these evaluations monitor progress and troubleshoot potential problems, they can also capture positive feedback and affirm successes. Feedback may be sought through email, survey, telephone discussion or face-to-face meetings. Measures of success may include:
- frequency and regularity of dyad meetings
- perceived relevance of topics under discussion
- sharing of benefits
- absence of problems
- reported quality of relationship
- keeping within allocated time and budget.

**Summative stage:** On completion of a program, summative evaluations determine if the outcomes have been achieved. These evaluations may include a range of quantitative and qualitative measures to determine if the program goals have been met overall and for each participant. Additionally, these evaluations can demonstrate the overall impact of the program and advise changes needed to improve future outcomes (Lumpkin 2011). Evaluations can include:

- the extent to which mentees advanced their careers (in the case of longer-term programs)
- changes in work-related performance
- reductions in absence or employee turnover
- aspects of professional development.

**Post-summative:** Post-summative evaluations take place some time after the program’s completion—say three to six months—and provide an opportunity to reflect on the mentoring experience. Retrospective evaluation allows participants to consider the holistic value of mentoring, including how mentoring has complemented other HRD activities. Evaluations can include:

- whether the mentoring relationship continued beyond the formal program
- whether mentees themselves became mentors to others
- to what extent participants would advocate for mentoring over the longer-term
- what aspects of mentoring proved to be the most useful.
2.5.12 Level of evaluation within organisational settings

The evaluation of HRD initiatives such as mentoring considers the impact of the activity on the individual, the work team and the wider organisation. Satisfied individuals can help to build team morale and in doing so improve the organisational environment. On the other hand, a flawed mentoring program can have negative consequences for individuals, teams and the organisation. Mentoring program outcomes can be evaluated at each structural level:

**Individual benefits:**

- Lo and Ramayah (2011) claim there is a positive relationship between career mentoring and all dimensions of job satisfaction.
- Mentoring is closely associated with career enhancement and development (Kram & Isabella 1985; MacGregor 2000; Weinberg & Lankau 2011).
- Mentoring can assist mentees to evaluate their current competencies, identify gaps, and develop strategies to gain new or required competencies (Lo & Ramayah 2011).
- Mentors may use their organisational influence to provide opportunities for the mentees to gain exposure and visibility in the organisation, at the same time, coaching and protecting their mentees. Employees with mentors report higher levels of learning on the job than those without mentors (Lo & Ramayah 2011).
- Mentorship can also go beyond assistance in developing competencies and can provide the mentee with direction in other areas, such as networking.
- Mentoring can decrease feelings of isolation and increase confidence, self-esteem and communication skills (Hallam et al. 2003).

**Work team benefits:**

- Group mentoring techniques utilise multiple learners (mentees) in a group setting and provide a safe venue for those who are uncomfortable with one-to-one meetings and prefer to learn among peers. Additional learning comes through group projects and activities (Carvin 2011).

**Organisational benefits:**

- Mentoring can enhance employee engagement, reduce levels of dissatisfaction and improve morale (Lo & Ramayah 2011).
- Mentoring can reduce levels of disenchantment and improve retention rates (Herrington et al. 2006).
- Mentoring programs allow organisations to deploy long-serving and experienced staff as workplace mentors to convey important tacit knowledge to mentees. Mentees can tap into these insights and ensure the organisation retains its core competencies (Koc-Menard 2009).
Mentoring and Coaching: A Literature Review for the Rail Industry

It should be remembered that all mentoring—formal or informal—‘relies largely on the virtues of mentors’ (Moberg & Velasquez 2004, p. 115), with the mentees and organisation being the primary beneficiaries. This imbalance is concerning, especially if mentors are expected to do ‘more with less’ and integrate mentoring into their normal work arrangements. In this regard, organisations have a moral responsibility to consider the needs and expectations of mentors and evaluate the extent to which these needs are being met.

Furthermore, mentoring does not always result in positive outcomes for individuals, teams or the organisation. Ehrich and Hansford (1999) indicate a range of drawbacks summarised in Table 2.5. Negative mentoring experiences are more likely to arise when the organisation does not, or cannot, align the cost of implementation with the downstream benefits or outcomes. A delay in capturing this information is often the main cause of poor evaluation and is compounded by the challenge of separating the benefits of mentoring from other HR projects, a situation referred to ‘learning bleed’ (Short 2009, p. 16). At a personal level, both mentor and mentee can be hurt by a poorly planned and implemented program where unrealistic expectations are set.

Table 2.5: Drawbacks of mentoring programs

<table>
<thead>
<tr>
<th>Organisation</th>
<th>Mentee</th>
<th>Mentor</th>
</tr>
</thead>
<tbody>
<tr>
<td>Lack of organisational support</td>
<td>Neglect of core job</td>
<td>Lack of time</td>
</tr>
<tr>
<td>Potential for climate of dependency</td>
<td>Negative experiences</td>
<td>Negative experiences</td>
</tr>
<tr>
<td>Co-ordination difficulties</td>
<td>Unrealistic expectations</td>
<td>Lack of perceived benefits</td>
</tr>
<tr>
<td>Costs and resources</td>
<td>Over dependency</td>
<td>Lack of skills needed</td>
</tr>
<tr>
<td>Administrative workload</td>
<td>Boss/mentor role conflict</td>
<td>Pressure to be a mentor</td>
</tr>
</tbody>
</table>

2.5.13 Case study of an evaluation

Small-scale quantitative research into the prevalence and practice of mentoring in the dental education sector (Blanchard & Blanchard 2006) yielded the following evaluations (in Tables 2.6-2.8 respondents could select all that applied):

Table 2.6: Reported strengths of existing mentoring programs (n=36)

<table>
<thead>
<tr>
<th></th>
<th>n</th>
<th>%</th>
</tr>
</thead>
<tbody>
<tr>
<td>Real-life experiences</td>
<td>25</td>
<td>69.4</td>
</tr>
<tr>
<td>Networking [opportunity]</td>
<td>14</td>
<td>38.9</td>
</tr>
<tr>
<td>Professional/Socialisation</td>
<td>13</td>
<td>36.1</td>
</tr>
<tr>
<td>Support</td>
<td>7</td>
<td>19.4</td>
</tr>
<tr>
<td>Employment opportunities</td>
<td>2</td>
<td>5.6</td>
</tr>
<tr>
<td>Strengths not reported</td>
<td>3</td>
<td>8.3</td>
</tr>
</tbody>
</table>
Table 2.7: Reported weaknesses of existing mentoring programs (n=36)

<table>
<thead>
<tr>
<th>Weakness</th>
<th>n</th>
<th>%</th>
</tr>
</thead>
<tbody>
<tr>
<td>Lack of formal structure</td>
<td>12</td>
<td>33.3</td>
</tr>
<tr>
<td>No weaknesses</td>
<td>9</td>
<td>25.0</td>
</tr>
<tr>
<td>Inadequate time</td>
<td>7</td>
<td>19.4</td>
</tr>
<tr>
<td>Variable mentor quality</td>
<td>5</td>
<td>13.9</td>
</tr>
<tr>
<td>Lack of support [community/faculty]</td>
<td>3</td>
<td>8.3</td>
</tr>
<tr>
<td>Weaknesses not reported</td>
<td>6</td>
<td>16.7</td>
</tr>
</tbody>
</table>

Table 2.8: Reported obstacles to implementing a mentoring program (n=70)

<table>
<thead>
<tr>
<th>Obstacle</th>
<th>n</th>
<th>%</th>
</tr>
</thead>
<tbody>
<tr>
<td>No time in curriculum</td>
<td>46</td>
<td>65.7</td>
</tr>
<tr>
<td>Lack of faculty/overcommitted faculty</td>
<td>21</td>
<td>30.0</td>
</tr>
<tr>
<td>Lack of mentors</td>
<td>14</td>
<td>20.0</td>
</tr>
<tr>
<td>No perceived need for the program</td>
<td>10</td>
<td>14.3</td>
</tr>
<tr>
<td>Tried in past and discontinued</td>
<td>6</td>
<td>8.6</td>
</tr>
<tr>
<td>Concerns about mentor quality</td>
<td>3</td>
<td>4.3</td>
</tr>
</tbody>
</table>

Table 2.9: Would consider adding mentoring program to curriculum (n=103)

<table>
<thead>
<tr>
<th>Consideration</th>
<th>n</th>
<th>%</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes</td>
<td>43</td>
<td>41.7</td>
</tr>
<tr>
<td>No</td>
<td>36</td>
<td>35.0</td>
</tr>
<tr>
<td>Maybe</td>
<td>20</td>
<td>19.4</td>
</tr>
<tr>
<td>No response</td>
<td>4</td>
<td>3.9</td>
</tr>
</tbody>
</table>

In this sample of findings, the overriding cause of negative mentoring experiences was in the way programs were established, resourced and communicated to participants, resulting in 35 percent of people not wanting to take part. In particular, mentoring appears to founder when there are insufficient funds and other resources allocated to the programs or funding terminates before the program has been successfully brought to a close (Hansford, Ehrich & Tennent 2004). Additional setbacks include lack of support from top management or a lack of ongoing communication provided by a dedicated program coordinator.

2.5.14 Mitigating the risk of negative experiences

To conclude this section, we summarise from the work of Ehrich and Hansford (1999) who analysed six publications to identify key elements which help to mitigate the risk of negative experiences in mentoring programs:

- Articulate the goals, objectives and purposes at the beginning of a mentoring program.
− Establish monitoring systems and evaluate opportunities for ongoing improvement in the program.

− At the outset, have a clear exposition of roles, expectations and responsibilities.

− Ensure adequate resources are allocated.

− Gain long-term support from senior management.

− Establish selection criteria for recruitment and selection of mentors.

− Develop a thorough training program for participants.

− Establish a realistic timeline for planning, implementation and evaluation of results.

− Appoint a program coordinator to manage the program and keep participants engaged.

− Provide visible recognition and rewards for those who partake.

− Develop compatibility criteria for matching mentor and mentee.

It is clear then that formal mentoring can offer many advantages, but organisations face several challenges and these include asking:

− How successful will a mentoring program be if there are few opportunities for advancement within an organisation?

− Should organisations allow a formal mentoring program to proceed when there is not complete organisational commitment to the program?

− Is there a budget to attract and support someone who can coordinate the training programs and integrate mentoring into other human resource development activities?

− Will it be possible to sustain the commitment of senior managers without hard data justifying the effectiveness of mentoring programs?

− Is the organisation willing to invest time to administer the processes associated with mentoring, such as pairing mentors and mentees?

− How will the organisation deal with those people left out of mentoring programs if the business cannot afford to implement programs in all areas?

2.6 Emerging practices in workplace mentoring

2.6.1 e-Mentoring

Modern technology, such as the Internet and smart phones, offers new opportunities for mentoring in the 21st century, helping to close geographic distances, make mentoring more accessible in isolated areas and also remove any interpersonal barriers associated with formal face-to-face meetings, including power differences, gender and race issues (Hunt 2005; Bamford 2011). Some reports suggest the widespread use of technology in learning will open up mentoring for the masses and significantly reshape traditional mentoring programs previously constrained by location, silo mentality and departmental structures.

Analysis of websites reveals the growing popularity of technology in raising awareness of mentoring and providing self-help tools to guide mentors and mentees. Web-based mentoring applications allow those involved to access help at a time and place appropriate to their needs, while remaining relatively anonymous during the early stages of development when lower levels of self-efficacy may be an issue due to mentoring inexperience. Such websites include innovative ideas including:

- video clips of a typical mentoring session
- fact sheets for mentor and mentee
- links to other mentoring websites and/or organisations
- case studies and Storyboards of good practice
- Facebook and Twitter links for sharing experiences
- Internet Blogs
- on-line chat rooms for support and reflection
- on-line self-assessment for evaluation and building of self-efficacy.

Experts suggest that while different in application, e-mentoring has the potential to achieve the same benefits as traditional programs (Hunt 2005; Francis 2009). In particular, e-mentoring offers two opportunities for human resource development practice in organisations. Firstly, e-mentoring (sometimes called cyber-mentoring, telementoring or virtual mentoring) has the potential to increase the number of people who may not otherwise engage in learning. Secondly, it may help to sustain interest in workplace learning undertaken by distance training and education (Homitz & Berge 2008; Simmonds & Lupi 2010). In North America a growing number of organisations have taken up e-mentoring as a learning platform because it appears to offer a lower cost and more effective alternative to traditional forms of training, although set-up costs can be high as good e-mentoring infrastructure is reliant on specialised software (Simmonds & Lupi 2010; O’Neill 2011).

E-mentoring is not the same as e-learning. Although research indicates that e-learning is the least preferred choice of training for new skills, the choice of mentoring combined with social learning increases productivity and helps create a social environment. E-mentoring can add a human element to an otherwise remote e-learning activity (Homitz & Berge 2008).
Furthermore, ‘the holistic nature of the social learning relationships created through e-mentoring enables learning in ways that cannot be duplicated in e-learning or classroom environments’ (Emelo 2010, p. 206).

Research suggests that most employees view e-learning as the least effective form of development, while coaching, mentoring, and on-the-job training rank as the most effective strategies. Why? In short, [it is] because people prefer to learn directly from other people. (Emelo 2010, p. 203)

E-mentoring also fits with the notion of a ‘boundaryless career’ (Arthur & Rousseau 1996) and since the widespread introduction of social networking, people have become more comfortable about communicating through electronic media such as Facebook and other web-based products. According to Bamford (2011, p. 150), ‘the Internet has given birth to an explosion of networking sites’. Bamford further suggests that the use of technology enables ‘speed learning’, a concept that involves learning just enough, just in time and when you want it. This concept is otherwise known as ‘instant mentoring’ where the mentee gets online advice from a mentor who is prepared to share wisdom and experience without notice (Lipscomb 2010). In environments such as these, the traditional forms of mentoring give way to a wide range of new possibilities not constrained by formality, structure and advanced planning. Technologies used include:

- Skype/webcam
- desktop video conferencing
- laptop computer with 3G capability
- integrated notebooks, PDAs, tablets and applications
- email
- mobile phones or teleconferencing.

A case study reported by Bamford (2011) highlights the need for transparency among users and consideration of the users’ experiences with new technology. In particular, the participant’s age may play an important part in determining readiness to work with technology. For example, Baby Boomers (born 1945-1965) use technology to supplement other forms of face-to-face communication; Generation X (born 1965-1982) are familiar with technology, but mainly in a work setting, while Generation Y (born 1983 onward) have grown up in a digital age and have integrated technology into their lifestyle. Therefore these preferences have some bearing on which technology is most appropriate for a given mentoring relationship. Of the respondents who took part in Bamford’s research, 79 percent agreed or strongly agreed that e-mentoring contributed to their development, 83 percent agreed or strongly agreed that the mentoring programme developed their skills as mentors/mentees, and 84 percent agreed or strongly agreed that e-mentoring supported their continuing professional development. A total of 90 percent would recommend e-mentoring to a colleague. Figures 2.6 and 2.7 from Bamford (2011) show the respondents’ overall experience of mentoring and level of recommendation.
In a survey reported by (Emelo 2009), participation in a traditional ‘paper-based’ mentoring program rose from 108 to 764 when a web-based customised mentoring tool was introduced. The mentoring component was embedded in a pre-existing online development suite. Not only was e-mentoring well-received by participants, it reportedly reduced the costs of the paper-driven mentoring program by 96 percent.

**Benefits and challenges of e-Mentoring:** The relative ease of e-mentoring has the potential to benefit both formal and informal mentoring arrangements. Bierema and Hill (2005) and Simmons and Lupi (2010) recognise the emergence of virtual mentoring as a viable alternative to traditional mentoring. These reports stress the ease, low costs and potential to work across cultural boundaries and geographic borders. They identify the main benefits and challenges summarised in Table 2.10.
Table 2.10: Benefits and challenges of e-mentoring

<table>
<thead>
<tr>
<th>Benefits</th>
<th>Challenges</th>
</tr>
</thead>
<tbody>
<tr>
<td>Anytime and anyplace</td>
<td>Dependent on availability of technology</td>
</tr>
<tr>
<td>Continued professional development enabling peak performance</td>
<td>Overcoming a lack of online communication skills</td>
</tr>
<tr>
<td>Writing, teamwork and communication skill development</td>
<td>Maintaining privacy and confidentiality</td>
</tr>
<tr>
<td>Connects cross-cultural and minority groups</td>
<td>Training to keep up with the latest technology</td>
</tr>
<tr>
<td>Promotes continuous learning</td>
<td>Appropriate matching</td>
</tr>
<tr>
<td>Enables learning communities</td>
<td>Sustaining the relationship</td>
</tr>
<tr>
<td>More time for mentor to think about possible outcomes</td>
<td>Undertones are sometimes missed in written communication</td>
</tr>
<tr>
<td>Textual dialogue is easier to review</td>
<td>Harder to engage if the other person cannot be seen</td>
</tr>
<tr>
<td>Allows a quicker response because face-to-face meetings take time to organise</td>
<td>Harder to mirror rapport-building behaviours</td>
</tr>
<tr>
<td>More frequent communication on a regular basis</td>
<td>Cannot benefit from the observation of visible clues to help mentee progress</td>
</tr>
<tr>
<td>Broadens the supply for potential mentors</td>
<td>Mentee needs to be driven and willing to take the lead</td>
</tr>
</tbody>
</table>

One of the main advantages of e-mentoring over traditional mentoring is convenience—especially where the mentee cannot meet in person or requires immediate help. However, this approach to mentoring downplays the significance of the interpersonal relationship that develops between the mentor and mentee across face-to-face meetings. E-mentoring is not identical to traditional mentoring when it comes to establishing and maintaining a relationship (Bierema & Hill 2005). As a consequence, Hunt (2005) suggests that an e-mentoring program requires:

- **Marketing**: Be clear about who the program is aimed at, explain the technique of using technology and consider levels of e-literacy when recruiting mentors.

- **Matching**: What’s in it for the participants and are they comfortable with using technology to communicate and learn?

- **Managing**: How will participants get to know each other and build rapport if they never meet? How will the flow of communication be monitored and evaluated?

- **Merging**: How will the knowledge, experience and wisdom merge as the relationship matures?

- **Measuring**: What measures will evaluate success at the various stages?

**Developmental context of e-mentoring**: Given the contribution of mentoring to professional development activities and its role in helping to consolidate learning programs, e-mentoring
may have an important part to play in early career development, especially during induction. Retaining professional staff is a major priority for rail organisations. A report into the Australian education sector found that 25 percent of new teachers left the profession within the first five years due to feelings of alienation, isolation and denigration of personal interests (DEST 2002). The report stressed the benefits of getting off to a good start in employment and while the allocation of a work-based mentor was advantageous, electronic support helped to build wider networking communities, bodies of professional knowledge and opportunities to engage in reflective practices.

2.6.2 Emerging practices in workplace mentoring

New research continues to expand our understanding of the opportunities and limitations of formal and informal workplace mentoring. Recent reports suggest that employees benefit from multiple ‘development relationships’ and may have several mentors in different dimensions of their working life (van Emmerik 2004b; Dobrow et al. 2012). Furthermore, alternative forms of mentoring, such as group mentoring (Emelo 2009), peer mentoring (Bryant & Terborg 2008; Cureton et al. 2010) and mentoring circles (Fridkis-Hareli 2011) aid the sharing of specialised knowledge and build collegiality among individuals with a shared interest in much the same way as other forms of situated learning such as a Community of Practice (Lave & Wenger 1990; Ambrose 2003).

2.7 Summary

This snapshot of the academic and practitioner literature has shown that mentoring is a complex and evolving interpersonal process, not least because of the heavy reliance on developing a healthy and productive relationship between the mentor and mentee. The significance of this relationship is captured by Garvey (2004):

... a central feature of all mentoring activity is the relationship between the mentee and the mentor. This relationship can make a significant contribution to professional, academic and personal development and learning as the mentee integrates prior and current experience through supportive and challenging dialogue. The relationship can also do the opposite. (2004, p. 8)

2.7.1 Organisational culture

The upshot of this realisation is that organisations should not consider mentoring programs lightly, or because other forms of learning and development have failed. Rather, mentoring is a complementary process of learning to assist people to develop and grow as individuals.

An all-important feature of mentoring relates to the formal or informal nature of the arrangement. The literature regards informal mentoring as the most effective arrangement, not least because it nurtures a longer-term and voluntary partnership where the relationship is already established. Informal mentoring is thought to outlast formal mentoring and often people remain connected for long periods of time. Therefore, rail organisations will be faced with the challenge of developing a culture that supports both formal and informal mentoring. One key success factor will be the extent to which mentoring continues after the formal arrangements have ended.
Can organisations do anything to foster an informal mentoring culture? While acknowledging that he is ‘not aware of an organisation that has proactively developed such an environment’, Clutterbuck (2004, p. 17) suggests that the following elements would be desirable:

- an on-line registration and self-selection matching system with appropriate guidelines provided
- visible role-models of good mentoring practice, preferably at high organisational levels
- a selection of voluntary training activities and resources
- encouragement for mentors and mentees to undertake voluntary training
- opportunities for mentors to meet informally for mutual support and learning
- regular good practice ‘snippets’ to raise awareness of mentoring.

2.7.2 Emerging issues

In recent years, mentoring has evolved further from its traditional foundations of an older, more experienced person leading a younger mentee, to an idea with postmodern traits that transcends age, gender and one-to-one perceptions. Today e-mentoring can cross boundaries and borders through the use of technology. Alternatively, several people may be mentored at the same time and by each other. The extent to which these new definitions of ‘group mentoring’ blur the edges with other forms of workplace learning, such as coaching and training, is debatable. Critical HRD commentators argue that human resource development practitioners all too frequently borrow terms and phrases to suit the evolving contexts of the day (Sambrook 2004). Therefore, in an era of increased vocationalism (Bullock & Stallybrass 1977), where training has become an expensive commodity and a process to ensure compliance, one might ask if the term mentoring has become too interchangeable and confusing. One key imperative for practitioners might well be to understand fully the fundamental difference between mentoring, coaching and training.

2.7.3 Selection, training and matching of participants

The literature also comments on the selection, training and matching of participants, as unhealthy relationships can have a profound effect on mentees, mentors and the organisation. The selection of mentors is crucial to success as some people may be unsuitable for the challenges of mentoring or may not see any compelling benefits. Most programs reviewed in this study indicated that mentor training lasted for one to two days and was based on a range of competencies derived from the literature and commercial websites.

At the present time, there is no unified national Standard for the practice of mentoring. The literature has indicated that the ethical issues surrounding mentoring and the awareness of power differentials within the mentoring relationship may impede overall effectiveness. For these reasons, mentoring is not normally undertaken by the mentee’s immediate supervisor. Conversely, in a knowledge and information-based workplace, mentoring may be possible
among peers who have mutual respect for, or need guidance from, a trusted colleague who is ‘in the know’.

The importance of matching is critical to the success of formal mentoring relationships and is linked not only with the ongoing continuance of a positive mentoring arrangement, but also with the value of the outcomes as perceived by the mentor and mentee.

2.7.4 Benefits

Finally, the review cites many examples of how good mentoring programs have benefitted individuals and their organisations. In an era of work uncertainty, skills mobility and increased individual development, mentoring appears to offer a process that can influence job satisfaction, engagement and retention. Equally, the literature recognises the role of mentoring in the transfer of tacit knowledge. Rail reports indicate that the impending retirement of experienced staff poses a major threat to the industry and mentoring processes offer one way of dealing with this transfer of knowledge.

2.8 Further reading


Murray, M 2001, Beyond the myths and magic of mentoring: how to facilitate an effective mentoring process, Jossey-Bass, San Francisco.


Chapter 3: Workplace Coaching

3.1 Introduction

A critical human resource and workforce development issue for today's companies is the attraction, recruitment, development and retention of quality employees. Not only is the race for talent affecting the rail industry with increasing pressure to find competitive advantage through strategies to attract highly talented people, the industry is also experiencing the loss of high performers and talent, often to the competition. In some organisations, there appears to be a severe and worsening shortage of available mission-critical staff, and in many industry sectors there is a war for talent, which will likely become a crucial success factor for organisations competing successfully in the future.

Organisations need to minimise the risk of losing high performers, to prevent misunderstanding and conflicts between employees and co-workers in organisations, to keep employees motivated and to encourage them to stay with the company and to increase the level of job satisfaction among all employees in all departments. Organisations also need to develop strategies to ease the process of transferring knowledge, to assist with personal and career development, succession planning, produce leaders for the future and to help retain their key people when there is a major change including restructure and mergers.

Coaching is one of the strategies that will assist the rail industry to attract and retain talent of those staff who play critical roles in the organisation and who possess skills sets vital to organisational operations and performance. It is also a strategy and intervention which can develop staff at all levels of the organisation, not only executives and future leaders.

There are an array of coaching types, approaches, models and theories and the main purpose of this literature review is to provide a synthesis of the coaching field and to present evidence of its effectiveness and utility through a discussion of rigorous research that has investigated the theory and practice of coaching as it has been applied in authentic organisational settings.

3.2 What is coaching?

Coaching is an emerging profession which draws upon an array of theoretical foundations, approaches and contexts; consequently, defining coaching is not a straightforward exercise. For the purposes of this report we have identified the main definitions to offer an overview of coaching theory, models and practice most pertinent to the Australian rail industry. Most of the definitions listed in Table 3.1 refer to a one-to-one practice, however this review has identified coaching practices which involve teams and peers.

The term coaching comes from an old Anglo-Saxon word meaning carriage, in other words, something that takes you from where you are now to where you want to be. Kennedy (2009, p. 4) lists the following definitions from the literature:

- the art of facilitating the performance, learning and development of another
- unlocking a person’s potential to maximize their own performance
- closing the gap between thinking about doing and doing
Coaching is about performing at your best through the individual and private assistance of someone who will challenge, stimulate and guide you to keep growing.

Coaching is about getting results and helping clients understand their way of generating problems.

Coaching assists a client in defining what they want, removing obstacles, setting goals, and striving for balance and fulfilment.

**Table: 3.1 Definitions of coaching**

<table>
<thead>
<tr>
<th>Source</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>Passmore &amp; Fillery-Travis (2011, p. 74)</td>
<td>‘A Socratic based dialogue between a facilitator (coach) and a participant (client) where the majority of interventions used by the facilitator are open questions which are aimed at stimulating the self-awareness and personal responsibility of the participant’.</td>
</tr>
<tr>
<td>Peterson &amp; Hicks (1996, p. 14)</td>
<td>‘Coaching is the process of equipping people with the tools, knowledge, and opportunities they need to develop themselves and become more effective.’</td>
</tr>
<tr>
<td>Kennedy (2009, p. 2)</td>
<td>‘Coaching is the art of facilitating the performance, learning and development of another’.</td>
</tr>
<tr>
<td>Clutterbuck (1998, p.19)</td>
<td>‘Coaching is a pragmatic approach to helping people manage their acquisition or improvement of skills’.</td>
</tr>
<tr>
<td>Pousa &amp; Mathieu (2010, p. 34)</td>
<td>Coaching is largely associated with a one-to-one process of helping others to improve, to grow and to get to a higher level of performance, by providing focused feedback, encouragement and raising awareness.</td>
</tr>
</tbody>
</table>

Some researchers and authors who have described team coaching also use terms such as *team effectiveness* and *development and facilitation*. Dunlop (2006) makes the comparison between sporting and business coaching:

In the sporting world, the coach is often seen as a technical expert through providing advice to the team or imparting skills based on their own experience as a sportsperson (Gallwey 2003). In the business world, the coach has not necessarily worked in a similar role to the teams as the focus is on exploring the issue and getting them to come up with the most appropriate solution. Further, defining effective performance appears more complex in the business than the sporting world. Often, it is not as simple as winning or losing a game or series over a season. Is it about profit, net margin, share price (p. 25).

Counselling examines past experiences and aims to explain and rationalise them. Coaching is about the present and the future, accepting we are who we are, shaped by our past history and deciding what we want now. The emphasis is on action and not just coping (Kennedy 2009). A one-to-one coaching relationship is somewhat triangular—the coach, the coached and the client organisation (normally the human resources department and the coached executive’s boss) (Anonymous 2006).
In defining coaching, many researchers discuss the differences between coaching and counselling. Hawkins and Smith (2006) believe that the first significant difference between these two activities lies not in the areas they might explore but in the frame in which the exploration takes place. ‘Coaching begins with a live work-related issue or challenge’ (Hawkins & Smith 2006, p. 36). In exploring this issue a coach may well have to explore some personal issues and patterns of the coachee, but the work should always lead back to its prime focus: ‘how the coachee can better handle the issue or challenge that is rooted in the workplace’ (Hawkins & Smith 2006, p. 36) This distinction does not hold for life coaching, where the focus is not on managing a work situation, but on how the individual manages their own life. Clearly life coaching is much closer to counselling than executive coaching or other forms of work coaching. Counselling is more focused on the client’s emotional responses to what is happening in their life; life coaching is focused on developing better ways of managing oneself and one’s life. The second main difference between coaching and counselling is articulated by Hawkins and Smith (2006, p. 37) who argue that ‘coaching is based upon premises and principles of coaching as a modality that works with people who are healthy, have plenty of ego-strength and whose basic attitude is that of a change embracer, what researchers call self-actualizer’. This contrasts with therapy, which serves people who experience themselves as coming from a place of deficiency. ‘They expect change to be both hard and painful’ (Hall & Duval 2005, cited in Hawkins & Smith 2006, p. 37).

3.3 A brief history of workplace coaching

According to Passmore and Fillery-Travis (2011) the period from 1937 (the date of the first identified coaching study) to 1999, was a period of slow progress in terms of literature and research into the field of coaching. During the last ten years of this period there were more published papers than in the preceding fifty. In the years between 1937 and 1999 a total of 93 articles, PhDs and empirical studies were published. The 1937 and 1938 papers were followed by a slow trickle of papers. One research paper was published in the 1940s (Lewis 1947) and this was followed by nine studies in the 1950s, the majority concentrated in the latter half of the decade. This was followed by three studies in the 1960s and three in the 1970s. It was not until the 1980s that the first signs of growth in coaching literature and research were seen.

In the 1990s coaching research papers became more frequent with 41 papers and PhDs cited by PsycINFO and Dissertation Abstracts International. By 2000 the initial exploration of the field had provided various definitions of coaching and attempted to delineate what constituted coaching within the leadership development portfolio (Judge & Cowell 1997; Thach & Heinselman 1999).

In the most recent years several papers have debated the nature of coaching and its boundaries with counselling (Bachkirova & Cox 2004), as well as the emerging domain of coaching psychology (Stewart et al. 2008; Sperry 2008). The number of papers published in various areas of coaching has increased substantially and the demand by industry and organisations has also increased at the same time. It seems that coaching and its impacts on employee performance, retention, succession, a better teamwork culture, work-life balance and employee satisfaction are now more important than ever to companies and organisations.
In more recent years, several studies have investigated the nature of coaching and boundaries with the field of counselling. The focus on distinguishing mentoring and coaching has also increased as well as a growth in the number of studies on the emerging domain of coaching psychology. The demand for coaching by industry and organisations also started to have an impact on the growing number of published papers in various areas of coaching. A considerably large number of papers have been published describing how coaching can play a key role in organisations and have an impact on the overall performance and success of the organisations. Figures 3.1 and 3.2 illustrate the recent growth in published coaching literature and the disciplinary focus, using data obtained via the bibliographic search engine SCOPUS.

![Figure 3.1: Number of coaching publications (from 1980 to the present)](image)

![Figure 3.2: Disciplinary focus of coaching publications (from 1980 to the present)](image)

In our everyday interactions and conversations with each other, we use some basic features of coaching such as clarifying values, and supporting, encouraging and planning new ways of action. Zeus and Skiffington (2000) explain that, on a more formal level, the root of coaching and many of its principles are derived from psychology, especially sports psychology and education. So the principles of coaching are not new. Perhaps what is new is how coaching today (business, executive, career, leadership and life skills coaching) has become a synthesis of these disciplines.

There are currently four academic journals dedicated to coaching literature and research and a fifth journal was launched in 2012:

*International Journal of Evidence Based Coaching and Mentoring:* This journal was established in 2003 and publishes two issues per year. The journal is an online free access, international peer reviewed journal, which aims to provide evidence-based resources for students, professionals, corporate clients, managers and academic specialists; and to offer an accessible discussion platform for the growing number of coaching and mentoring practitioners seeking to validate their practice. The journal is
hosted by the International Centre for Coaching and Leadership Development at Oxford Brookes University Business School in the UK.

*Coaching: An International Journal of Theory, Research and Practice:* This journal, published in collaboration with the Association for Coaching, was first published in 2008 and also has two issues per year.

*International Coaching Psychology Review:* The ICPR is an international publication focusing on the theory, practice and research in the field of coaching psychology and was established in 2006.

*The Coaching Psychologist:* TCP has been publishing articles on all aspects of research, theory, practice and case studies in the area of coaching psychology since 2005.

A new journal, the *International Journal of Mentoring and Coaching in Education*, was launched in 2012. This journal intends to publish cutting edge research, substantial in-process reports and theoretical accounts of mentoring and coaching in educational contexts, including schools, colleges and universities.

Conferences dedicated to coaching include:

- **The 3rd European Coaching Psychology Conference,** conducted in 2011. This conference is run by the Special Group in Coaching Psychology of the British Psychological Society.

- **The 8th Annual Coaching and Mentoring Research Conference,** held in January 2012. This conference is organised by the Oxford Brookes Coaching and Mentoring Society, UK.


### 3.4 The professionalisation of coaching

According to Rostron (2009), ‘[t]he escalating demand for coaching worldwide has motivated practitioners, consumers and educators of coaching to advocate professionalisation of the industry to safeguard quality, effectiveness and ethical integrity’. (p. 76). Drake (2008) argues that coaching is at a crossroads as it moves into its second decade as an emergent profession. He offers an historical framework of the evolution of the coaching profession across four eras: the pre-professional, the scientist-practitioner, the professional, and the post-professional. These four eras are based on the historical development of psychology (a discipline which coaching is built on) and the relationship between science and practice. The following briefly describes each era:
Pre-professional era (1880-1945)

‘Coaches can benefit from a deeper understanding of and respect for the basic and applied sciences that underpin coaching. At the same time, coaching would gain more credibility if coaches would make more explicit and transparent the connections between their theoretical base, practice methods and client results’ (Drake 2008, p. 19).

Scientist-practitioner era (1945-1970)

‘Coaches can benefit from a greater proficiency as consumers, evaluators, and producers of research and scholarship in guiding their practice. While the latter is the least likely for most coaches, all three are important in raising the bar on coaching and ensuring its ongoing survival and success. In true coaching fashion, coaches can benefit from naming the distinctions between science and practice made in this era in order to break through to a new approach that is more fitting for both the discipline and the times’ (Drake 2008, p. 19).

Professional era (1970-1990)

‘In order to mature as a recognized professional practice, ‘the proverbial ‘black box’ of coaching interventions needs to be explicated so that what occurs in coaching can be more openly and thoroughly studied. It would also encourage coaches to claim and evaluate their theories-in-use (Argyris, 1994) ... While some have rightfully questioned coaching’s status as a profession ... there is still much to be learned by taking the demands of this era more seriously in shaping coaching’s future’ (Drake 2008, p. 19).

Post-professional era (1990-2007)

‘One of the most critical needs for the coaching profession is to come to a consensus about its desired relationship to evidence and to the [evidence based practice] (EBP) paradigm itself. The attraction for many people within coaching to EBP as a model is understandable in that it provides language and tools with which to address many of the early limitations in the field ... However, there is an urgent need to discern how the EBP framework best fits with and serves the coaching profession and how to resolve differences in opinion about what constitutes ‘evidence’ and what role it should have in practice. In order to be accountable for their practices and remain credible in a fast-changing world, coaches would be well served by a strong, inclusive and generative stance on evidence’ (Drake 2008, p. 20).

Whitmore (2006) investigated the challenges for the coaching profession and found that the majority of workplace coaches come from three areas: sport, psychotherapy or corporate life (consultants, trainers, HR professionals or executives). Those coming from sport bring expertise in high performance, while those from psychotherapy contribute in the areas of life coaching, stress management, and personal psycho-spiritual development.

HR people are strong on career development and ex-corporate consultants or executives often combine coaching with mentoring in their areas of expertise. Of course the divisions have become blurred over time and many coaches move comfortably in all of these areas in line with the coaching principle that you do not have to be an expert in a field to coach in it. More coaches with less history are now entering the profession, and coaching schools to meet their needs have
sprung up, ranging from the on-line instant coach variety to modular courses leading to an academic diploma or degree’ (Whitmore 2006, p. 91).

Reviewing current debates in the UK, Lane (2010) concluded that coaching is generating important developments in education, research and professionalism:

Coaching is rapidly increasing as a valued intervention. This has led to key debates on professionalism, its evidence base, boundaries with other interventions and the underpinning knowledge base. (Lane 2010, p. 155)

Similarly, Brennan (2008), who at that time was president of the International Coach Federation (ICF), discussed the coaching industry in the USA:

Coaching as an industry is thriving in the USA. Coaches who work with individuals and teams are increasingly recognised in both public and private organizations. Individuals hire a coach for both professional and personal work. Educational offerings have increased in recent years and now include a growing number of university programs. The quality of and collaboration among coaching programs have also increased over the past several years, adding value and depth to the educational offerings. Coaching is occurring in many parts of society, and there is a growing focus on documenting the effectiveness and value of coaching. (Brennan 2008, p. 186)

In Australia, the coaching profession is also flourishing. Grant (2008) reviewed the Australian coaching field and claimed it was reaching an important period of maturation exemplified by an increasing number of postgraduate courses in coaching and mentoring being offered across Australian universities.

Australian commercial coach training organisations are also increasingly offering government accredited coach training (vocational) programs under the Australian Qualifications Framework. In addition there is an increasing output of Australian coaching-related research. Arguably, some of this research is genuinely cutting edge and world leading. (Grant 2008 p. 93)

Rostron (2009) refers to the consultative dialogue that has emerged around the professionalisation of coaching, and notes the following global initiatives in the coaching field:

- the Global Convention on Coaching (GCC), which began in July 2007 in New York

- the Dublin Declaration on Coaching of 2008 which recommends establishment of a common understanding of the profession through shared codes of ethics, standards of practice and educational guidelines; acknowledgement of the multi-disciplinary roots and nature of coaching; and moving beyond self-interest to address core critical areas in on-going consultative dialogue

- in September 2008, the International Coaching Research Forum (ICRF) consisting of internationally recognised researchers, coaching professionals and other stakeholders met at Harvard to produce research proposal outlines to advance coaching as an evidence-based discipline
Mentoring and Coaching: A Literature Review for the Rail Industry

- the GCC and ICRF have initiated a process that is seeking to clarify what coaching is, to measure and study its effectiveness, and to identify what role practitioners, academics and other stakeholders have to play.

Lane, Stelter and Rostron (2010), in their piece on the future of coaching as a profession, reiterate the key points expressed in the majority of the literature that the popularity and escalating demand for coaching services requires commonly agreed-to criteria for accepting coaching as a profession. It is perhaps significant to end this chapter of the report with a recent quote from Gray (2011) on the current state of play:

\[\text{Claims for professional status and the emergence of standards and awards are typical of the journey that occupations make (or attempt to make) towards professionalisation. However, some occupations fall short of the mark or, at best, become semi-professions with shorter training, less specialised knowledge; and more societal (state) control. If coaching is to become a profession it must adopt criteria such as the development of an agreed and unified body of knowledge, professional standards and qualifications, and codes of ethics and behaviour. While some of these are already completed or in development, the continuation of a growing multiplicity of coaching associations suggests that the pathway of coaching to professionalisation may be at best bumpy, and at worst derailed. (Gray 2011 p. 4)}\]

3.4.1 Coaching organisations

There is no doubt that coaching has become a more accessible form of training. At one time it was reserved for senior managers and company directors, now it is available to all as a professional or personal development tool. Furthermore, coaching can provide the added edge to an individual’s performance and be the difference between a career stepping up a gear or continuing in cruise control.

The International Coaching Federation estimates that there are 30,000 coaches worldwide, the big questions are: Can coaching achieve what other forms of learning and development training cannot? What do you want coaching to achieve?’ and ‘how do you know you are achieving it? There are a large number of coaching organisations working through answering these questions, designing and implementing professional coaching courses and programs, training professional coaches, and researching on different aspects of coaching in different fields and in different countries.

A large number of coaching organisations have been established in several countries; the majority of coaching organisations were based in the USA and UK. It was not until early 2000 that other countries started holding coaching events, seminars, workshops and also training coaches and coaching professionals under the umbrella of their own coaching federations, associations, institutes, and independent coaching consultancy organisations and agencies. One of the leading global coaching organisations, the International Coaching Federation, has over 19,000 members, and is dedicated to advancing the coaching profession by setting high professional standards, providing independent certification, and building a network of credentialed coaches. The ICF was formed in 1995, and in 1997 the Worldwide Association of Business Coaching (WABC) was launched as the first international professional association dedicated exclusively to the business coaching industry and the only association of its kind with advanced membership standards based on business experience, coaching experience.
and client references. WABC also offers a doctorate program in Professional Studies in Business Coaching. The DProf in Business Coaching is a unique opportunity for business coaches seeking the highest level of professional development. WABC offers this fully accredited doctorate through their UK-based partner Middlesex University, an international leader in developing work-based programs.

In Australia, the Association, Supervision, Coaching and Consultancy Australia and NZ (ASCCANZ) is a major professional coaching association based in Sydney. This association holds annual conferences and professional events and provides several types of membership to its members in Australia and New Zealand. Table 3.2 summarises some on the major coaching organisations and associations that have been established worldwide.

**Table 3.2: Professional coaching associations and bodies (information adapted from the respective web-sites)**

<table>
<thead>
<tr>
<th>Organisation</th>
<th>Description</th>
</tr>
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<tbody>
<tr>
<td>Institute of Coaching (USA)</td>
<td><a href="http://www.instituteofcoaching.org">http://www.instituteofcoaching.org</a>   The Institute of Coaching is affiliated to Harvard University. Established in early 2009, the institute grew out of a partnership between the Coaching and Positive Psychology Initiative at McLean Hospital and the Foundation of Coaching.</td>
</tr>
<tr>
<td>The International Coach Federation (USA)</td>
<td><a href="http://www.coachfederation.org/">http://www.coachfederation.org/</a>   Formed in 1995, the ICF is a key global organization, with over 19,000 members, dedicated to advancing the coaching profession by setting high professional standards, providing independent certification, and building a network of credentialed coaches.</td>
</tr>
<tr>
<td>The International Association of Coaching, New Mexico</td>
<td><a href="http://www.certifiedcoach.org/">http://www.certifiedcoach.org/</a>   The IAC was established in 2003 as a non-profit organisation. To date, more than 13,000 coaches in over 80 countries have subscribed to the newsletter and they have more than 800 active members worldwide. An increasing number of coaches aspire to IAC certification.</td>
</tr>
<tr>
<td>Worldwide Association of Business Coaching (Canada)</td>
<td><a href="http://www.wabccoaches.com/">http://www.wabccoaches.com/</a>   Formed in 1997, the WABC is an international professional association dedicated exclusively to the business coaching industry and the only association of its kind with advanced membership standards based on business experience, coaching experience and client references.</td>
</tr>
<tr>
<td>Organization</td>
<td>Website</td>
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<tr>
<td>The Canadian Alliance of Sales Skills Coaches (Canada)</td>
<td><a href="http://calsca.com/">http://calsca.com/</a></td>
</tr>
<tr>
<td>Association for Coaching (UK)</td>
<td><a href="http://www.associationforcoaching.com/home/index.htm">http://www.associationforcoaching.com/home/index.htm</a></td>
</tr>
<tr>
<td>European Association for Supervision &amp; Coaching (Europe)</td>
<td><a href="http://www.supervision-eas.org/">http://www.supervision-eas.org/</a></td>
</tr>
<tr>
<td>European Mentoring &amp; Coaching Council (UK)</td>
<td><a href="http://www.emccouncil.org/">http://www.emccouncil.org/</a></td>
</tr>
<tr>
<td>Association, Supervision, Coaching &amp; Consultancy Australia &amp; NZ (Australia)</td>
<td><a href="http://www.asccanz.org/">http://www.asccanz.org/</a></td>
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</tbody>
</table>
The Association for Professional Executive Coaching and Supervision  
APECS based in the UK, is the top level professional body for the accreditation of Executive Coaches and Supervisors of Executive Coaches. It also provides in depth guidance and information for its Corporate members. APECS safeguards and develops the standards of professional coaching and supervision and provides a stimulating forum for individuals engaged in buying or delivering professional coaching.

Coaching Commons  
The Coaching Commons was an online news source for executive, business and life coaches from January 2008 through March 2011. Check this site for archived coaching news, original reporting, and provocative reader commentary.

The Commons relied on a network of professional coaches, journalists and readers to cover and discuss the coaching industry during this growth period. In addition, you’ll find stories about the history of coaching

The Harnisch Foundation was the founding funder of the Coaching Commons, along with numerous ground-breaking non-profits dedicated to the advancement of professional coaching.

The Foundation of Coaching  

3.4.2 Coaching standards

In December 2010, Standards Australia released a draft handbook titled *Coaching in Organisations*. The handbook offers thorough guidelines for coaching practice in organisations and acknowledges the emerging nature of the coaching profession and its multi-disciplinary foundations. The handbook is designed to be used by all key stakeholders, including those purchasing coaching services; coaches and coaching organisations; coaching trainers; universities researching or teaching coaching, and professional organisations interested in the governance, ethics and continuing professional development of coaches. The handbook is a useful resource for the Australian rail industry and contains wide coverage of the issues involved in assisting an organisation/industry contemplating the adoption or purchase of coaching as a workforce development strategy.

ICF Australasia makes the following statements in terms of professional standards:

ICF Australasia is committed to encouraging high professional standards of ethics and conduct by its members by developing and promoting an industry wide Code of Professional Standards and a universally accepted Accreditation process which preserves the integrity of coaching through internationally credible and ethical self-regulation.
The mission of the International Coach Federation is to be the global forum for the art and science of coaching, where we inspire transformational conversations, advocate excellence, and expand awareness of the contribution coaching is to the future of humankind. The ICF’s internationally recognized standards of excellence, professionalism and code of ethics establish a strong foundation for self-governance of the coaching profession. (http://www.icfaustralasia.com/)

The ICF has established the ICF Code of Ethics, and has also worked with coaching organisations to develop the Model Codes of Conduct which are to be used with the ICF Code of Ethics. The aim of these Codes is to establish a set of guidelines whose goal is to establish a benchmark for ethics and good practice in coaching and mentoring. These Codes are available online.

3.4.3 Coaching courses and qualifications

A large number of professional organisations, universities and educational institutions provide not only coaching courses but also qualifications and degrees from Advanced Diploma and Undergraduate level to Postgraduate and even Doctoral level. Below is a summary of the coaching courses and qualifications offered globally. The growth of coaching and the demand of the market in having qualified and well-educated coaches is increasing the volume of coaching courses provided by professional institutions or universities all around the world.

Stalinski (2004) explains that, at the time of writing his paper, ‘few coach training programs [were] delivered at the university level. The professional coach certification program at Georgetown University and the Academy of Management at Babson College in the US, MA programs in Coaching and Mentoring at UK universities (Oxford Brookes, Sheffield Hallam and Wolverhampton) and the Coaching Psychology at the University of Sydney, were among only a few coach training programs grounded in university level academic theory’ (p. 77).

According to Stalinski (2004), the growth and spread of non-academic privately owned training schools in the US was a prime impetus for the growth in popularity of the practice of coaching. The need for well-designed and comprehensive coaching programs and courses has been increased substantially by the growth of coaching and the large number of organisations which rely on external qualified coaches who can provide effective one-to-one or group coaching to their leaders, executives and employees to move the organisation toward success.

There is clearly a need for such coach training to be designed to include solid theoretical foundations in the sciences and/or psychological sciences (including group dynamics) as well as relevant grounding in systems thinking focusing on complex, evolutionary systems design. Likewise, such coach training would provide coaches with experiential practice and not mandate ‘billable client hours’ as a requirement to demonstrate coaching skills. (Stalinski 2004, p. 77)

The ICF has a set of coaching credentials which are highly recognised coaching qualifications with credibility around the world. Credentialing applications world-wide are processed by ICF’s North American Office. There are three ICF Credentials:
– **Associate Certified Coach**: for the practised coach with at least 100 hours of client coaching experience.

– **Professional Certified Coach**: for the proven coach with at least 750 hours of client coaching experience.

– **Master Certified Coach**: for the expert coach with at least 2,500 hours of client coaching experience

The current well-known university-based coaching qualifications are listed below:

**Doctor of Coaching & Mentoring**
- Provider: Oxford Brookes University
- Sector: Higher education - UK
- Cost: Part-time (3-year programme): £19,100 (UK/EU and Non-EU)
  Part-time (5-year programme): £33,150 (UK/EU and Non-EU)
- Details: 3-5 years Part Time

**Professional Doctorate in Coaching**
- Provider: Professional Development Foundation Educate
- Sector: Private Training Provider (UK)
- Cost: In Consultation
- Details: 3-4 years- Entry requirement: Must be experienced coach with minimum 5 years’ experience, Flexible delivery

**Master of Executive Coaching & Consultancy**
- Provider: Abla University, The Netherlands
- Sector: Higher education (The Netherlands)
- Details: Refer to: [http://www.alba-university.eu/](http://www.alba-university.eu/)

**Master of Business Coaching**
- Provider: The University of Wollongong, Australia
- Sector: Higher education (Australia)
- Cost: 48 x $427 = $20,500
- Details: 2 years full time, 6 core subjects, 1 core research paper, On-campus in Sydney & Wollongong
3.4.4 The nature of coaching

Du Toit (2006) has researched how the management of change over the long term is more likely to be sustained through coaching. Her longitudinal research was focused on a local government authority in the UK and she concludes that it is the very nature of coaching which enables it to assist with organisational change management:

> The success of coaching is related to the nature of coaching as it addresses the values and beliefs of the individual or team involved in the coaching process. In order to bring about change and transformation, the coach facilitates the process of understanding what it is that drives the behaviours and actions of the client and the client organisation. (Du Toit 2006, p. 45)

Du Toit discusses why coaching as a practice and process focuses on the skill of managing self and others:

> Coaching provides the coachee with access to non-judgemental support in reflecting on critical issues and exploring the complexities with which managers of contemporary organisations have to deal. Access to such impartial support is not often available within organisations. Managers do not necessarily obtain open and honest feedback from peers and subordinates and coaching provides the mirror managers need to understand the impact they have on others and how their actions and behaviours are perceived by others within the organisation. The coach is in the position of being able to ask the questions no
one else in the organisation would necessarily have the courage to ask. Through the coaching process the coachee increases self-awareness and improves their communication with others. (Du Toit 2006, p. 52)

Du Toit (2006) highlights the following key aspects of coaching:

- the ability to increase and improve the sensitivity and awareness the client has both of themselves and of others. In order to develop self-awareness the individual must have access to honest feedback and this is sometimes difficult to obtain within the organisation, particularly if the client is in a senior position within the organisation. (Du Toit 2006, p. 53)

- challenging the assumptions of the coachee, to provide feedback and to offer support in exploring and creating options and identifying the consequences of those options. (Du Toit 2006, p. 52)

- providing open and honest feedback within a supportive environment. The coach needs knowledge and experience in both psychological models to help the client develop self-awareness and understand their personal drivers as well as a knowledge and understanding of how they impact on their organisational environment and performance. Personal change wrought through coaching extends beyond an increase in personal awareness and includes behavioural changes and the ability to build stronger relationships. (Du Toit 2006, p. 53).

A more detailed discussion on the nature of coaching is beyond the scope of this report, however, the information from the coaching literature provided can be a reliable starting point to begin a more detailed exploration for a systematic coaching framework for the Australian Rail Industry. The report now highlights some key benefits of coaching and coaching programs in the next chapter and will present a synthesis on the diverse range of coaching types (coaching typology) and specifically those which are most relevant to the Australian Rail Industry.

3.4.5 Benefits of coaching

According to Passmore (2010), in the early years of the millennium, coaching grew because it was fashionable to have a coach. At first there was very little evidence to empirically support the effectiveness of coaching, although personal testimonies revealed that senior executives valued the confidential nature of the conversation and being able to have a sounding board. The author highlights that, in the past ten years research has shown that coaching can offer significant benefits to all individuals, not only senior executives. ‘Coaching is excellent as a tool to support skills transfer from training programmers’ (Passmore 2010, p. 40). Coaching seems to be very useful in managing transitions and helping staff cope with stressful times, improving communication, resilience and hopefulness. Coaching benefits industries such as rail by increasing: self-esteem; work performance; collaboration and loyalty from its senior managers and leaders; talent retention; job satisfaction; career development and; work-life balance. Coaching is also beneficial for new employees who might be the younger generation (Gen Y) and recently graduated who are willing to apply their newly-acquired knowledge toward the rail industry’s success.
Mentoring and Coaching: A Literature Review for the Rail Industry

There is some excellent research around the role coaching can play in helping people transfer learning from formal learning environments back to the workplace. Passmore (2010) highlights a number of studies which suggest that we transfer to work between 10-20 percent of the knowledge provided on a course. One of the reasons for this is that managers find it difficult to think about how they apply the new knowledge in the context of the work environment.

Coaching is a perfect tool for helping managers to translate that knowledge to their situation and secondly coaching helps to support them as they use this new knowledge. Thirdly when the manager slips back to old ways, the coach is there to challenge and encourage them to use the new behaviours or knowledge (Passmore 2010, p. 40).

There is evidence that one of the benefits of coaching and a key factor in today’s workplace is the reduction of work based stress. As Gyllensten and Palmer (2005) explain, workplace stress is increasing, and the British Health and Safety Executive has estimated that work-related stress, depression, and anxiety account for the loss of approximately thirteen million working days per year in Britain. Stress is a factor that can be reduced following coaching despite the fact that stress is not specifically targeted in the intervention. It can be considered as one of the benefits of the coaching programs especially in current work environments where, in most cases, employees are under pressure and they face difficulties in achieving a work-life balance.

Coaching is gaining increased attention with coaching psychology becoming established in Britain. As Gyllensten and Palmer (2005, p. 76) note, ‘coaching psychology is for enhancing wellbeing and performance in personal life and work domains with normal, non-clinical populations, underpinned by models of coaching grounded in established adult learning or psychological approaches’. Organisations and individuals are using coaching to improve performance, achieve goals, and manage stress. There is evidence that coaching can be useful in reducing stress by assisting to identify factors that are causing stress, develop effective strategies for change, and uncover lasting solutions. As well as tackling stress directly, coaching could reduce stress indirectly by helping an individual to reach their personal goals (e.g., improve performance, efficiency, or communication), and thereby decrease any stress caused by the perceived deficiency in the area targeted in coaching.

A large number of studies conducted in the coaching area identify the benefits of coaching. According to Rossett and Marino (2005), a number of studies establish a link between coaching and improved performance, and make a convincing argument for the benefits coaching provides. Rossett and Marino (2005) also highlight the benefit of coaching for increasing productivity. They describe a training intervention followed by eight weeks of one-to-one executive coaching aimed to complete a project chosen by the “coachee” which resulted in a substantial increase in productivity.

One of the benefits of coaching programs from the company perspective has been identified in the form of employee and coach relationships. In fact, some research explains that most employees like coaching and find it easier to have a relationship based on sense of honesty with their coach without worrying about any kind of attacks after their coaching sessions. Employees like coaching too. Rossett and Marino (2005) explain that some employees like what is perceived as the external coaches’ objectivity and focus. Employees feel they can be honest with their external coach, and they know it won’t come back to them on a
performance review. Consequently, they may experience significant developmental growth that they wouldn’t have had as an individual or with the assistance of an internal coaching process.

3.5 Typology of coaching

There is a diverse range of coaching types, many of which are not relevant to the rail industry, such as sports coaching. We examine in further detail the types of coaching most relevant to organisations and industries wishing to employ coaching as a workforce development strategy: executive coaching, leadership coaching, workplace coaching, career coaching, business coaching, e-coaching, remedial coaching, developmental coaching, peer coaching and cross-cultural coaching.

3.5.1 Executive coaching

In order to have a broad understanding of executive coaching and its contribution to the development of senior managers, the following discussion will present a very brief history of executive coaching, followed by a discussion of executive coaching with links to current trends and HR practices in the Australian rail industry.

Organisations and businesses today feel the need for C-suite managers including CEOs, COOs, CFOs and executives more than ever. Often new senior executives will recruit outside their organisations to enable them to create a new team. Some senior executives believe that people won’t change and that the company is better off replacing seemingly unsatisfactory performers. Stephenson (2000) argues there must be a better way to manage intellectual capital given the large cost associated with ‘fire and hire’, including the time and cost for new people to get up to speed and the erosion of employee trust and morale. Instead, executive and non-executive staff need to understand better what is expected of them at work and they can be coached to help them generate greater organisational and personal outcomes. Coaching assists an organisation’s most valuable resource—its staff—to continuously develop, remain motivated and more importantly, stay with the organisation.

According to Natale and Diamante (2005, p.362), ‘executive coaching began in the 1980s with Thomas J., a financial planner in Seattle who first offered his clients life planning consultations and in 1992 started Coach University, a training program for professionals’. They claim that there have always been coaches but they have not been formally recognised as a body of independent professionals. Rather, they have been described as consultants, mentors, managers, or friends helping others to solve problems and plan for the future, which is the way coaching defines itself traditionally. However, today, executives, business owners, entrepreneurs and professionals can and do seek the services of an executive coach to meet job requirements, to manage stress and interpersonal relationships, or to improve overall business performance.

Natale and Diamante (2005) note that leading organisations such as Alcoa, American Red Cross, AT&T, Ford, Northwestern Mutual Life, 3M and United Parcel Service all offer executive coaching as part of their development and productivity programs which has increased their level of success and the quality of management in their organisations. Other organisations, such as Motorola and IBM, deploy executive coaching services regularly. ‘According to the International Coach Federation, there are 10,000 executive coaches in the United States and over 7000 internationally’ (Natale & Diamante 2005, p.362). Gladis (2007)
identifies executive coaching as a powerful, cost-effective way to provide support for leaders and to leverage their strengths for the benefit of themselves and the entire organisation. When combined with training, executive coaching can significantly boost talent development in any company.

According to Kennedy (2009), many organisations have started to use coaching as a one of the main developmental and support strategies for their senior managers. In most companies, however, coaching remains an exception rather than the norm. Kennedy (2009) highlights the point that coaching is a co-created process. One of the main factors mentioned by many executive coaches is the fact that coaching involves not only the willingness, but also the motivation of the client to engage fully and start doing things differently.

In defining executive coaching, Gladis (2007, p. 60) states:

> Unlike consultants and other business professionals with specific expertise in finance, law, or accounting, executive coaches enter organizations asking probing questions rather than offering judgments.

According to Gladis (2007), executive coaching is a powerful, cost-effective way to provide support for leaders and leverage their strengths for the benefit of themselves and the entire organisation. When combined with training, executive coaching can significantly boost talent development in any company.

Brooks and Wright (2007) note that executive coaching has experienced rapid growth over the last decade and is now firmly regarded as a mainstream management development practice overseas and in New Zealand. They define executive coaching as:

> A helping relationship between a client who has managerial authority and responsibility in an organization and a consultant who uses a wide variety of behavioural techniques and methods to help the client achieve a mutually identified set of goals to improve his or her professional performance and personal satisfaction and, consequently, to improve the effectiveness of the client’s organization within a formally defined coaching agreement. (Brooks & Wright 2007, p. 30)

Brooks and Wright (2007) investigated the programs and practices of executive coaching in New Zealand. They did this through a survey of fifty-nine executive coaches. The survey gathered data on the demographics of coaches; their backgrounds, qualifications and training; their coaching method; and aspects of their practice, including typical fees charged, number of client sessions, method of marketing, ethical standards and professional insurance.

As a result of the research, Brooks and Wright (2007) state that the typical executive coach could be either male or female, is in their late forties, is university educated but with limited coach-specific training, and comes from a business or management background. The most striking feature is the age of coaches, where ‘Not a single coach in this survey was under the age of 25 years, and 86.5% of them were over 40 years’ (Brooks & Wright 2007, p. 37). This age profile would not be found in professions such as law, accountancy, engineering, psychology, or counselling, so why amongst coaches?
There could possibly be two reasons behind this issue. The first is that potential coaches in their twenties and thirties might feel they lack the life/organisational experience or credibility to attract clients, and so they self-select themselves out by not becoming coaches. The second explanation, and a corollary of the first, is that organisational clients are unwilling to be coached by people who they feel lack business credibility. Age on its own does not explain all of this perception however, because managers are willing to be advised by young lawyers, stockbrokers and accountants. Perhaps the reason lies in the fact that these other professions offer technical advice which young talented graduates are equipped to provide, whereas coaching is more likely to involve problems and issues which are less rational and more subjective. Each of us has a set of criteria which defines who we are prepared to take problems to, and perhaps relevant work/life experience is the prerequisite for a successful coach. After reviewing this aspect of the literature, it is suggested that the ‘choice-of-coach’ process is a worthy area of further research and perhaps more research needs to be conducted in this area to provide some valid evidence and information on this aspect of coaching.

In a recent paper, Visser (2010) discusses how executive coaching has become a blossoming field of activity in the past decade. With the advent of post-industrial forms of organisation and increasing levels of employee work competence and demands, CEOs and senior managers have become aware of the importance of their ‘people skills’ and networking capabilities to maintain their positions and to prosper in their careers. ‘Increasingly they engage executive coaches to help them develop these skills and capabilities, increase their organizational effectiveness, and consider appropriate career steps’ (Visser 2010, p. 892).

According to Baron and Morin (2009), executive coaching involves the teaching of skills in the context of a personal relationship with the learner, and providing feedback on the executive’s interpersonal relations and skills. They see executive coaching as an ongoing series of activities which is tailored to the individual’s current issues or relevant problem and is designed by the coach to assist the executive in maintaining a consistent, confident focus as he or she tunes strengths and manages shortcomings.

In organisational settings, executive coaching has become an increasingly common skill-development method. However, ‘[m]any authors have noted the lack of scientific studies on the process and the outcome of executive coaching and others have argued that this development approach is overused considering the paucity of research on the subject’ (Baron & Morin 2009, p.85). Nevertheless, ‘the results from empirical studies also indicate that executive coaching is positively associated with self-efficacy, leadership and performance’ (Baron & Morin 2009, p.85).

According to Gray (2006, p. 479), ‘[c]oaching for the executive’s agenda can involve a very broad range of issues’. He suggests that these issues often include productivity and quality improvement, mergers and acquisitions, coping with growth and change management.

After defining and explaining executive coaching in short, in this chapter we will briefly discuss the importance of the coaching programme and process with overall HR and performance management within an organisation. It is a key factor for the Australian rail industry and its HR department to align HR processes with its coaching programmes. To discuss this matter, we are referring to Chidiac (2006) who states:
In the past, coaching was only perceived as a developmental tool for a handful of the most senior managers in the business. Increasingly this is not the case as coaching interventions are more focused and seen as a cost-efficient way of achieving personal learning at all levels of management. (p. 13)

Chidiac (2006) also explains that coaching often involves making use of 360 degree feedback to ensure a clear starting point for the coaching process. So what HR departments and managers should ask is, is your organisation used to 360 degree feedback and, more importantly, is the culture and environment supportive enough for constructive feedback to be given? It is important that, before designing and implementing any coaching programme, these questions have been answered and the HR managers ensure that the coaching process is going to align with the overall HR and performance management processes within their organisation.

There are several key elements to make executive coaching programmes successful and to help senior managers and leaders to increase their performance and, as a result, to increase the overall performance, profitability and productivity of organisations. The process of executive coaching has been researched and discussed by a large number of researchers. Natale and Diamante (2005) describe five stages in executive coaching: alliance check, credibility assessment, likability link, dialogue/skill acquisition, and cue-based action plans. According to this schema, ‘the alliance check represents the executive’s uncertainty regarding what is ‘about to happen’ and perhaps even ‘why’ (Natale & Diamante 2005, p. 363). They add that, during this stage the coach states what is known by all parties and what will not be known. If the executive did not voluntarily engage the work, the agreements made by the coach with others should be exposed.

Stage two is centered on the executive’s desire to gain control and determine whether the coach has anything to offer. ‘The coach is to be examined in terms of background, credentials and experience, describing past success stories is a useful way to place the executive at some degree of ease’ (Natale & Diamante 2005, p. 364). Stage three relates to likability. This link is established when the executive compares his preferred style with the coach’s style. ‘At this stage, the executive is measuring your self-confidence, knowledge (or at least articulation of that knowledge) and intensity or business focus’ (Natale & Diamante 2005, p. 364). Stage four involves dialogue and skill acquisition, which is focused on identification of the four factors and their integration in order to prepare the executive for change. ‘Stage four is a stage of discovery, analysis, verification and application’ (Natale & Diamante 2005, p. 364). Finally, stage five is action planning which involves ‘delineation, in behaviourally specific or cognitively specific terms, of what the executive needs to do and when’ (Natale & Diamante 2005, p. 366).

3.5.2 Leadership coaching

Stalinski (2004) states that, traditionally, job skills training has been the method of choice in developing competencies required for individuals to perform well within their organisational roles. Such training has evolved to include soft skills training in addition to more traditional hard skills training. Training from a traditional and even contemporary perspective involves the transfer of knowledge from a teacher or trainer to training participants or students. Even training designed around adult learning styles maintains this foundational transfer of learning model. Whether implemented in a training room, a classroom, or in on-line environments through e-learning technologies, training and development continue to play
an important role in helping workers learn new information, and gain broader conceptual understanding of their work roles and needs.

Besides traditional training, organisations often seek the advice and guidance of external consultants to assist with organisational development and the mission critical employees who are ultimately guardians of the organisation’s ongoing success. Stalinski (2004) states that:

*The focus of leadership coaching is to engage individuals or groups in learning arrangements that enable them to develop leadership competencies, skills and knowledge.*

This definition allows that such participants may include stakeholders at all levels of an organizational system, and that such leadership skills and competencies are not necessarily exclusive of personal goals and aspirations. Such coaching with a focus on leadership development could potentially help provide the skills, knowledge and competencies for individuals at all levels of an organization to effectively and authentically participate in the ongoing design and development of the organisations and systems in which they work and live. (Stalinski 2004, p. 76, emphasis in original)

There is evidence that for many of the executives in the study there was an over reliance on ‘an antiquated paradigm of management—a business model that comes from out-dated thinking and ‘old school’ principles, where command and control ruled’ (Xavier 2005, p. 35). There is also a critical factor for leaders in learning how to ‘play smarter’ to stay on top of their own professional practice and competence. Xavier (2005, p. 37) explains how incorporating the principles of Emotional Intelligence can be ‘one of the most innovative tools for executives to accomplish their goals in the corporate environment and in their own professional development’. Coaching can play a key role in developing emotional intelligence for leadership and enhancing a leader’s performance and success. Xavier (2005) identifies four domains of EI as:

1. **Self-awareness**

   Awareness and acknowledgement of weaknesses. ‘These leaders recognize their emotions and the impact these emotions have on the environment’ (p. 38).

2. **Self-management**

   It refers to ‘... being able to manage one’s emotions and is an important trait of competent leaders. Most employees have experienced the opposite type of executive—the one who flies off the handle at the drop of a hat’ (p. 38).

3. **Social Awareness**

   As an important factor in leadership, while effective leaders meticulously ‘recognize their own emotions, it’s important to recognize the feelings and emotions of others when interacting with them ... can assess situations from their employee’s point of view, which contributes to greater employee satisfaction and decreased turnover’ (p. 38).
4. Relationship Management

Successful leaders always ‘interact with their co-workers ... how they do that divides effective leaders from the ineffective ones. ‘Effective leaders not only work constructively (versus destructively) with others, but they understand the importance of moving their teams towards desired outcomes’. (p. 38)

Coaching plays an undeniable role in assisting leaders to gain higher levels of EI. According to Ely, Boyce, Nelson, Zaccaro, Hernez-Broome and Whyman (2010, p. 586) leadership coaching differs from traditional leadership development in four ways: (a) leadership coaching focuses on the needs of the individual client as well as the client’s organisation and the unique characteristics each brings, (b) leadership coaching requires coaches to have unique skill sets, (c) leadership coaching places a premium on the client–coach relationship, and (d) leadership coaching demands process flexibility to achieve desired results. These four (client, coach, client–coach relationship, and coaching process) provide a foundation for understanding the unique nature of leadership coaching, the resulting framework, and implications for its evaluation.

Client Needs

In coaching, ‘client’ refers to individuals formally involved in a coaching relationship for the specific purpose of becoming a more effective leader, manager or team member in an organisation. Client needs reflect a variety of inputs to coaching process, ranging from the reasons for engaging in coaching to the characteristics of clients and their organisations (Ely et al. 2010).

Coach Characteristics

A coach is a trained professional who has a formal one-to-one relationship with a client for the purpose of improving his or her performance. Coaches require a broad and adaptive set of skills, depending on the particular area that they are coaching, to effectively meet the diverse needs of individuals and their organisations. For instance, a leadership coach may require several core competencies, including communication skills, analytical skills, assessment and feedback skills, planning skills, goal setting skills, organisational skills, creativity and resourcefulness, an ability to motivate, empower and encourage or challenge and confront others as appropriate. Other characteristics include integrity, result-orientation and accountability, with personable qualities of empathy, caring, approachability, flexibility and trustworthiness (Ely et al. 2010).

Client–Coach Relationship

Perhaps the most critical aspect of a coaching program is the relationship between coach and coachee or client. Baron & Morin (2009) suggest three characteristics which are important to this relationship: rapport, collaboration and commitment. Rapport includes the mutual understanding, agreement and liking between the client and coach that allow each other to appreciate, recognize and respect each other as individuals. Collaboration is the cooperation that occurs between the client and coach that permits and requires both to contribute in directing the developmental experience. Commitment reflects the dedication
of both the client and coach to perform the work associated with the boundaries, and develop open and honest dialogue between client and coach (Ely et al. 2010).

The working relationship established between the coach and the coachee appears to be a key process variable. Numerous authors have suggested that a good working relationship constitutes an essential condition for the success of coaching programmes (Baron & Morin 2009).

Coaching Process

The coaching process is directly linked and related to the coaching framework that is used in a coaching programme. There are a variety of frameworks and models and several phases and various assessment techniques and instruments. As an example, a leadership development model designed by Ely et al. (2010) includes three core elements: assessment, challenge and support. In this particular example of the coaching process, assessment provides insight on current and future development needs of the client. Challenge creates the disequilibrium or imbalance between current skills and demand to stretch beyond current comfort levels. Support can be manifested by maintaining motivation, accessing sources and strategies, celebrating wins and managing setbacks, and creating a sustainable learning agenda.

3.5.3 Workplace coaching

The workplace is a site of daily and ongoing adult learning. Workplace coaching focuses on learning that requires the support of a more knowledgeable human partner. Traditionally, managers would serve some of the functions of coaches. In fact, in the past, frontline supervisors and managers were held responsible for performing many human resource management tasks. Today, human resource management enables managers, executives and supervisors to focus on functions beyond workplace learning. Qualified and experienced coaches can help organisations and companies to reduce the risk of losing their high performing employees, to identify the knowledge or skill gaps of current or new employees, and to suggest appropriate solutions.

In a phenomenological case study into the UK rail industry conducted by Hannah (2004) the research question centred around whether workplace coaching could improve individual staff member performance, and at the same time raise the levels of customer satisfaction. Focusing on an intercity rail operator, a team of 13 regionally-based workplace coaches were set the task of increasing customer service levels of a population of approximately 350 customer hosts. The coaching program was set to a 52 week timeframe between September 2002 and May 2003. The team members were originally employed as Service Quality Managers as part of another service customer service improvement initiative, where they were responsible for ensuring that customer service standards were being delivered.

This team’s role was primarily to achieve customer service standards through command and control compliance and by reporting poor performers to the management. As part of the People Strategy these service quality roles were placed into a learning framework where coaching was the vehicle for delivering consistent standards. The existing team role was redefined and renamed ‘Coach/Assessors’ (Hannah 2004, p. 20). The model of workplace coaching used—the ACER model—is depicted in Figure 3.3.
Figure 3.3: The ACER coaching model (Hannah 2004, p. 21)

The system used to test the coaching relationship is shown in Figure 3.4. Data was collected through a series of one-to-one semi-structured 30 minute interviews with 15 randomly selected individuals. In the research, employee competence was assessed through a ‘mystery shopper’ who was employed by an independent research company to ensure validity and reliability of the research and to evaluate whether individual staff members were meeting company standards. Customer Monitor was another key section of the research. ‘Delivery of consistent customer service standards within the population group would have a positive impact on the level of customer satisfaction’ (Hannah 2004, p. 27).
Following the data series collection and analysis, the results showed that there had been an increase in employee competence levels and an improvement in the Mystery Shopper and Customer Monitor results over the length of the case study ... Throughout the research incremental improvements in the overall coaching relationship were found and these correlated in timeframe with the increased vocational skills of the population. (Hannah 2004, p.28)

In the context of the UK Rail Industry, Hannah (2004) identifies the following characteristics of a good coach:

- Integrated
- Genuine
- Warm
- Courteous
- Firm when necessary
- Values the client for his/herself
- Knows the relevant literature
- Helps the client to focus
- Honest and straightforward
- Trustworthy
- Open to different views/experience

- Reliable
- Discreet
- Sensitive
- Enthusiastic
- Sense of humour
- A good listener
- Good practical experience
- Really tries to understand
- Asks probing questions
- Not sexist, racist or ageist
- Positive about the potential knowledge of people

Pollitt (2009) conducted research on the role of coaching and its contribution to development and training in a rail company in the UK. Managers at a UK train operator became role models for their employees, who now have more power to take direct
responsibility and reach their full potential. The change took place following a management-development program at train operator Southern, working with a professional coaching and training company on a program that reached 300 managers.

According to Pollitt (2009), Southern continues to be a very successful business, consistently delivering high standards of service to their passengers. Perhaps an element of this is attributable to their focus on changing the leadership and management style. A significant contributory factor to this was their coaching program, and the learning and essence of coaching they have applied to their management training. The program was seen as a key part of developing their business. The company adopted its first formal coaching program in 2005 and, the following year, formalised it within the overall HR strategy and made developing a coaching and facilitative leadership style a key objective. The feedback and evaluation of the coaching program were good indicators for the company to assess its coaching program’s effectiveness and its impact on its employees.

The HR manager of this UK rail company, who also took part in the program claimed: ‘It was the most rounded, fun and exciting development program I have come across in my career’ (Pollitt 2009, p. 18). A revenue manager who took part in this program described it as a journey of self-awareness. The research highlights the positive impact of the coaching program on this particular UK rail company and identifies one of the outcomes of the program:

In 2008, numbers of grievances, disciplinarians and tribunals were all down. In the same year service performance and train reliability both rose. In the recent employee engagement survey, a significant statistical correlation was discovered between managers who had attended the coaching program and their individual engagement scores with their direct reports. (Pollitt 2009, p.118)

3.5.4 Career coaching

Career coaching is a relatively new practice that is increasingly used by managers and employees in a variety of work settings. It combines the concepts of career counselling, organisational counselling and employee development. According to Chung and Gfroerer (2003) there are currently 10,000 full time personal and career coaches in the United States, a large increase from 1,000 in 1995. In the near future career coaches are expected to be as much a part of life as personal fitness trainers. Despite its increasing popularity, the concept of career coaching has been addressed only sparsely in the career development literature. Consequently, the relationship between career coaching and career counselling and the various issues related to the development of career coaching as a profession have not been adequately addressed in the current literature. Given the fact that there seems to be a lack of a large number of studies on career coaching, we will focus on the available information in the literature and will investigate this form of coaching from different aspects to have a broader understanding of it and its potential contribution to managing human resources in Australian Rail industry. There also seems to be a link between executive coaching and career coaching that will be highlighted in this section.

The general goal of career coaching is to assist clients’ personal development within the context of work and career so that clients can ‘(a) better identify their skills, (b) make better career choices, and (c) be more productive and valuable workers’ (Hube, 1996, cited in Chung & Gfroerer 2003). Career coaches serve as personal consultants for any work-related
concerns such as work-life balance, learning interviewing skills, developing better managerial skills, executive personal and career development and even managerial training to help managers become career coaches to their employees. Career coaches help their clients get more of what they want out of life, whether it’s business success, financial independence, academic excellence, personal success, physical health, interpersonal relationships, or career planning. Therefore, career coaches have been described as sounding boards, support systems, cheerleaders, and teammates combined into one.

Career coaches perform a variety of services, depending on the needs of the clients. These services may include building job skills, business planning, balancing personal and work life, helping clients achieve project implementation and completion, decision making and strategic planning, prioritising, leadership and managerial training, generating sales increases, and problem solving. Career coaching may take long term commitments to work with clients as the clients move through job and life transitions, acting as an advisor during the transitions and helping clients reach full career potential. The delivery of service in career coaching may also have a similarity to E-coaching. ‘Many career coaches work with clients by telephone or via the internet’ (Leonard 1999, cited in Chung & Gfroerer 2003, p. 145); others still prefer one-to-one personal contact with their clients.

In a study conducted by Chung and Gfroerer (2003), executive coaching is considered a special form of career coaching defined as:

> a helping relationship formed between a client who has managerial authority and responsibility in an organization and a consultant who uses a wide variety of behavioural techniques and methods to help the client achieve a mutually identified set of goals to improve his or her professional performance and personal satisfaction and, consequently, to improve the effectiveness of the client’s organization within a formally defined coaching agreement. (Chung & Gfroerer 2003, p. 145)

Although executive coaching, like career coaching, is used to develop an employee personally and professionally, it seems to differ from career coaching in that it deals primarily with high-ranking professionals and is often carried out by trained psychologists. Executive coaches can be ‘internal’ - that is hired from within the organisation and may include such personnel as human resource managers or sales managers. Executive coaches may also be ‘external’ to the company. In this case, the executive is the client rather than the organisation or management being the client.

### 3.5.5 Business coaching

Business coaching, like many other forms of coaching, is gaining in popularity and use across a diverse range of industries. As Leedham (2005) explains:

> businesses are becoming more and more conscious of competitive pressures, and seeking to maximise returns on all investment made in employee development. What is surprising therefore is that there appears to be little empirical research on the efficacy of business coaching ... The increasing popularity of business coaching means it is absorbing a substantial proportion of company budgets. Business coaching, although relatively new still needs to rise to the challenge and prove its worth. (p. 30)
Leedham (2005) undertook research to investigate the key benefits derived from business coaching. His study involved a small case study of six purchasers of external business coaching and a questionnaire of coachees. The research identifies six main factors which influence the purchase of a coaching service from the perspective of the purchaser:

- evidence of having done similar coaching work previously
- personal capability and relevant organisational experience of the coach, as perceived by the user
- flexibility of the coach and their organisation, the use of a range of models, tools and techniques, willingness to work alongside other coaching organisations and with a variety of individuals in a wide variety of situations
- focus on delivering or improving a business result
- cost effectiveness. Interestingly this did not mean the cheapest, in fact suppliers who were ‘too cheap’ i.e. well below market rate would be looked on with a suspicion of being low quality
- qualifications and professionalism. Membership of professional bodies (Leedham 2005, p. 31).

The questionnaire was administered to coachees on professional development courses with the Oxford School of Coaching and Mentoring (OSC&M) with 224 surveys returned. As a result of the research Leedham (2005) concluded that the analysis of stakeholder benefit and the impact of coaching are:

**Internal Feelings:**
- increased confidence, feeling good, believe in myself, higher morale, growth (9.9%)
- received support, guidance, and encouragement, feel valued (8.3%)

**More tangible and visible behaviours:**
- enhanced career, and promotion prospects, helped with my future (7.8%)
- techniques and skills development (7.2%)

**Clarity and focus, inward and outward:**
- clarity of purpose, logical, clear goals, provided focus (6.3%)
- awareness and insights, self-analysis, strengths and weaknesses (5.9%)

**Time and space for thinking and reflecting:**
- helped me reflect to see the big picture, time for myself, time to concentrate (5.5%)

The most common benefits associated with business results were:
confidence (23%)

- techniques and skills (15%)
- improved relationships (10%)
- clarity of purpose (9%) (Leedham 2005, p. 36).

Leedham (2005) discusses the Holistic Evaluation model of business coaching and explains, ‘for any holistic evaluation model to be valid, some additional inter-relationship between the various benefits needs to be accommodated. The current drive, in business coaching contracts, is for proof of a tangible return on investment’ (Leedham 2005, p. 37). The author concludes that,

one practical way of effectively evaluating business coaching would be to concentrate on the measurable factors of the coaching process, the qualities of the coach, the feelings and behaviours of the coachee and their improved performance and capability. By doing this it would not be necessary to try to measure the impact of the coaching directly on the business results because it would be an inevitable consequence. (p. 37)

Figure 3.5 below, shows a coaching pyramid model based on the research conducted by (Leedham 2005).

![Coaching pyramid](image)

**Figure 3.5: The coaching pyramid**

The model is based on the principle that to be fully effective a business coaching relationship needs to be built on the firm foundation of four key factors:

- *the skills of the coach* such as: listening, questioning, giving clear feedback, establishing rapport, providing support
the personal attributes of the coach such as: knowledge, experience, qualifications, being inspirational, having belief in the coachee’s potential

- the coaching process including: clear structure and discipline, being mentally challenging and stretching

- the coaching environment providing: a safe, supportive place to discuss confidential and sensitive issues, providing time and space to think and reflect.

The next stage of the model suggests that, when those four foundation factors are in place, the coachee is enabled to realise the level of inner personal benefits:

- clarity and focus providing personal insights and exploration of themselves, their values and beliefs, providing a clear purpose and sense of direction

- confidence to believe in themselves, to feel more relaxed and less stressed, to raise their morale

- motivated to achieve, to improve both themselves and their organisation, inspired to drive things through (Leedham 2005, p. 39).

Once the coachee has developed the inner benefits for themselves as listed above they are then ready to produce the outer personal benefits, which are witnessed by their colleagues, superiors and peers:

- enhanced skills, knowledge and understanding in both job related skills and the ability to learn and develop themselves

- improved behaviours with individuals and teams in all forms of relationship (Leedham 2005, p. 39).

The ultimate aim is to reach results positioned at the top of the pyramid:

- business results such as: improvements in performance, being more productive, enhanced career progression, resolution of specific problems or issues (Leedham 2005, p. 39).

3.5.6 e-Coaching

With the growth of technology and the dramatic increase in popularity of the internet, internet platforms and modern devices which enables us to exchange any type of data and information within seconds it’s not very surprising that the process of transferring knowledge, the learning process and also coaching programs have engaged with this online technology. These trends have taken the form of e-Learning, e-Mentoring and e-Coaching.

Given the fact that e-Coaching is a very new area there are not yet a large number of studies and evaluation of e-Coaching programs. Nonetheless some studies have been undertaken in this area and have explained the process as a growing area of coaching. Rossett and Marino (2005) assert that:
E-coaching moves the coaching process online and expands the possibilities. Some e-coaches call what they do “distance coaching,” “distance mentoring,” or even “telecoaching.” What’s interesting here is that online experiences and tools are the fundamental way of supporting the coaching relationship, not an afterthought. Today most coaches use electronic means to communicate, if only to set up or alter an appointment. But an e-coach goes further, typically using the Internet strategically. In some cases, the entire relationship happens online—using IM with voice and even video to sharpen personnel selection questions or to shape a job search effort. (Rossett & Marino, p. 47)

E-coaching has its critics and some place grave doubts as to whether e-Coaching is a credible practice. Some experienced coaches prefer to coach by telephone. They believe that coaching by email or instant messenger leads to misunderstandings. ‘Voice communication makes it easier to build rapport and adds fluidity to the conversation. It also allows an experienced coach to ‘hear’ what’s not being said. Most coaches find it hard to get that flexibility and those insights through most online channels’ (Rossett & Marino 2005, p. 49).

Rossett and Marino (2005) explain that the success of an e-coaching program is based on several key components which make any coaching program successful, plus a few elements related to the technology being utilised. Benefits of e-coaching include:

- location scarcely matters
- coaching online lingers
- coaching matches needs and resources
- coaching expands the role of the manager and supervisor
- coaching goes where the action is
- technology scales support and expertise
- technology makes coaching more affordable (Rossett & Marino 2005, pp. 47-48).

Rossett and Marino (2005) believe that the future will see a growth in e-coaching:

Matchmaking will happen online as companies with many and far-flung employees establish pairings by needs and interests, no matter where people are located. The technology will make it possible to seek metrics on engagement, use, and satisfaction, as coaching is ever more integrated into work and life through laptop and mobile systems. (p. 49)

There are currently sufficient studies in this area to provide valid evidence to support the use of e-coaching as a workforce development tool. ‘Today, with improved and more accessible communications, effective coaching requires at least an initial videoconference or face-to-face meeting’ (Rossett & Marino 2005, p. 49). There might be very positive factors in using e-coaching programs in organisations but the effectiveness of these programs and the strength and weaknesses must be studied and addressed more specifically.
3.5.7 Developmental coaching

There is no doubt that all coaching is developmental. All coaching makes a contribution to a client’s adult development. But the way coaching is typically done at present does not always meet the client where the client is developmentally, because a notion of the "where" of development (developmental level) is absent in the coach. The coach may also not be aware of his or her own present developmental level. For coaching to be consciously "developmental," a particular mental model of the client needs to be fashioned, one that accounts for where the client is developmentally, in his or her journey across the life span.

In research conducted by Hudson (1999) it is asserted that the notion of development still leaves open two very different approaches to adult development. The first one, phasic, centres around the (age-related) "phase" of development a client may be said to be in (e.g., early vs. middle adulthood). The second one, constructivist, focuses on the age-related but not age-determined meaning-making a client habitually engages in. Meaning-making regards a client’s central tendency of making sense of experiences, not only in thinking, but in feeling and acting as well. This central tendency is often called a "stage," not only of meaning-making, but also of being in the world. The developmental sciences have elaborated our intuitive knowledge about how adults move across the life span in terms of research-based theories and assessment methods that can help us as coaches to have a better grasp on "where the client is developmentally."

Developmental coaching is assessment based or "instrumented" coaching. "The goal of developmental coaching is to work on the basis of deeper insight into the place from where clients make meaning of their personal or organisational experiences. This contrasts with the phasic view of development, which sees a client’s issues as determined by life style, present social conditions, and "renewal phase" (Hudson 1999, p. 37). It is believed that developmental coaching is "instrumented" for the purpose of assisting clients in reaching a subsequent level of mental growth and a more balanced process profile in periods not shorter than a year. Such coaching is based on assessments that lead to customised coaching strategies (fitted to the needs of the particular client). The coaching aims to assess effectiveness in assisting clients reach a higher developmental level. It is based on a methodology geared to producing outcome research on the effectiveness of entire coaching and development programs.

In a study conducted by Agarwal, Angst & Magni (2009), the focus is on the effects of managers’ coaching intensity on the performance of staff they supervise; they used a developmental coaching theoretical framework for their investigation. They highlighted that ‘developmental coaching occurs in the on-going and persistent interaction between a supervisor and employee in which the supervisor provides constructive and developmental feedback, helps subordinates handle difficult problems or situations, and creates opportunities for practising complex procedures before using them in the work setting in order to improve employees’ (Agarwal et al.2009, p. 2112).

Hawkins and Smith (2006 p. 24) highlight that ‘development coaching is more centred on the coachee's long term development and thus has some aspects of mentoring’. Besides helping the coachee develop competencies and capabilities, it will include more focus on the development of the whole person and their human capacities and how they can use their current role to develop their capacity for future roles and challenges; development learning, however, tends to focus on increasing the coachee’s capacity within one level of the life
stage. Action logic transformation will be more involved with enabling the coachee to shift levels and transition from one level of functioning to a higher order level.

3.5.8 Remedial coaching

Barner (2006) makes a succinct comparison between developmental and remedial coaching:

While transitional and developmental coaching are frequently used to help managers prepare for future work challenges, remedial coaching takes a corrective stance in helping clients get their performance back on track. Remedial coaches tend to focus their efforts on exploring leadership style issues that are related to shortfalls in the client’s performance. Leadership style issues frequently center on such ‘career derailment factors’ as arrogance, insensitivity to others, or the failure to build a strong base of influence in the organization. (Barner 2006, p. 103)

The remedial coach’s role is one of devil’s advocate and trusted advisor (Barner 2006, p. 103):

As devil’s advocates, coaches encourage clients to step back and examine their performance and behaviour from the perspective of other organizational members. When needed, they also challenge the assumptions or beliefs that a client may hold about his leadership performance, that may make it difficult for the client to meet organizational expectations. An example would be the executive who believes that the only way to insure quality work is to micro-manage his team members. As advisors, coaches encourage their clients to try out alternative leadership behaviours, and help clients think through the likely implications of leadership decisions and actions. (Barner 2006, p. 103)

Remedial coaching focuses on assisting clients to analyse poor performance issues that may be hampering the full potential of the client. Barner (2006) claims this is usually due to one of three scenarios when remedial coaching is required for executives:

1. The ‘blind-sided’. Many executives who are facing such difficulties don’t fully understand how their behaviour is viewed and interpreted by other organizational members.

2. The ‘minimizers’. Some clients clearly understand how they affect those around them but minimize the potential impact of such difficulties (‘It’s only a small problem which will disappear by itself over time’).

3. The ‘justifiers’. Although clients recognize that their behaviour creates problems for them, they also believe that this behaviour is, in some way, justified in terms of its value in helping them achieve certain work results. As an example, consider the manager who readily admits that she frequently finds herself locked into conflict with other department heads. At the same time, the client is reluctant to change this behaviour because she feels that it helps her wrestle certain important concessions, such as financial resources, from her peers. (Barner 2006, p. 104)
Barner (2006) makes the salient point that remedial coaching is one of the most difficult forms of coaching as it requires very high levels of coaching skills (diagnostics and facilitation) and requires the ability to achieve agreement and alignment between organisational stakeholders (clients' supervisor, HR leaders and senior managers) that remedial coaching is the right option.

3.5.9 Team coaching

Team coaching is defined as a type of coaching that 'supports team working by providing a forum for dialogue to take place, improving communication, giving focus and clarity of shared goals and increasing trust and collaboration' (Hall 2011, p. 8). Hackman and Wageman (2005) define team coaching as the ‘direct interaction with a team intended to help members make coordinated and task-appropriate use of their collective resources in accomplishing the team’s work’ (p. 269). They place team coaching within the broader context of leadership and how this relates to building team effectiveness and the roles of the leader in relation to teams:

Team leaders engage in many different kinds of behaviours intended to foster team effectiveness, including structuring the team and establishing its purposes, arranging for the resources a team needs for its work and removing organizational roadblocks that impede the work, helping individual members strengthen their personal contributions to the team, and working with the team as a whole to help members use their collective resources well in pursuing team purposes. Leaders vary in how they allocate their time and attention across these activities, depending on their own preferences; what they believe the team most needs; and the team’s own level of authority, initiative, and maturity. Only the last two sets of activities (helping individual members strengthen personal contributions and working with the team to help use resources well) are coaching behaviours, however, focusing respectively on individual team members and on the team as a whole (Hackman & Wageman 2005, p. 269).

In a review of existing research and theory, Hackman and Wageman (2005) identify three conceptually driven approaches to team coaching (process; behavioural; developmental) and one eclectic approach which is largely theoretical (eclectic interventions). These four approaches are briefly described below, and may be valuable in terms of providing the theoretical foundation for such approaches to assist in developing a coaching model for the Australian Rail Industry.

Eclectic intervention

Eclectic coaching interventions are activities that derive from no particular theoretical perspective but have considerable face validity nonetheless, in that a layperson would be likely to assume that they would help a team perform well. Eclectic models are found mainly in the practitioner literature as codifications of the lessons learned by management consultants whose practice includes team facilitation (Fischer 1993; Kinlaw 1991; Wellins et al. 1991). Although varied, these models specify ways that team leaders can develop members’ interpersonal skills, define members’ roles and expectations, deal with conflict and interpersonal frictions, and help a team achieve a level of “maturity” that lessens the team’s dependence on its leader’ (Hackman & Wageman 2005, p. 270).
Process Consultation

The process consultation approach was developed by Schein (1969, 1988) and based on the premise that interpersonal relations are the keystone to effective team performance and that the team members must all be actively involved in improving and aware of their own interpersonal relations within the team. In this approach to coaching:

The consultant engages team members in analysing group processes on two levels simultaneously: (1) the substantive level—to analyse how human processes are affecting work on a specific organizational problem—and (2) the internal level—to better understand the team’s own interaction processes and the ways that team processes foster or impede effective group functioning (Schein, 1988: 11–12). This type of coaching requires the process consultant first to directly observe the group as it works on a substantive organizational problem and then, once the group is ready, to introduce systematic interventions intended to help the team deal with its problems and exploit previously unrecognized opportunities. (Hackman & Wageman 2005, p. 270)

Behavioural Model

According to Hackman and Wageman (2005),

two distinct models of team coaching are based on theories of individual behaviour: (1) the application of Argyris’s (1982, 1993) theory of intervention to team-focused coaching by Schwarz (1994) and (2) applications of operant conditioning to the modification of team behaviour, notably those of Komaki (1986, 1998) and her colleagues. (Hackman & Wageman 2005, p. 270)

Developmental Coaching

Time and timing are seen as crucial elements to the developmental coaching approach for teams. ‘Two premises on which this approach is based are (1) that teams need help with different issues at different stages of their development and (2) that there are times in the life cycles of groups when they are more or less open to intervention’ (Hackman & Wageman 2005, p. 271). It is also highlighted that the ‘learning session’ is a key coaching intervention in the developmental approach in which

... the coach and team members review the team’s purpose, assess its progress thus far, and identify the issues the team needs to deal with next ... Because teams are unlikely to be able to process intensive interventions when task demands are also high, learning sessions are reserved for periods of relatively low cognitive demand. During intensive work periods, developmental coaches focus mainly on gathering data about behaviour and performance for use guiding subsequent interventions. When task demands diminish, active coaching resumes. (Hackman & Wageman 2005, p. 271)

3.5.10 Peer coaching

The practice of peer coaching can have a major impact on supporting individuals to achieve their job objectives. It can be applied to any industry. As the focus of this literature review is
to provide valid information in order to create a coaching model for the Australian rail industry, it is believed that the available information in the literature based on peer coaching can also assist in developing a coaching framework for the rail industry.

The research of Parker, Hall and Kram (2008) introduced the concept of peer coaching and positioned it in relation to accelerated career learning. Their study differentiates between peer coaching and the related concepts of mentoring and peer mentoring by arguing for peer coaching relationships as opposed to more traditional mentoring approaches. For example, in peer coaching both participants are learners and this allows for greater levels of participation of individuals within any given workforce engaging in this mutually reciprocal process.

According to Parker, Hall and Kram (2008):

Peer coaching is more focused than general peer learning ... Peer coaching is one type of helping relationship, which, as Rogers (1973) emphasized, is based on qualities such as unconditional positive regard, authenticity, and mutual trust, if it is to be effective. There are other examples of developmental relationships that support individual learning and facilitate career success. However, the unique contribution of peer coaching is the inherent mutuality and reciprocity of the process. Both individuals are learners, in contrast to more traditional models of mentoring and other hierarchical learning relationships. The explicit and primary purpose of the relationship is to service both parties’ learning (Parker et al. 2008, p. 490).

Parker, Hall and Kram (2008) refer to the growing incidents of peer coaching emerging in the literature in both corporate and academic settings. Of note and interest to the rail industry is the process of peer coaching used at Vodafone, one of the largest telephone companies in Australia. ‘Success has been reported at Vodafone, where peer groups were formed at each level of the organization to accelerate culture change. Building a coaching ethos from the top down and linking it with elements such as personal development reviews, briefings, team building, and leadership courses contributed to a shift in priorities from day-to-day processes to people development’ (Parker et al. 2008, p. 492).

Another example of peer coaching in the corporate world is given by Toto (2006) at a global medical device company, Becton, Dickinson and Company (BD):

At BD, peer coaching is embedded in both its regular and recently launched advanced leadership development programs. Validation of peer coaching’s success has come in the form of positive feedback from BD’s 1,500 leaders worldwide. That feedback stresses the fact that when peer coaching is practised within these leadership development programs, the participants gain invaluable insights into the topic attached to the coaching, while the coach gains confidence in her abilities. Some of the topics that were used in peer coaching sessions within BD ’s leadership programs include:

- ambiguity as a change agent
- job challenges as a catalyst for development
− emotional intelligence
− discipline of execution
− how to influence others
− learning agility
− action learning for leadership skills development (Toto 2006, p. 69).

At BD peer coaching has become embedded in the leadership development programs. Toto (2006) also indicated that peer coaching can be applied in a variety of circumstances within an organisation and can assist with developing a coaching culture throughout an organisation. So what makes for successful and effective peer coaching?

Successful peer coaching is dependent upon how the coach and participants approach the process and what techniques are used. An effective peer coach should believe in helping, supporting, and guiding a peer and not appear as someone who has all the answers or is eager to tell others what to do. Participants to be coached should be open minded, interested, and appreciative of peer learning, not defensive, closed minded, or preoccupied with their reputations. When peer coaching is approached effectively, there is a certain vulnerability for both parties, the coach is reaching into his experience and expertise to help an employee, and the participant is being honest about weaknesses that need to be strengthened. (Toto 2006, p. 69)

Parker, Hall and Kram (2008) suggest that the critical qualities of effective peer coaching are:

− equal status of peer coaching partners
− focus on personal and professional development
− reflection on practice as integral to the process
− emphasis on process as well as content—‘critical friend’
− accelerated career learning.

In addition, based on their research, Parker, Hall and Kram (2008) make five propositions:

1. Peer coaching is more effective to the extent that the peers have participated in the matching process.
2. The peer-coaching process is more likely to be effective to the extent that it contains an emotional component.
3. Peer-coaching outcomes are more likely to be positive when the relationship has the following qualities: trust, mutual respect, professionalism, and mutual accommodation.
4. Positive outcomes are more likely to be reached when both peers are motivated to learn and when both contribute actively and equally to the process.
5. People are more motivated to engage in peer coaching independently when they have previously experienced positive learning outcomes from peer coaching, such as professional development.

‘A frequently asked question about peer coaching is how it relates to other types of coaching that take place within an organization, such as performance, career, and developmental coaching’ Toto (2006, p. 69). Toto answers this question as, ‘peer coaching, though different in its range of application and topical focus, fundamentally supports and enhances other forms of constructive coaching practices within an organization. Peer coaching thrives in an organization when other types of constructive coaching are effectively and frequently practised’ (Toto 2006, p. 69).

In another study conducted by Ladyshewsky (2007) three separate 360-degree feedback assessments took place across a two-year leadership development program and the role of peer coaching in this program is identified as one the most important parts of learning and development for managers. The program participants involved in the study consisted of self-selected middle level managers from a public sector agency in Western Australia. As a result of the research Ladyshewsky (2007) highlights that the opportunity to participate in a peer coaching experience enabled participants to develop their coaching skills with each other and also to extend this competency into the workplace with their subordinates. The following is an excerpt from one of the participants in their research:

I found that through my role of peer coach to John [fictitious name] I was able to use the skills that I developed to assist me in other parts of my role as a manager. For example, I was able to improve the quality of feedback that I give my subordinates on their project work through asking open ended questions, actively listening, paraphrasing and initiating action on their concerns. The coaching sessions opened up the opportunity to assess my personal management in a non-threatening environment with a peer rather than my staff or manager where equality becomes an issue and can often inhibit meaningful discussion. (Ladyshewsky 2007, p. 435)

3.5.11 Cross-cultural coaching

As indicated by Plaister-Ten (2009) the emergence of cross cultural coaching in contemporary coaching research and literature makes a strong case for consideration by the Australian rail industry:

Cross-cultural coaching has the potential to be sought as a route to cross-cultural effectiveness in the workplace and was declared ‘one of the hottest trends’ by the Association for Coaching in June 2008. It can facilitate the efficacy of global executives, multi-cultural teams, international mergers and acquisitions and expatriate postings. Yet, coaching has emerged from a Western perspective that may not be appropriate across cultures, given the forces of globalisation and the multi-cultural nature of societies and workplaces today. (Plaister-Ten 2009, p. 64)

The cross cultural coaching literature is dominated by the work of Rosinski (2003, 2006) and in partnership with other writers (Abbott & Rosinski 2007; Gilbert & Rosinski 2008). Here we focus on two key works of contemporary research to provide a snapshot of the current state

Culture may be perceived as an integral part of the individual’s identity, as well as a set of characteristics held by other groups, and thus an awareness of one’s own cultural orientations and preferences is a powerful aid to self-understanding and sustainable success in roles and relationships. (Gilbert & Rosinski 2008, p. 81)

In research conducted by Gilbert and Rosinski (2008), the authors aim to raise awareness of and engagement with cultural perspectives in coaching by presenting an evaluation of a recently launched online self-assessment tool, related to the Cultural Orientations Framework (COF). The tool is designed for use by coaches and coachees in either an individual or team based context. Cross cultural coaching research is critical to developing an effective coaching framework for the Australian Rail Industry as a multicultural sector. Previous Rail CRC research (Cameron et al. 2011, Wallace et al. 2011) and Engineers Australia (2012) has highlighted skill shortages in the rail industry, with a large number of engineers immigrating from different countries to fill this gap (www.engineersaustralia.org.au). Cross cultural coaching models are thus relevant to all organisational levels of the rail industry.

Culture is defined by Gilbert and Rosinski (2008) as:

... the characteristics of one group that distinguish it from another. A focus on outward manifestations (gestures, language, behaviours, artefacts, etc.) has given rise to a veritable industry advising people how to ‘understand’ and ‘cope with’ cultures other than their own. While the best-known contemporary cross-cultural theorists (Hofstede, 2001; Trompenaars & HampdenTurner, 1998) locate culture to some extent in internal processes, the emphasis in much literature tends to be on culture as external to ourselves, culture as something that other people have and display. How we carry culture inside ourselves, how it shapes our perceptions and choices in every situation, has remained relatively unexplored. (Gilbert & Rosinski 2008, p. 81)

Gilbert and Rosinski (2008) also highlight the opportunities for leveraging cultural awareness within team-based environments and argue strongly for the use of the COF tool:

If coaches approach individuals as ‘culture-neutral’ they may be missing a rich vein of values, orientations, assumptions and behaviours. The COF enables coaches and clients to access and reflect on the cultural characteristics embedded in the individual, those traits and preferences that have a learned origin through having been formed within a particular culture, rather than being attributable to personality or other individual psychological factors. (Gilbert & Rosinski 2008, p. 88)

The COF assessment tool can be used within individual and team coaching to:

– assess cultures, focusing attention on key variables and tendencies
- discover new cultural choices, open up new options, find new ways to generate solutions
- assess cultural differences and similarities, and thus improve communication
- bridge different cultures (moving from recognition of differences and similarities to action to bridge the gaps)
- envision a desired culture, by providing a vocabulary with which to describe culture
- leverage cultural diversity, using diversity as a resource and creating synergy’ (Gilbert & Rosinski 2008, p. 88).

Plaister-Ten (2009) undertook a study in which she conducted 10 semi-structured interviews with coaches with a minimum of five years cross-cultural coaching experience and concluded:

Whilst there is no one ideal model that cross-cultural coaches draw upon, a systems approach appeared to accommodate the multiple external influences and cultural norms that the coach needs to be aware of. Working cross-culturally takes time, drawing on the flexibility and creativity of the coach to facilitate unique solutions when working with differing concepts of self, differing cultural values and sometimes opposing cultural mandates ...

There appear to be key qualities that a cross-cultural coach draws on including: challenging assumptions; remaining open; cultural self-awareness; and coping with ambiguity. These techniques and qualities contribute to a cross-cultural toolkit and the cross-cultural wisdom that is likely to be demanded by global organizations and of global executive coaching. It is incumbent upon the cross-cultural coach to be aware of and comfortable with their own cultural self-identity in order to remove any bias today. (Plaister-Ten 2009, p. 64)

3.6 Theoretical models of coaching

Bachkirova, Cox and Clutterbuck (2010) refer to the popularity of coaching across the economy and within a wide range of applied industry contexts. Coaching and coaching practice cover a variety of professions, with multi-theoretical backgrounds and interdisciplinary theoretical foundations. These authors are prominent authorities in the field of coaching and refer to the range of theoretical disciplines coaching draws upon, ‘... coaching is an applied field of practice that has its intellectual roots in a range of disciplines; social psychology; learning theory; theories of human and organizational development; and existential and phenomenological philosophy, to name just a few’ (Bachkirova et al. 2010, p. 1). A summary of these theoretical approaches, as documented in The Complete Handbook of Coaching, is provided below.
Psychodynamic (Chapter 1)

Psychodynamic thinking has been influential for more than 100 years. It focuses in the workings of the mind and the role of the unconscious processes in human behaviour, in particular the dynamic relationship between different parts of the mind.

Cognitive-behavioural (Chapter 2)

Based on the premise that the way we think and have internal dialogue about events greatly influences the way we feel about them which in turn impacts stress and performance. The role of the critical inner voice and its impact on self-esteem and self-worth.

Solution focused (Chapter 3)

The emphasis is on assisting the client to define a desired future state and to construct a pathway in both thinking and action that assists the client in achieving that state.

Person-centred (Chapter 4)

This is an approach that can be undertaken one-to-one, in small groups and in community settings. The focus is on facilitating the self-determination and full functioning of the coachee. It is based on the philosophy that people are their best own experts.

Gestalt (Chapter 5)

Derives from Gestalt therapy/psychology, with an emphasis on descriptive rather than evaluative feedback and a strong adherence to the coachee’s own words, meanings and subjective experience. Emphasises the role awareness plays in achieving effective behaviour and a healthy way of life. The Gestalt coach is interested in how the coachee meets or fails to meet their needs and assists them to better understand their own thought processes and behavioural patterns.

Existential (Chapter 6)

Based on three principles which describe the human condition: relatedness; uncertainty and existential anxiety. Instead of a speedy reduction or removal of a coachee’s concerns, this approach is primarily a descriptive exploration of the coachee’s worldview from within the context of their present concerns.

Ontological (Chapter 7)

Focuses on the three interrelated spheres of language, emotions and physiology.

Narrative (Chapter 8)

Coaches are seen as narrators with the coach helping the client to identify new connections between their stories, their identities and their behaviours (Bachkirova et al 2010, p 13). The coach prompts the coaches to view their stories, identities and behaviours through different lenses/perspectives.

Cognitive-developmental (Chapter 9)

This approach suggests that people differ in their meaning making capacity due to their personality types and preferences. Changes occur in a logical sequence of stages throughout the individual’s life and can be assisted through this form of coaching.
Transpersonal (Chapter 10)

This approach recognises dimensions beyond the personal and focuses on the interconnectedness of all elements in human systems and between systems. It focuses on the coachee’s awareness of the transpersonal dimension of life and facilitating the experience of being connected to others.

Positive psychology (Chapter 11)

This approach moves away from focusing on problems and weaknesses by drawing attention to strengths and opportunities.

Transactional analysis / NLP (Chapter 13)

Transactional analysis and NLP coaching is based on the notions of ego states, life scripts and interactional patterns. The important assumptions are that people make current decisions and select goals and methods of their achievement based on past premises that may be no longer appropriate for their own needs.

Source: Bachkirova et al. (2010)

These theoretical approaches can be aligned with the various genres and contexts of coaching (Table 3.3).

Table 3.3: Coaching theory matrix (adapted from Bachkirova et al. 2010, p. 10)

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<thead>
<tr>
<th>Genres and Contexts</th>
<th>Primary theoretical traditions</th>
<th>Secondary theoretical traditions</th>
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</thead>
<tbody>
<tr>
<td>Skills / Performance Coaching</td>
<td>Cognitive-behavioural</td>
<td>Psychodynamic</td>
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<tr>
<td></td>
<td>Solution focused</td>
<td>Person-centred</td>
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<td>Positive psychology</td>
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<td>Transactional analysis / NLP</td>
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<td>Developmental Coaching</td>
<td>Cognitive-behavioural</td>
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Mentoring and Coaching: A Literature Review for the Rail Industry

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<tr>
<th>Mentoring Type</th>
<th>Regression Stages</th>
<th>Source: Adapted from Bachkirova, Cox and Clutterbuck (2010, p. 10)</th>
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3.7 Developing a coaching culture/climate

Megginson and Clutterbuck (2006) conducted in-depth research on what is needed in creating a coaching culture and have based their coaching culture diagnostic on two principles. ‘The first that it should reflect the issues identified in our research not sure what this sentence means; the second that, given that achievement of coaching culture is a lengthy and gradual process, any diagnostic instrument should allow your college [organisation] to see progress over time’ (Megginson & Clutterbuck 2006, p. 232). The authors arranged their indicators in four levels, representing progressive sequential stages in the process. These four stages are named nascent, tactical, strategic and embedded.

**Nascent Stage:**

...‘an organisation shows little or no commitment to creating a coaching culture. While some coaching may happen, it is highly inconsistent in both frequency and quality. Top managers present poor role models and coaching behaviours tend to be abandoned in the face of more urgent, if less important, demands on managers’ time. Any executive coaching provided is uncoordinated and typically the result of severe performance problems with a few individuals or a status boost for senior managers incapable of (or unwilling to engage in) self-development. People tend to avoid tackling difficult behavioural or ethical issues, out of embarrassment, ineptitude, fear, or a combination of all three’ (Megginson & Clutterbuck 2006).

**Tactical Stage:**

‘At the tactical stage, the organisation has recognised the value of establishing a coaching culture, but there is little understanding of what that means, or what will be involved. Top management sees the issue as primarily one for human resources’ (Megginson & Clutterbuck 2006, p. 233).

**Strategic Stage:**

‘...there has been considerable effort expended to educate managers and employees in the value of coaching and to give people the competence (and therefore confidence) to coach in
a variety of situations. Managers are rewarded/ punished for delivery/non-delivery of coaching, typically linked to formal appraisal of direct reports. Top management have accepted the need to demonstrate good practice and most, if not all, set an example by coaching others. They spend time getting across to employees how coaching behaviours support the key business drivers’ (Megginson & Clutterbuck 2006, p. 233).

**Embedded Stage:**

‘... people at all levels are engaged in coaching, both formal and informal, with colleagues both within the same function and across functions and levels. Some senior executives are mentored by more junior people, and there is widespread use of 360 degree feedback at all levels to provide insights into areas where the individual can benefit from coaching. Much, if not most, of this coaching and mentoring is informal, but people are sufficiently knowledgeable and skilled to avoid most of the downsides to informal mentoring’ (Megginson & Clutterbuck 2006, p. 233).

In 2000, coaching research was conducted in one of Australia’s major telecommunication companies, Vodafone. Vodafone’s change from a command-and-control culture to one based on coaching and collaboration helped the company to top the league table of mobile-telephone network quality in Australia. According to Eaton and Brown (2002), the company culture of the mid-1990s had caused the company to slip behind competitors. The old Vodafone culture rewarded a ‘heads down’ focus on achieving the month’s quota. Little thought was given to the growing problems of Vodafone managers and their expanding staff. Systems and departments were scaled up each year to achieve ever-higher targets. Old processes were controlled by increasing bureaucracy and each new crisis was dealt with as it arose.

HR specialists and senior managers began to discuss how culture change could be achieved. A 360-degree assessment and feedback system was introduced, to give managers information on the opinions of peers, reporting staff and line managers. This revealed that employees needed to be included more in decision making and information exchange. Significant investment was made in new information-technology systems to improve the quality of information available to staff and managers. One-to-one coaching and coaching skills training were used to reinforce and accelerate the culture change initiative. Coaching was among the channels employed to disseminate information and ensure that the individual objectives needed to create change were actually carried out. Team coaching helped teams to define their common purpose and take appropriate action:

The coaching program had a magnificent impact on the staff and managers. Team members spent less time guarding their position or defending their actions, and more time getting on with the job. Team ownership of problems increased and members spent more energy finding their own solutions, rather than blaming others. Teams became more engaged in running the business and challenging how and why things were done in a particular way. Transmitter sites were rolled out faster and more efficiently as integrated teams and managers competed to put their patch ahead of the competition. (Eaton & Brown 2002, p. 33)

Vodafone regained top position in 2000 and has held it ever since. However, traditional attitudes to management don’t die overnight. Changes took place in some parts of Vodafone...
more quickly than in others. Nevertheless, as existing managers gradually adapted and incoming managers were introduced to the new culture from the start, evolutionary change took hold and the role of the coaching programs and practices in Vodafone proved helpful in enabling the company to move towards a more collaborative, productive and team-oriented culture.

Rock and Donde (2008) have undertaken research with a focus on organisational change and the use of coaches as change agents. Today, development leading to culture change is easier than ever, and qualified and experienced coaches are playing a key role in assisting organisations which are in the process of undergoing multiple changes at an increasingly rapid pace. ‘Change is pain: any kind of major change initiative requires people to apply focus and effort, to pay attention to bring about change’ (Rock & Donde 2008, p. 10). Most organisations need to develop this capacity to execute change more effectively. The Human Resources (HR) team is charged with driving the human side of change. These people need help, specifically from people who know how to facilitate change; they require thinking resources. So, it’s natural that they should turn to coaches.

In supporting their discussion, Rock and Donde (2008) explain the role of coaching in helping organisations to make the process of change in the organisation less painful. The emotional change required in organisational transition requires hardwiring of new learning through insight and action. Coaches can facilitate this process. Change needs to be addressed at all levels:

- driving the leadership pipeline through integrated coaching solutions
- personal and organisational performance change
- shifting culture by transforming the quality of every conversation—leading to culture change

In a case study conducted by Rock and Donde (2008), an Australian Government IT department invested in developing relationships in graduate schools, and hiring talented young people. However, they found that after a couple of years they were losing many of them. This department wanted to improve the on-boarding process with these new graduates so they could deepen people’s connections and success within the department. After training over 100 internal coaches across this organisation, the feedback received showed the internal clients felt far more valued by the organisation. Some issues to keep in mind around internal coaches for on-boarding are:

- It’s important that people are educated about coaching so you increase the chances of usage but it has to be optional.
- There needs to be structure and clarity so people know exactly what they are getting into. You could have an on-boarding coaching product where you have a brand and logo, and its 12 sessions over 6 months with specific outcomes.
The best way of matching is to let the client to choose the coach (Rock & Donde 2008, p. 16).

Wilson (2011, pp. 410-411) has developed a very practical guide to developing or creating a coaching culture. This includes 10 steps:

1. Vision and purpose
2. Organizational health check
3. Identifying the stakeholders
4. Getting buy-in
5. Where to start
6. What to measure
7. Implement pilots
8. Evaluation and forward planning
9. Implement next phase
10. Maintain the momentum.

Work in the 21st century is increasingly global where companies recruit internationally and workers migrate to where the jobs are. Hence, there is a clear need not only to understand, but also to compare culture and cross-cultural differences. This is equally true for traditional assessment contexts such as recruitment and promotion, but also for assessments for developmental and coaching purposes. It has been noted that coaches increasingly face situations where they are expected to work with clients from a variety of backgrounds. Hence, considering the role of culture in the work of clients is an important responsibility for coaches and in fact, 'a sound understanding of clients’ cultural perspectives can act as an important leverage to add value to international coaching (Rojon & McDowall 2010, p. 1). Psychometrics may offer a common point of reference and indeed, the use of cross-cultural assessments, such as personality and competency measures, is increasing, facilitated by the internet (Van de Vijver & Poortinga 2007; Daouk et al. 2006, cited in Rojon & McDowell 2010). However, practitioners and academics alike face a challenge to ensure that any instruments used adhere to psychometric standards, whilst at the same time being acceptable and usable across various cultures.
3.8 Summary

This wide ranging overview of the key issues and contemporary research and literature on coaching has shed light on coaching as an emerging practice and profession. The review has attempted to position coaching historically and to overview the professional bodies that have emerged to direct the development of the profession and to ensure professional standards and ethics. Along with coaching certification and higher education courses we have presented the nature of coaching and focused on those types of coaching most relevant to the rail industry and its workforce development needs: executive coaching; leadership coaching; workplace coaching; career coaching; business coaching; e-coaching; developmental remedial coaching; team coaching; peer coaching; and cross cultural coaching. The theoretical models of coaching were then summarised and aligned with the genres (or types) of coaching and coaching contexts most relevant to the rail industry.

The following quote from prominent authorities in the field provides a very good summation as to the current state of coaching:

> Coaching could be seen as a human development process that involves structured, focused interaction and the use of appropriate strategies, tools and techniques to promote desirable and sustainable change for the benefit of the coachee and potentially for other stakeholders. Its popularity is indisputable, and across all economic sectors an increasing number of organizations are commissioning coaches to support their staff at different stages in their careers. Coaching is therefore recognized as a powerful vehicle for increasing performance, achieving results and optimizing personal effectiveness. Because it has proved to be so effective, many companies and government departments invest in internal and external coaching for their employees. The work of independent coaches is flourishing, enabling clients to accomplish their goals, both professionally and personally. (Bachkirova et al. 2010, p. 1)

The review has identified several key messages for consideration by the rail industry:

- the array of coaching approaches and genres (and their related theoretical foundations), provides both choice and challenge in terms of evaluating the approach or approaches which will best suit organisational needs. This diversity provides a ‘smorgasbord of choice’ and allows for the customised development of coaching interventions

- the increasing professionalisation of coaching provides a safeguard for the rail industry when evaluating the services of external coaches and coaching services, hence increasing organisational risk mitigation, quality service provision and increasing the likelihood of ROI

- the benefits of coaching, as evidenced by the research presented, can be significant for a variety of staff at different stages of their respective careers. It is not only in the exclusive domain of the executive or senior leadership but applicable to all staff. It also proffers benefits for overall organisational performance through workforce development initiatives.
The development of a coaching culture is an imperative precursor to implementing a coaching intervention or HRD activity.

3.9 Further reading


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Chapter 4: Conclusion

This report has reviewed a wide range of historical and contemporary advancements in mentoring and coaching practices - exploring how each technique could be used in the rail industry to advance programs of workforce development. The literature reports that both mentoring and coaching programs are fast-emerging in the business environment as complementary tools of human resource development. In an age of increasing technology, individualised learning and cost control, it appears that formal face-to-face training programs are giving way to alternative methods of human resource development where employees engage in learning activities at a time and place to suit their own needs.

Each chapter in this review presented a brief summary of the main issues and these findings will require further examination in rail organisations as part of the ongoing research program in Stage 2. It would appear from the literature thus far that the benefits of mentoring and coaching programs can be significant, but only if these programs are introduced in a systematic and appropriate way as part of a wider human resource development strategy. The review makes an important point that informal mentoring and coaching practices may already be well-established in many rail settings so any formal arrangements must take care to build on this existing culture rather than attempt to change it.

This report has revealed an absolute need for ethical and responsible practice. At the present time, professional standards and lead bodies in mentoring and coaching are still emerging around the world. Sections 1 and 2 outline these developments and suggest that mentoring and coaching programs should not be the unique preserve of special occupational groups, but rather, made available to anyone where the need emerges. Equally important is the nature of mentoring and coaching relationships – particularly in relation to the perceptions of power. Rail organisations must therefore be diligent in the deployment of equitable policy and practice. For these reasons, the next stage of research will consider the strategic positioning of mentoring and coaching in rail settings.

One critical issue in relation to the uptake of mentoring and coaching will be the extent to which these activities can be seen to add value to rail organisations. The literature review has found many examples reporting the positive benefits of mentoring and coaching, but these tend to be longer-term and largely unique to each context. Therefore, each rail organisation will need to ascertain its own value and those measured will be reviewed in Stage 2 of the research project.

Finally, the totality of this review suggests that rail organisations could benefit substantially from adopting a unified approach and national framework that managed any risks by: (1) setting professional standards for the industry; (2) providing best-practice guidance for those leading mentoring and coaching programs; (3) offering a range of evaluative tools to validate a likely return on investment; (4) ensuring that mentoring and coaching reach out to diversity groups; and (5) ensuring benefits were distributed equitably to everyone involved in the processes.
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