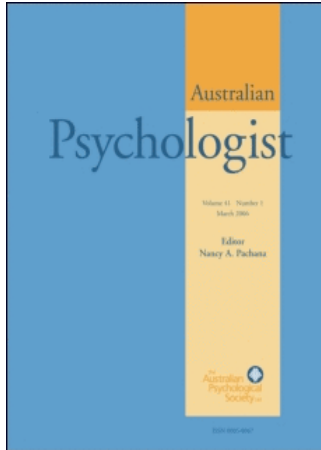


This article was downloaded by:[MacKie, Doug]
On: 26 October 2007
Access Details: [subscription number 783525699]
Publisher: Taylor & Francis
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Australian Psychologist

Publication details, including instructions for authors and subscription information:
<http://www.informaworld.com/smpp/title~content=t713740458>

Evaluating the effectiveness of executive coaching: Where are we now and where do we need to be?

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Online Publication Date: 01 December 2007

To cite this Article: MacKie, Doug (2007) 'Evaluating the effectiveness of executive coaching: Where are we now and where do we need to be?', Australian Psychologist, 42:4, 310 - 318

To link to this article: DOI: 10.1080/00050060701648217

URL: <http://dx.doi.org/10.1080/00050060701648217>

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Evaluating the effectiveness of executive coaching: Where are we now and where do we need to be?

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Abstract

To date there have been no universally accepted criteria for what constitutes a successful outcome in executive coaching. This has been partly a function of the range of activities undertaken within the coaching medium and partly the fact that commercial realities mitigate against controlled trials teasing out mediating and moderating variables. Consequently we may need to look elsewhere for some inspiration in how to assess outcome in executive coaching. Both the training and psychotherapy literature have a long history in addressing the problem of evaluating outcomes in their respective domains. The Kirkpatrick model of four-stage evaluation is now nearly 50 years old and suggests key criteria for the effective evaluation of training and management development interventions. The psychotherapy literature has by necessity advocated controlled trials of different therapies and established key process and outcome variables that predict an effective intervention. Incorporating some of their key insights and findings on evaluation should help to accelerate the executive coaching evidence base.

Effective coaching evaluation is essential if coaching is to flourish in the business and executive development context. Currently the majority of the research in the area is uncontrolled and anecdotal (Dagley, 2006) and although this is a necessary first step in the evolution of any new research paradigm (Roth, Fonagy, & Parry, 1996), it is insufficient for the increased understanding of the factors that may contribute to effective executive coaching. Because coaching draws on many techniques from adult learning and behavioural change that are derived from the training and psychotherapy literature, the possibility exists that we can accelerate the process of the provision of an evidence base for coaching by learning the lessons from these two substantial bodies of literature. This type of analogical evidence could form the basis of an evidenced-based approach to coaching by integrating data and information about the efficacy of common psychological processes and techniques that predicate diffuse areas of applied psychology (Stober, Wildflower, & Drake, 2006).

Review of the outcome literature in executive coaching

In order to understand the current state of the evidence for executive coaching, a brief review of the current literature is required. This is not intended to be exhaustive, but more illustrative of the level of evidence that is currently available and what outcome variables are being evaluated in contemporary research studies. (More thorough reviews of coaching effectiveness are available in Jarvis, Lane, & Fillery-Travis, 2006; Kampa-Kokesch & Anderson, 2001). Traditionally in psychotherapy research, research evidence moved through several distinct phases of information quality from anecdotes and observations, through single case designs and finally randomised controlled trials (RCTs). This then coalesces into a practitioner consensus that forms the basis of training and supervision (Roth et al. 1996) (Figure 1).

Does this model apply to executive coaching? Coaching has drawn on many existing models from

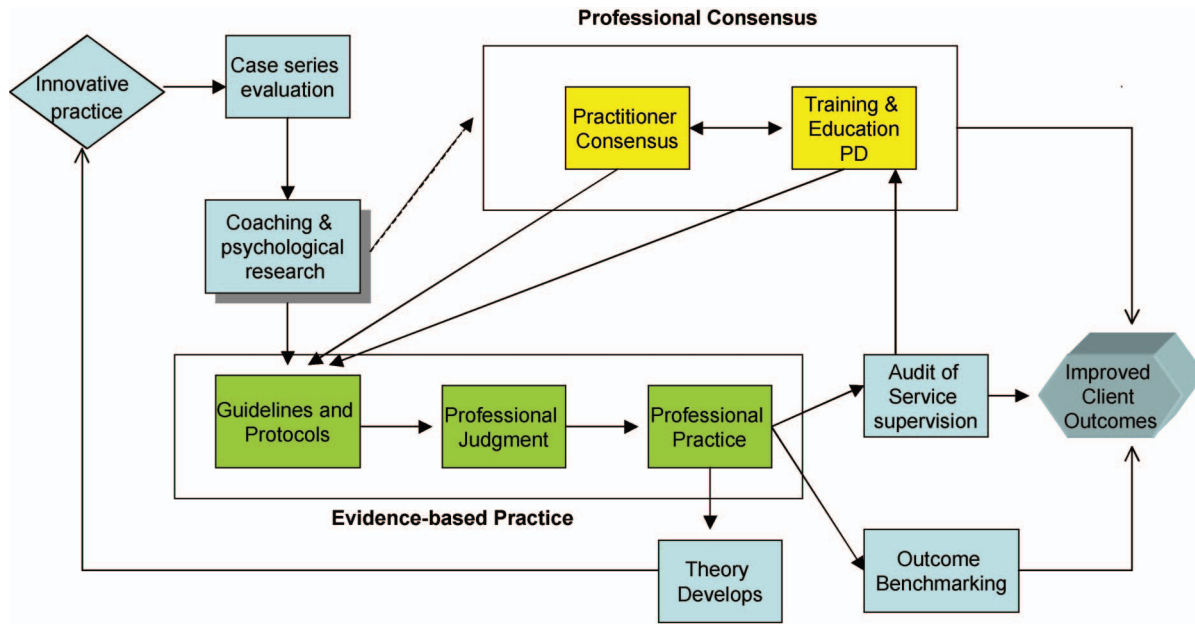


Figure 1. Linking research to outcomes in executive coaching (adapted with permission from Roth, Fonagy, & Parry, 1996). PD = professional development.

applied psychology and it is reasonable to suppose that this has led to innovative practice when applied to executive development. What is clearly lacking in the literature is the regular evaluation of this practice through case studies and controlled trials. Consequently there is no professional consensus as to what constitutes effective coaching and little in the way of guidelines and protocols to inform evidence-based practice. What little consensus there is seems to concern how coaching is distinctive from other interventions, including psychotherapy. This makes outcome benchmarking almost impossible and fails to inform either coach or coachee of what would be a reasonable expectation from engaging in the executive coaching process.

It is illustrative to compare coaching psychology's current level of evidence to the quality of outcome data available in the psychotherapy literature. A significant number of published studies in executive coaching are in the form of surveys that simply report perceptions of effectiveness and areas of perceived efficacy. Much of these data are collected from indirect observers of the coaching process rather than the direct recipient. These data, although useful, are at the level of collective anecdotes and a long way from the type of rigorous, controlled and verified data normally required in applied psychology (Figure 2).

There are to date no meta-analytic studies of the effectiveness of coaching and no components analyses of what specific element of the intervention is responsible for a positive outcome. Individual case studies are strangely rare in the literature and there

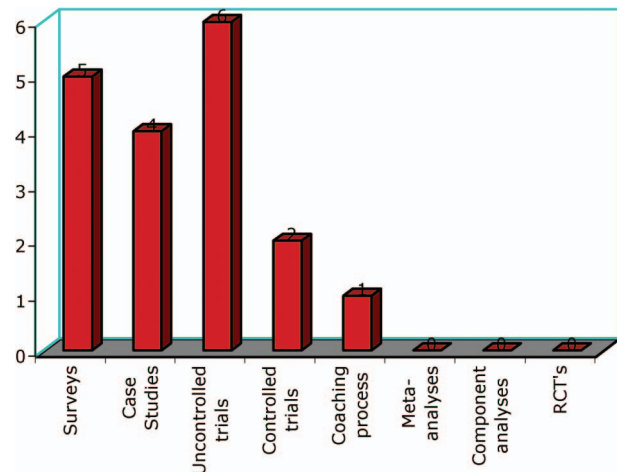


Figure 2. Levels of evidence in executive coaching research. RCT = randomised controlled trial.

have been a handful of uncontrolled studies and even fewer controlled ones. Clearly the evidence for coaching effectiveness is in the embryonic stage. One of the often-cited reasons for this is the sheer number of possible targets for executive coaching (Lee, 2003). Horner (2002) found that the majority of executive coaching interventions targeted changes in impact and influencing skills but Hay Group (2002) found that interpersonal skills, change management style and team effectiveness were the most commonly cited areas of change. Clearly with such breadth of possible domains of change, finding generic outcome criteria that satisfy all possible areas

of intervention is a real challenge for the profession (Feldman, 2005).

Review of the evidence: Surveys

The most recent significant independent survey on coaching effectiveness (Chartered Institute of Personnel Development [CIPD], 2005) represents a useful overview of how organisations and clients perceive coaching outcomes and effectiveness. While 29 UK-based organisations were surveyed, the actual number of respondents was not disclosed. However, there were clear trends in how coaching was being evaluated, with the majority of organisations seeking feedback from either the coachee or the line manager. Changes in individual performance, goal attainment and organisational culture were also seen as acceptable ways to evaluate coaching effectiveness. Client and organisational attributions of what changed as a result of coaching are also of note. The majority of targets that organisations felt had changed were, not surprisingly, largely business focused and included key performance indicators, sales, productivity, quality, profit and revenue. This illustrates the importance of face validity for any coaching outcome questionnaire and the essential inclusion of business relevant criteria. Data on evaluation were typically collected in a range of formats including peer feedback, performance ratings, survey results and skill ratings. Outcomes assessed seemed to fall into five categories: performance, motivation, behaviour change, culture, and leadership. Although not explicit, there is the suggestion of a stage model here that requires change in some foundation criteria such as motivation before changes in performance, leadership and ultimately culture can be expected. It also suggests that the timing of the evaluation will be critical because although changes in motivation can be witnessed relatively quickly, culture change is a much more sedentary process.

Review of the evidence: Case studies

Given the way in which new scientific paradigms normally develop their evidence base, there is a surprising paucity of case studies of individual change as a result of executive coaching. Those that have been published often use no psychometrics, provide brief narratives around outcomes or develop their own ideographic assessment tools (Hardingham, 2006; Laske, 2004; Orenstein, 2006). This makes comparing results across case studies and attempting to replicate their results, almost impossible. A notable exception is Libri and Kemp (2006), who used cognitive behavioural techniques including goal setting, cognitive restructuring and problem solving to coach a sales executive in a single-case design.

Outcome measures included measures of psychopathology, sales performance, core self-evaluations and subjective ratings of performance. The core self-evaluations included self-esteem, self-efficacy, neuroticism and locus of control (Judge, Erez, Bono, & Thoresen, 2003). The results were presented as graphical trends rather than being statistically analysed. However, there were positive changes on both sales performance, self-ratings of performance and core self-evaluations. These results were still apparent, if somewhat attenuated, at 18-month follow-up. Interestingly core self-evaluations appear to have been enhanced by the coaching process and this may be a key foundation factor for the effectiveness of executive coaching, (Dingman, 2004). The Libri & Kemp (2006) case study is important because it provides outcome data at both subjective levels, namely self-ratings of confidence and performance, and objective ratings of sales performance. It also provides longitudinal data over 18 months that allow the transfer and maintenance of gains made in coaching to be assessed.

Review of the evidence: Uncontrolled studies

Even uncontrolled outcome studies in executive coaching are relatively rare. Wasylyshyn (2003) presented the results of a survey of 100 executives from her own coaching practice. In addition to looking at the focus of the coaching engagement, she also examined the sustainability of coached executives' learning and behaviour change. Executives rated the capacity to build an effective relationship, professionalism and a sound coaching methodology as the top three key personal characteristics of an effective coach. However, it is still an unanswered empirical question as to whether this leads to sustainable behavioural change in the coachee. The focus of the coaching sessions included personal behaviour change (including confidence and stress management), enhancing leadership effectiveness (including inspiring and motivating others), improving relationships (including empathy) and personal development (including career management). Outcome was assessed by the coachee self-rating on a scale of 1–10 on the sustainability of the coaching. Means and standard deviations were not reported but the author made the interesting observation that an initial appraisal of the executive's suitability for the coaching process improved outcomes. Wasylyshyn suggested three initial coaching categories: primary, including successful executives and high-potential employees; secondary, including potential derailers and some performance issues; and tertiary, including those already derailed and manifesting serious performance issues. Not surprisingly, the

primary category is anticipated to have the highest likelihood of a successful outcome in coaching but the tertiary categories are often in most need of behavioural change.

Smither, London, Flautt, Vargas, and Kucine (2003) examined whether coaching could improve the effect of 360° feedback in enhancing performance. Of 1202 senior managers who received 360° feedback, 404 self-selected further coaching. Those who participated in coaching were reported to set more specific goals, solicit more ideas and improve more in terms of others' ratings. However, despite some positive changes in goal setting and performance as measured by a repeat 360° feedback process, the results were confounded by the fact that participants self-selected and hence the results may be a reflection of differences between those who chose coaching and those who did not. Thach (2002) also looked at the effects of executive coaching and 360° feedback on leadership effectiveness. Although the data reported on 281 telecom executives were suggestive of improvements in leadership effectiveness, the definitions and measures were not described sufficiently to be definitive about this. Finally Laske (2004) and Wales (2003) also performed uncontrolled studies of executive coaching effectiveness with a particular focus on assessing the effect of coaching on change in adult developmental levels. But both these studies relied on novel self-report questionnaires as outcome criteria, limiting their generalisability and making the objective business impact unassessable.

Review of the evidence: Controlled studies

Hernez-Broome (2004) performed one of the few reported controlled studies of the effectiveness of executive coaching. Of the 43 graduates from the Centre for Creative Leadership's leadership development program who participated in the study, 22 participants had follow-on coaching and were paired with the non-coached individual from the program. Evaluation was by way of interviews and comparison with the control group. The results found that the coached group were more focused on leadership and coaching others and had greater success in attaining their objectives as measured on a self-report Likert scale. However, no raw data were provided in that study, making further analysis of the results problematic.

Evers, Brouwers, and Tomic (2006) used a quasi-experimental design to examine the effectiveness of coaching on 60 managers in the public service. Self-efficacy beliefs and expectancies that related to three domains of functioning (goal setting, acting in a balanced way and mindful working) were measured prior to coaching. These variables were measured again after 4 months. The results of the coaching

group were compared to those of the control group and it was found that the coached group scored significantly higher in the expectation to act in a balanced way and self-efficacy beliefs to set one's own goals. Although this is an interesting outcome, the fact that there are no quantitative data on work performance makes it difficult to suggest that anything other than beliefs have been modified. No behavioural data seem to have been collected and there is no information on either the content or the duration of the coaching. This makes replication and generalisation of that study difficult.

Review of the evidence: Coaching process

Finally Dingman (2004) looked at the impact of the quality of the coaching process on outcomes including job-related attitudes and self-efficacy. This is similar to the work done on the importance of the therapeutic relationship for change in psychotherapy. Executives rated their coaches on interpersonal skills, communication style and instrumental support. The quality of the coaching relationship appeared to affect self-efficacy but not job satisfaction. Unfortunately no other outcome data were reported so the link between a positive process and improved job performance was not tested.

How can the training evaluation literature inform coaching evaluation?

Given the relative poverty of the executive coaching outcome literature described above, the rationale for drawing in convergent evidence from other applied learning and development paradigms seems clear. The fact that there is such a long history of training programs attempting to equip professionals with additional skills and capabilities, suggests it would seem logical to examine how such programs have been assessed over the years. The four-stage Kirkpatrick model of training evaluation is nearly 50 years old and yet approximately 80% of training evaluation still occurs at the first level of client satisfaction (Bramley & Kitson, 1994). Kirkpatrick (1967) recommended that evaluation be performed at four key levels, namely immediate reactions, learning, behaviour, and results. The model has been criticised for being too atheoretical and not psychologically sequential (Kraiger, Ford, & Salas, 1993). Furthermore satisfaction with the training experience is an unreliable predictor of transfer of learning into the workplace and no intervening variables that may help or hinder the transfer of skills and knowledge (e.g., organisational culture) are present in the model.

Despite these difficulties, a training model of evaluation applied to executive coaching offers several possibilities (Figure 3). Evaluation can occur

immediately after the coaching activity, thus measuring primarily satisfaction with the coaching process. Second, the extent to which the content of the coaching has been assimilated can be assessed in terms of the coachee's increased skills, knowledge or self-awareness. Third, specific behavioural changes that are transferred into the workplace as a result of coaching can be evaluated. Finally, changes in individual and organisational performance can be assessed. However, the further you progress from the coaching activity the harder it is to exclusively attribute change to the coaching evaluation. The training model requires a certain clarity on what level the evaluation is performed at: satisfaction after the coaching activity, at the level of knowledge, skills or awareness, at the behavioural change level or organisational performance. Some examples of possible domains that could be assessed in executive coaching under each of the Kirkpatrick four levels together with potential data sources are given in Table 1. Critics of the Kirkpatrick model highlight the "transfer problem", that is, the majority of training fails to impact on behavioural change at

work (Baldwin & Ford, 1988). The transfer issue highlighted the importance of the trainee characteristics, the training design and the work environment. All three of these conditions had to be supportive in order for learning to be generalised and maintained in the work environment. It is of note that no mention is made of the qualities of the trainer, probably because of the dilution of their impact in group interventions. The psychotherapy literature is much more focused on therapist characteristics as a moderating factor in good outcomes given that much therapy is carried out on a one-to-one basis (Roth & Fonagy, 1996).

In conclusion, the training evaluation literature provides some useful lessons for the development of a model for executive coaching evaluation. Unlike psychotherapy, training evaluation has not converged on a single outcome criterion due to the range of activities carried out underneath this banner. However, training has emphasised the crucial issue of level of analysis and where it is reasonable to assess outcome in executive development. The second crucial message is that the vast majority of evaluation

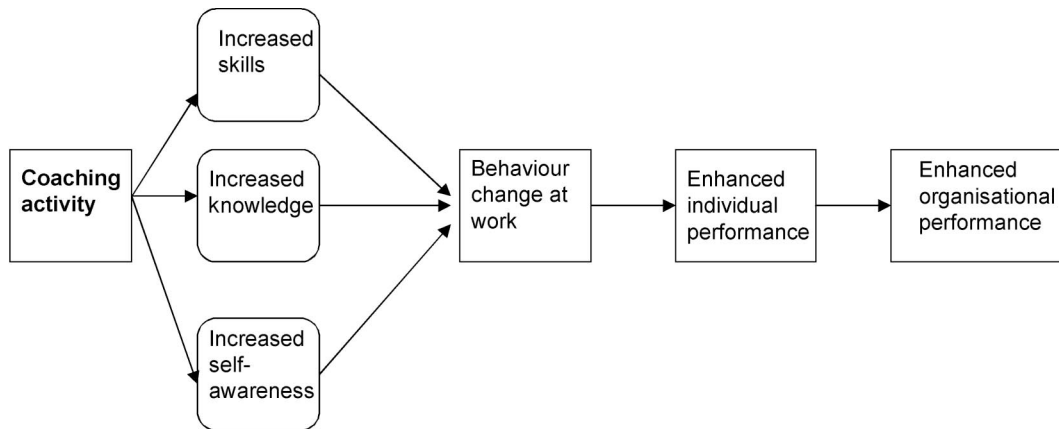


Figure 3. Training approach to coaching evaluation using the Kirkpatrick methodology.

Table 1. Possible domains and data sources for coaching evaluation using Kirkpatrick's four levels

Levels of Evaluation	Domains assessed	Data Sources	Timeframe
Level 1 Coachee's reaction to program	Process variables Satisfaction Readiness to change	Self-report Coach's report	Immediately
Level 2 Level of awareness and skill attainment	Awareness of key theoretical constructs e.g., managing emotions, transformational leadership	Direct observations Ratings by others Formal assessment	During and after coaching
Level 3 Behavioural change and transfer	Demonstration of key leadership and management competencies e.g., inspiring others	Ratings by others Direct observations Team and peer impact	1 – 3 months
Level 4 Organisation/business impact	Sales, retention, satisfaction, promotion	Business and performance data	1 – 2 years

in training occurs at the level of reactions and satisfaction and yet this is not predictive of behavioural and skills transfer. It is crucial for the development of the evidence base that executive coaching extends the level of evaluation beyond the level of satisfaction and towards individual and organisational performance.

How can the psychotherapy literature inform executive coaching evaluation?

It is estimated that there are between 250 and 400 schools of psychotherapy in existence (Bergin & Garfield, 1994), and yet many have never been formally evaluated. For those that have undergone an attempt to evaluate their effectiveness, there has been an increasing consensus emerging on both what to evaluate in psychotherapy and how to match clients, symptoms and therapists in the most advantageous way. Roth et al. (1996) developed an elegant model of how research was linked to outcomes in psychotherapy (Figure 1). Innovative practice was evaluated in an increasingly rigorous manner through a process of case studies and research protocols until a professional consensus emerged. This then informed both the training of therapists and the judgements made under the evidence-based practice approach. Outcomes could then be benchmarked against a reasonable expectation of what the therapy should deliver and ultimately clients would receive a better service as a consequence.

One of the challenges of evaluating different schools has been the common factors debate. Given that many meta-analytic studies comparing different schools of psychotherapy have tended to show similar efficacy across modality, it has been suggested that there are common factors to all psychotherapies that are largely responsible for successful outcomes. Indeed it has been suggested that non-specific factors such as hope, expectancy and a positive therapeutic relationship are two to three times as important as specific techniques in effecting change (Hubble, Duncan, & Miller, 1999). Meta-analytic research has been criticised on a number of grounds, not least of which are the variable inclusion criteria for a study to be admitted and the effect of averaging out symptoms and orientations without including moderating factors such as therapist skill level and treatment conviction, (Matt & Navarro, 1997). However, this issue aside, there is increasing evidence against the assumptions predicating the common factors approach. Oei and Shuttlewood (1997) examined the effects of both specific and non-specific factors in 60 depressed patients given cognitive therapy. Subjects were divided into groups according to their degree of change on a measure of

depressive symptomatology and the results showed that although changes in specific factors (the amount of negative thoughts experienced) did predict changes in depressive symptoms beyond that provided by non-specific factors, the converse was not true. Consequently, the effectiveness of cognitive therapy could not be explained by non-specific factors in that study. That study challenged the assumptions of the common factors approach and suggested that non-specific factors alone were unlikely to be sufficient causes of change in specific types of psychotherapy such as cognitive behaviour therapy.

In addition to the growing evidence against the idea that all therapies are of equivalent effectiveness, there is now evidence that individuals can even be harmed by the inappropriate application of psychological treatment (Lilienfeld, 2007). This makes the rationale for evaluating outcomes in the coaching population all the more compelling to ensure that psychological harm is not inadvertently delivered by incompetent and unregulated coaches (Berglas, 2002).

The second trend in psychotherapy research that may have implications for coaching evaluation is that researchers have begun to converge on a single outcome questionnaire independent of theoretical orientation and therapy school allegiance. The core outcome questionnaire measures wellbeing, risk, symptoms and functioning and reflects a trend away from categorical models of classification such as depressive disorder and towards the identification of trans-diagnostic psychological processes that exist across all disorders including reasoning and memory (Botella, 2006). Importantly the outcome questionnaire has moved away from only reporting a decline in reported symptoms and towards a more holistic approach that includes measuring enhanced wellbeing and improved functioning.

Kilburg (2000) examined negative outcomes in coaching with a view to distilling the critical inclusion criteria for a successful coaching intervention. Taking an overtly clinical model to evaluation, Kilburg identified key factors in clients that mitigated against a successful outcome. These included serious psychological problems, lack of motivation, unrealistic expectations and lack of follow-up. Equally Kilburg identified some core issues with the coach that led to poor outcomes. These included insufficient empathy, lack of expertise in the area of concern, and poor technique. The Kilburg study highlights the importance of the initial coaching assessment both as a process to identify the key issues but also as a screening methodology to identify significant levels of psychopathology. This is a good example of how clinical models of client characteristics can act as useful heuristics for the coaching industry.

What are the general implications of key findings in psychotherapy research for the evaluation of executive coaching? First, the common factors are unlikely to be as important as they are suggested to be in psychotherapy. While an empathic, positive and challenging relationship with a coach is likely to be essential for a good outcome, this is more likely to be a necessary but not sufficient cause for executive development. This is partly a function of the assumption of healthy normality within coachees and partly a recognition of the specific requirements of executive coaching. The common factors approach by necessity reduces the emphasis on training, specific techniques and content expertise. However, coaches who are not fully aware of developments in contemporary leadership theory for example are unlikely to be fully effective with the executive population (Elliott, 2005). Second, it is unlikely that research on outcomes in executive coaching will ever follow psychotherapy research down the path of the RCT. The business imperative of executive coaching mitigates against people accepting a random allocation into different coaching options, especially when there is a general, if unsubstantiated, consensus that coaching is an effective and worthwhile endeavour. In addition there is some suggestion that RCTs in psychotherapy set unrealistic expectations for treatments due to the stringent inclusion criteria for controlled trials that removed all the complex, chronic and comorbid conditions that are the everyday reality of the practising clinician (Westen, Novotny, & Thompson-Brenner, 2004), leaving the researcher with a diminished pool of unrepresentative clients from whom general conclusions about treatment efficacy are difficult to draw. It may be more realistic for coaching to consider both pragmatic trials that assess return on investment, and explanatory trials that attempt to identify the active components of the coaching process (Parry, 2000). Finally psychotherapy's convergence on a single outcome measure that transcended diagnostic categories gives coaching outcome research the prospect that common processes in coaching such as building leadership capability, could be a useful approach in rationalising the evaluation process (Harvey, Watkins, Mansell, & Shafran, 2004).

Evaluating outcomes in executive coaching:

The way forward

Coaching psychology can incorporate a lot of the key learnings from the last 20 years of research into training and psychotherapy effectiveness and thereby accelerate the process of building the evidence base and defining pragmatic and accessible outcome criteria. Some inclusion criteria need to be estab-

lished if only to guide purchasers and providers as to when and for whom coaching is likely to be effective and financially viable. Some of the moderating and mediating variables such as motivation, the coaching relationship, psychological mindedness and the business culture need to be considered when evaluating effectiveness. Process variables such as alliance, rapport and trust can be routinely collected to test the hypothesis about the role of non-specific factors in coaching. Finally domains of evaluations need to be a mixture of specific skills and competencies and more general indices of performance and wellbeing. Figure 4 illustrates some of these issues.

Without proper consideration of the coach, coachee and organisational characteristics it will be impossible to make meaningful comparisons of outcomes in executive coaching across different coaches and organisations. Equally, the precise constituents of the coaching activity need to be specified in order that the effective components on the coaching process can be identified. Finally a professional consensus on appropriate outcome domains needs to emerge in order that valid comparisons can be made across interventions. In considering the psychometric properties of the ideal coaching evaluation tool it is worth considering what existing instruments may be adapted for the purpose. Positive psychology is a natural ally to coaching and the Values In Action scale (Peterson & Seligman, 2004) with its identification of 24 positive traits under six broad virtues, is an example of a reliable and valid tool that, with minimal adaptation for organisational use, could be a broad and relevant indicator of increased awareness of capability. Early indications suggest that strengths-based interventions are finding significant effects using increased positive affect as an outcome measure (Seligman, Steen, Park, & Peterson, 2005). In addition, measures of subjective and psychological wellbeing may provide more sensitive state-like measures of change that complement some of the more performance-focused outcome measures in coaching (Grant, 2003).

A good coaching outcome questionnaire ideally needs to provide both high face validity and low client demand. It should cover both process and outcome variables and be sensitive to change. Crucially it needs to be grounded in key managerial and leadership competencies so that both coach and coachee can benchmark outcomes against a professional consensus of what excellence looks like in specific occupational domains. There is converging evidence that high-performance employees and good coaching outcomes may share much in common. Leedham (2005) suggested a stage model of coaching effectiveness that requires four foundation factors (good process, coach attributes, coach skills, and

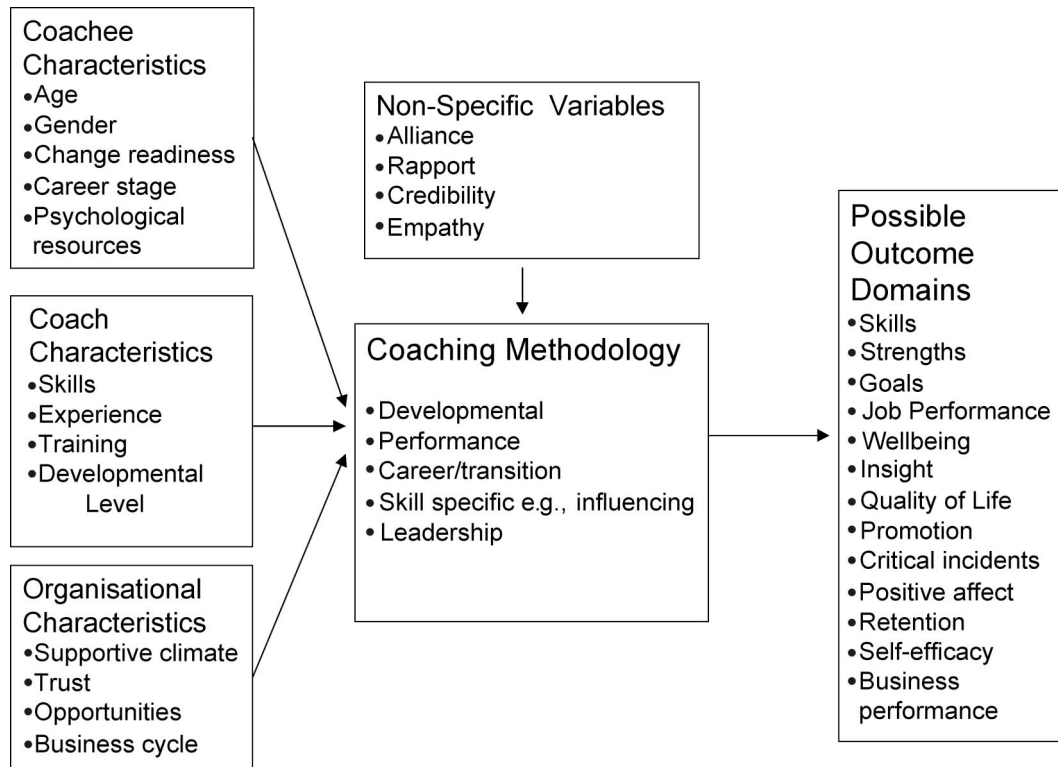


Figure 4. Comprehensive approach to evaluating the executive coaching process.

supportive environment) to be in place before confidence and motivation are increased. This in turn enhances skills acquisition and behavioural change that in turn leads to business benefits. Hogan (2006) has suggested a similar developmental model of high potential that begins with fundamental dispositions such as drive and integrity that are difficult to change and progresses through interpersonal skills such as influencing, leadership skills, and ends with business-specific capabilities. This begs the question as to whether good coaching is merely accelerating people through a stage model of adult development (Laske, 2005).

Executive coaching needs to begin to develop a professional consensus around what is a good outcome in the coaching context. Guidelines need to be developed around who is asked about outcome, when they are asked and what they are asked about. The research base needs to be advanced through the use of single-case designs and controlled studies, and the domains to assess in outcomes need to be agreed upon. This may seem a daunting task for such an embryonic profession but to ignore the issue is to not only do our clients a great disservice but to also leave the coaching industry in the hands of those who have most to benefit by remaining unevaluated. The coaching industry needs to converge on some specific recommendations for outcome evaluation that focus

on defining the active components of the coaching process, differentiating the different types of executive coaching on offer and identifying the individual and organisational outcome measures that flow from these interventions (Peterson & Kraiger, 2004). Both psychotherapy and training have to a significant degree confronted the outcome issue and coaching has much to learn from their years of innovative and sophisticated analysis of the constituents of a good outcome in two very different domains of adult learning and development.

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