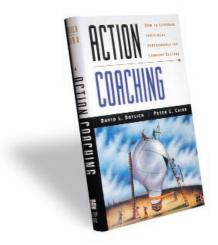
SOUNDVIEW Executive Book Summaries®



By David L. Dotlich and Peter C. Cairo

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ACTION COACHING

THE SUMMARY IN BRIEF

Today's changing business environment has left a void in many organizations between the needs and goals of a company's greatest asset — its people — and those of the organization itself. Changes of leadership and vision, corporate mergers and acquisitions and constant upgrades in the role of technology all contribute to an incongruity or gap between a company and its people that can wear the company down at its very core if nothing or no one intervenes.

Consultants David L. Dotlich and Peter C. Cairo have created the perfect intervention program in Action Coaching. This method provides organizations and their coaching-minded leaders with the knowledge and tools required to evaluate problem situations, mediate effective solutions and align the needs and behaviors of employees to the organizational imperatives of their companies.

Their plan includes a number of powerful and consciousness raising tools to employ in your company's next coaching effort. Among them:

- ✓ A clear definition of Action Coaching, and a host of reasons for its effectiveness.
- ✓ An eight-step Action Coaching plan from determining what needs to happen and establishing mutual expectations to evaluating the progress of both individuals and organizations after the initiative.
- ✓ A detailed discussion of motivation, including the identification of motivational patterns in employees and common motivation-related pitfalls you should avoid in coaching.
- ✓ A discussion on conflict, and how it can actually help individuals and organizations meet their goals and needs.
- ✓ A list of barriers to personalizing leadership, and how to overcome them.

Does your company have difficulty moving its employees through organizational or market-mandated changes, or aligning individual performance for company success? Turn the page and learn how to bridge the gap.

ACTION COACHING

by David L. Dotlich and Peter C. Cairo

—THE COMPLETE SUMMARY

What is Action Coaching?

Action Coaching is the process that fosters self-awareness and that results in the motivation to change, as well as the guidance needed if change is to take place in ways that meet organizational needs. It's a synergistic concept — to develop change in an individual in such a way that your company's business goals are positively impacted in conjunction with the individual's personal development. There are four essential elements of Action Coaching that help you foster personal development to the benefit of your organization:

- 1. Self-awareness is linked with business results. The individual's need to change is reconciled with the organization's perception of the need to change very early in the process usually during the first or second meeting.
- **2. An action plan is put in place.** Action Coaching plans set both a list of specific work-related tasks and milestones that track development. The client then documents progress in each matter, along with the coach's recommendations on that progress.
- 3. Level of achievement is set based on organizational need. The coach sets one of four goals for the client self-awareness, performance improvement, performance breakthrough, or transformation to match the need of the organization.
- **4.** The process is structured and provides proven tools. Action Coaching combines a formal strategy, tactics and explicit goals to facilitate a logical, orderly coaching process for the benefit of clients and their people.

Differentiation

Action Coaching differs from traditional coaching in several key areas:

- **Relationship.** Traditional methods of coaching follow a therapist-patient relationship, whereas Action Coaching relationships are firm business relationships.
- Approach. Action Coaches follow specific strategies and action plans tailored to specific individual needs and geared toward performance breakthroughs. Traditional methods tend to be unfocused in both approach and interaction, using one-size-fits-all methods rather than individualized processes.
- Focus. Traditional coaching focuses on personal insights rather than actions; individuals rather than the

greater whole. Action Coaching translates insights into actions with organizational results, coaching in the context of environmental goals and obstacles to change.

Why is Action Coaching Effective?

While Action Coaching's linkage of individual and organizational concerns and its differentiation from traditional coaching sound good in theory, its true effectiveness can only be fully surmised when the process is put into practice. There are four crucial elements in the process:

Eye-opening perception. People tend to believe something is true about themselves or their workplaces, then selectively find examples of their beliefs to use as evidence to support their viewpoints. Action Coaching uses a variety of techniques to jar people out of this self-fulfilling behavior, open their eyes to the reality of their situations and push them toward change and growth.

Emphasis on doing. Although there is much to be learned from seeing things differently, people need also to act on their changed perceptions. Action Coaching relationships involve a contract between the coach and the person being coached to take solid, well-planned actions and ensure accountability, even after the coaching program is completed.

Recognition of complexity in the business world. Action Coaching functions as a form of support when individuals struggle with such business issues as redefining the customer service chain, changing a company's

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The authors: David L. Dotlich and Peter C. Cairo are founding partners of CDR International, a worldwide consulting firm that specializes in executive coaching. The authors' clients including AT&T, BellSouth, Johnson & Johnson, Merck and Bank of America. Dotlich also teaches in executive education programs at the University of Michigan and the University of Minnesota. Cairo is former co-chair of Columbia University's Department of Organizational and Counseling Psychology.

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Why is Action Coaching Effective?

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culture, and interacting with others in the decision-making process. These "adaptive" issues require people to become more comfortable with new ways of leading and working. Action Coaching provides the feedback, information and reflection required to let people lead in new environments.

Tailor-made for transitions. Action Coaching gives people the forum to express concerns over transitions, allowing them to also receive feedback on their transitional progress and advice to navigate around roadblocks that hamper their ability to change effectively.

Are You an Advocate?

Ten years ago, Honeywell, Inc., set up an award program for employees who were superior developers of people, in order to encourage executive development at the managerial level. Because the company recognized that development occurred through relationships between employees and managers, it requested nominations for the awards. What it discovered was that everyone knew who was the best at developing their staff — that Mary in finance was a brilliant trainer, Don in marketing was a terrific coach, etc.

These "developers" were quiet advocates of coaching within their organization; they led by example, regardless of Honeywell's coaching or training policies. Likewise, you, as an insider in your organization, can fill roles that coaching consultants cannot. Your example, combined with expertise from outside the company, can put Action Coaching into practice, to meet organizational and individual objectives and develop a culture of constant improvement.

Eight Steps of Action Coaching

The Action Coaching process consists of eight steps:

Determine what needs to happen and in what context. It is important to determine both desired behaviors and the larger context in which those behaviors will need to happen. This may require initially focusing beyond a problem or developmental need, in order to understand why the problem or need is of concern to the team or the company. Context can also be shaped by organizational issues, such as succession planning, transition or an organizational skill deficiency. These issues must be recognized as ones that can drive a coaching effort, and must be addressed in advance of their occurrence, whenever possible.

Action Coaching through Transition

The new president of Levi-Strauss needed coaching assistance to help shape an agenda, a vision and the team he inherited, and to help him receive feedback. Action Coaching supported his efforts in all of these topics and helped facilitate the transition into his new position.

2 Establish trust and mutual expectations. You must clarify the purpose of your coaching effort, as well as what your client hopes to receive as a result. Be sure the individual you are coaching understands the purpose of the effort, as well as the steps in the process.

Although there are many methods you can use to implement this step, one particularly effective one is a process called "deep listening," which consists of five key components:

- Open-minded hearing. Do not talk when the client talks, either out loud or to yourself (turn off your "internal monologue").
- Appreciative inquiry. Reflect on the other person's tone, feeling and mood by restating his or her essential message and pressing gently for further clarification ("You must have been frustrated at that point." "That must have been difficult for you.").
- Paraphrasing. Restate the point to move the discussion forward and to give the speaker the chance to improve, correct or add to his or her statement.
- Confirmation of reality. Demonstrate that the person's logic is understandable and grounded in experience, and that you empathize with him or her.
- Self-disclosure. Open up to the person, sharing relevant experiences you have had, or that someone else has had. As much as possible, discuss how you or someone else made the same types of changes the client is contemplating.
- Contract with the client for results. In order for Action Coaching to be most effective and efficient, a formal written and oral understanding must be reached between the coach and the client. Both must be held accountable for achieving specific, measurable goals, taking into consideration organizational needs, as well as any personal issues that may affect the ultimate outcome of the process.

You may have to confront or challenge your client to make a meaningful commitment. Here are some techniques you can use to get a solid pledge from the client:

• Concretize reality. Provide concrete evidence (usually feedback) that proves the problem is real or that the organization is definitely moving in the direc-

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Eight Steps Of Action Coaching

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tion you're discussing.

- Transfer ownership. When clients blame "the system," challenge their excuses and help them take ownership of their role, then find options to explore improvement.
- Stop the action. When the client exhibits the problem behavior with you, stop the interaction immediately and discuss what's happening.
- Call to action. Stop all discussions and rationalizations and ask the client, "What are you going to do about it?" This will move the conversation from awareness to action.

Collect and communicate feedback. Your effectiveness as a coach depends largely on your ability to gather and share feedback; this feedback moves coaching from a passive to an active experience and motivates people to take action. You must assess how the client affects those around him or her, via various methods of collecting data (interviews, surveys, etc.) and communicate that back to him or her. Keep in mind a general rule of thumb: The more complex and ambitious the goal level, the more feedback that is required. Consider also that feedback does not simply consist of relaying that which you have heard or collected; you also must help the client digest and deal with perceptions that might be surprising, even shocking.

5 Translate talk into action. You and your client must then determine a course of action based on the collected feedback. Your action plan should consist of the following:

- Review and reset goals when needed, making sure your goal level is connected to the business results the organization wants to achieve.
- Explore different action paths to meet those goals, identifying specific tasks to perform and obstacles to avoid.
- Identify the required resources.
- Set a deadline for achieving your goals.
- Discuss the organizational impact these goals will have on the client's business.

Support big steps. To change long-held attitudes and behaviors, managers need different types of support. You may be required to monitor meetings, be a sounding board for ideas, conduct advisory sessions or bring in other resources to help in the coaching effort. Your support as a coach can mean the difference between achieving an increment of awareness and making a performance breakthrough.

Role-playing

Role-playing can be very effective in supporting the actions your client must take; it gives the client the opportunity to test the waters and see how a new behavior or method works. Some role-playing methods you may want to consider are the following:

- **Role reversal.** You play the client, acting out his/her behavior or mindset, and let him/her see the situation from a different perspective.
- Worst-case scenarios. Construct a situation in which your client's worst fears are enacted.
 Rehearsing disasters and extreme situations takes some of the fear out of taking a certain action.
- Videotape. Record your client in action and play it back to him/her at a later time. Stop the tape at key points and ask probing questions that elicit thoughtful responses: "What was going through your mind then?" "What were you trying to accomplish?"

7 Foster reflection about actions. Encourage your clients to stand back and look at their situation from many different perspectives — those of their customers, peers, direct reports and bosses. Ask probing questions to foster that reflection, whether in a general forum or a series of specific situations.

Experiment with several techniques to spur reflection in your clients, including the following:

- The values check. Encourage the client to think about what's really important and meaningful in work and life in an effort to determine and discuss what the client values most.
- The obstacles review. Focus on what stands between the person and his or her goals to increase motivation.
- The Vietnam model. General Gordon Sullivan once recalled how commanders in the Vietnam war learned to ask three key questions in the heat of battle to allay their anxiety and decide upon a course of action: What is happening? What is not happening? What can I do to influence the action? Reflecting on these three points will keep clients from being frozen with anxiety or indecision.
- The journal. Suggest that clients keep a journal that details their reactions, feelings and ideas.
 Provide feedback on their journal entries or determine whether the things expressed in those entries result in concrete actions.
- **Evaluate individual and organizational progress.** At the conclusion of the process, assess the person's

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Eight Steps Of Action Coaching

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performance level using both "hard" measures (revenue numbers, customer feedback, productivity increases) and "soft" ones (change of environment, satisfaction levels, perceptions, etc.). This assessment should provide both a snapshot of the new, improved employee and an impetus for continued improvement.

Coaching for Individual and Company Performance

As an Action Coach, you must constantly appraise the behaviors of your clients, as well as the business requirements affected by those behaviors. You must be able to first identify the client's behavior, then determine the impact that behavior has on others, and assess the behavior's link to an organizational or business requirement.

This requires coaches to think and assess on two distinct, yet connected, levels: the personality level and the organizational level.

The Personality Level

At the personality level, you must analyze the behavior of the client, and determine whether it is a productive or unproductive one. Some common unproductive personality types include:

- The Egotist. While every leader requires a healthy ego, Egotists take the measure to an extreme selfcentered and self-aggrandizing, they overvalue their capabilities and have trouble accepting other people's points of view. To coach an Egotist, determine the reason for the Egotist's behavior: perhaps an organizational change has occurred, or maybe he or she is simply overcompensating for a lack of self-esteem.
- The Cynic. Cynics tend to micromanage projects, discourage learning and development, and have a problem trusting others. To coach a Cynic, you'll need to differentiate between healthy skepticism and demoralizing cynicism, and determine the impact such behavior is having on the business goals of the client's organization. Cynicism can also be a marker for frustrated idealism—another path for you to explore as a coach.
- The Worrier. Worriers doubt their own abilities, have a deep-seeded fear of criticism and making mistakes, and often resist change in any form a serious threat to many organizations. Begin your coaching of the Worrier by finding out just what your client is afraid of. Talking about and dealing with that fear through action can provide you with the basis for a serious improvement.

The Organizational Level

At the organizational level, you must take a look at

the business requirements set forth by your client's organization and determine the level of coaching required to best meet the challenges those requirements present. Some common business requirements that can require coaching include:

Reconciling paradoxical situations and issues.

Unproductive behaviors often stem from the common yet maddening paradoxes at the heart of many organizations — the incongruity of meeting short- and long-term goals; the push for delivering results while maintaining values; the contradictions involved in developing your own resources versus outsourcing them. Coaches must have a handle on the frustration and dysfunction inherent to such an operational circumstance, and be able to address unproductive behaviors accordingly.

- Making innovation and creativity happen. In a knowledge-based world, management must find new ways of bringing out their people's best, most creative ideas, while at the same time balancing organizational needs for order and control. Coaches must address an atmosphere that includes fear of innovation as well as an embrace of the risks that innovation fosters.
- ◆ Adapting to new roles or levels. People often have difficulty adjusting to new positions. CEOs and other top executives frequently complain about resistance or inflexibility in their managers, some of whom have moved into management from more functional positions. Add to that general stubbornness the extremely fast-paced changes imposed upon companies by the Internet and other technologies, and you have an equation for organizational disaster. Coaches must be aware of the challenges transitions bring about in organizations, and the alienation and distrust many people feel when adapting to new roles, positions or cultures. The gap between the organization's expectations and the individual's behaviors must be closed; it is your job as coach to move the employee toward a desired action and possibly toward transformation. ■

Providing Motivation for Change

In a perfect world, people would automatically stop exhibiting and practicing unproductive behaviors and respond to organizational needs and imperatives. They would foster creativity because the organization would offer them some incentive to do so, and everyone would be more self-aware and change oriented.

But people are more complicated than that; they require motivation to change. Thus, coaches must figure out what motivates individuals and appeal to those aspects when attempting to link behavior to motivational goals. Organizations sometimes ignore the issue of

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Providing Motivation for Change

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motivation altogether in an effort to get their people up to speed, a circumstance that makes coaching those people an even greater challenge.

For example, a number of years ago, the CEO of Honeywell mandated that his top executives — who, like the CEO, were experienced engineers — learn about the science of human behavior in an attempt to make them more effective at their jobs by establishing better relationships with people. The executives were suspicious of the motives of the CEO and, while they followed their leader's directive, they did not or could not take the lessons learned to heart or use them in developing better relationships in the workplace.

What the CEO lacked in his directive was motivation. Taking the command-and-control method of issuing an order and expecting results did nothing to motivate his executives out of their long-held stance toward behavioral science, and into a new, more understanding frame of reference. He paid no attention to the executives' individual needs and motivations and, thus, was unable to effectively change their behavior.

Three Patterns of Motivation

Professor David McClelland of Harvard University identified three patterns of motivation in his ground-breaking research on the topic:

- Achievement. Achievement-motivated individuals want to be recognized for a job well done, and are driven by the desire to excel in their careers. They are motivated by challenge and are not moved by empty praise or undeserved promotions.
- Power-Control. Individuals motivated by power or control have a desire to shape others and have an impact on other people and the environment. They tend to build bases of influence within the organization, but also create distrust and envy among those not in that influential base, including those who work for them. They also are likely to be uncomfortable or even obstructive in team situations.
- Affiliation. People who exhibit this pattern are motivated by a need to be liked, achieving satisfaction in their relationships with others. They are typically well liked in the workplace, but not respected (or, consequently, feared).

Understanding each pattern's traits and manifestations will help you identify them as a coach, and can lend weight to efforts to foster a greater motivational climate with your client.

Common Motivational Mistakes

Be careful that your coaching effort addresses the correct motivational issues at your client's organization. Sometimes, the motivational "gap" you recognize between a client's behavior and organizational needs is not the gap that requires closure. Some common mistakes in this area are as follows:

- The career gap. In this instance, you attempt to close the gap between who someone is and where he or she wants to be in his or her career. Ignoring organizational requirements, you help the client develop marketable skill sets rather than ones that allow him or her to lead more effectively. To avoid this mistake, you must balance the needs of the organization with those of the individual, distinguishing the skills the client wants to develop from those that the company needs him to develop.
- The bias gap. In this instance, you attempt to close the gap between who someone is and who your personal bias dictates a client should become. Both you and the client misperceive what will truly contribute to the client's value to his team or department, thanks in part to some observation or misbegotten analysis you have performed. To avoid this mistake, talk to others about how your own attitudes and needs may be affecting the goals you set for the client.
- The organizational trend gap. In this instance, you attempt to close the gap between who someone is and an illusory business requirement, mistaking a trendy trait or ideal for an actual organizational need, and leading the client down an erroneous corrective path. To avoid this mistake, get plenty of feedback and direction from management in order to avoid making incorrect assumptions about needed traits or qualities.
- The peer pressure gap. In this instance, you attempt to close the gap between who someone is and the new behavior everyone wishes he or she would develop. Sometimes, people exhibit behaviors that others consider irritating or obnoxious, although those behaviors have no real impact on business results. As a coach, you must learn to focus past those inappropriate or unpopular behaviors, unless they do have an impact on a team or business. Project how the person might better meet a business requirement by changing a behavior, and how that change might help the person better fulfill his or her role in the organization.

Coaching One-to-One

Coaching can be messy, particularly early in the coaching effort, when issues are not always clear, goals seem contradictory, and the manner in which to begin the effort is not readily apparent.

In order to better understand the client's situation and help you proceed toward a useful solution, consider the following questions up front:

- 1. Where did the assessment of the person originate? His boss? The individual himself? Other sources? What behaviors led to these perceptions? What is the intention behind the person's behaviors?
- 2. What are the effects of the person's behavior? Are there negative repercussions for the person and others?
- 3. What are the reasons for the person's behavior?
- 4. Is the person aware of the behavior?
- 5. Is the behavior intentional?
- 6. Is it a "why" issue a matter of principle?
- 7. Is it a "what" issue a habit or workstyle preference?
- 8. What is the organization's objective in helping the person change?

Range of Reactions to Coaching

Enthusiastic people are, of course, easier to coach than those who react negatively to the prospect of receiving coaching. In fact, there is a whole range of reactions to coaching; different people receive instruction and assistance in a different way. Your approach is thus affected by that reaction and the initial relationship that results from it. You can usually gauge your client's reaction as one of the following:

- Enthusiasm. The client understands the need to adapt to a changing workplace environment; he or she may, however, have overly ambitious (sometimes-unrealistic) expectations for the results of your coaching effort.
- Curiosity. The client asks a lot of questions, but needs more information before forming a firm positive or negative impression of coaching.
- **Skepticism.** The client requires convincing before he or she buys into the coaching process.
- **Denial.** The client denies anything is wrong; to this end, he or she may blame others or the organization, may get defensive, and may be offended that the organization thinks he or she needs help.
- Concern or Fear. The client sees coaching as some sort of black mark or punishment. He or she is afraid of what it means and immediately distrusts the coach and the process.

Overcoming Fear of Coaching

Many current AT&T employees joined the company years ago, searching for the safety and security of working for a large organization. These days, however, the company needs its people to try new things and take significant risks — such as Action Coaching — and many veterans are simply not up to it.

To get these people past their fears to become more coachable, they must transform their negative energies — fear, anxiety, and doubt — into positive energies — enthusiasm, excitement and commitment. They must be encouraged to articulate their worst fears. This helps them recognize and address these fears, breaking the spell of anxiety and opening them up to new possibilities.

Combating Resistance

The speed of the coaching process slows in direct correlation with the level of resistance from the client. If the client is receptive to learning, the process can be carried through to a positive conclusion in relatively short order. If the client is resistant to coaching, it is nearly impossible to move forward with either speed or ease.

To fight off resistance to coaching, follow a few simple rules to set the client at greater ease:

- 1. Create a supportive environment. Don't rush to judgment based solely on the data you have accumulated before you know what the issues are. Establish an open communication with the person, providing feedback that indicates you understand what the client is saying.
- **2. Establish a neutral tone.** Do not act like a boss or manager when dealing with people, even if they are your direct reports. Try to foster a warm, caring interaction, in which you demonstrate that you have their best interests at heart.
- **3.** Adapt to the person's needs. Do not impose behaviors and goals on your clients. Instead, adapt the coaching process to the client's agenda and connect it to the organizational agenda for that client. Solicit feedback to determine whether the client feels you are trying to force something on him or her; if this is the case, isolate the issue and discuss it. The trick is to alleviate resistance while still moving clients forward, in the direction that will benefit both them and the business.
- **4. Favor practice over theory**. While theory has its place in the way we approach coaching, having an overreliance on theory can alienate your client conversations about conceptual frameworks will only help your client so much. Be pragmatic, concrete, and realistic about what is possible.
- **5. Establish clear boundaries.** Discuss ground rules from the very beginning of your coaching effort, to allay any fears the client may have about self-disclosure or privacy concerns. Avoid questions about confidential matters when at all possible.

Coaching Conflict Management

The corporate push toward team building instills in many companies a sense of collaboration, yet few seem to recognize the positive aspects of conflict. In fact, conflict is essential for productive collaborations and only becomes a problem when it is spun into personal vindictiveness or hostility. Its enigmatic nature makes conflict difficult to define, but from the coaching perspective, three components emerge:

Perceived incompatibility. Individuals feel their goals, rewards or values are incompatible with someone else's. Coaching can help test this perception and suggest new ways of viewing conflict so that goals aren't incompatible.

Emotion. Emotion makes conflict difficult to manage. Managers often feel that they cannot "constructively" handle conflict with employees, because they are so

concerned about what others will do or say in the grip of their emotions. Coaching sessions give people the opportunity to vent those emotions in a safe venue, giving them greater opportunity to

"Conflict is essential for productive collaborations."

analyze their conflicts effectively.

The win-lose situation. Some people attempt to defeat others in a conflicting situation, rather than arrive at a solution that benefits both parties. Coaching gives them opportunities to find "win-win" options, to view the conflict from the "adversary's" perspective.

Dealing With Conflict

Conflict issues can be devil coaches; you must help your clients learn to handle all types of people in a wide variety of situations in which conflict is an issue. The following techniques may help you deal with tricky conflict issues:

- Get to the source of the problem. Encourage clients who can't handle conflict to dig deeper, to discover and address the core issues of their problem (fear of confrontation, incompatibility with group dynamics, etc.).
- Convince people of what's at stake. Illustrate how conflict avoidance negatively affects work performance when they realize how it prevents them from achieving their best, they are usually motivated to resolve the situation.
- Encourage them to take the other person's point of view. Coaches can help clients take a step back and find empathy for the other person's issues to get down to the reasons why their "opponents" are acting or reacting in the manner they are.
- Find out whether they're listening to each other.

People tend to tune one another out, in an effort to win an argument. Coaches must facilitate dialogue to help their clients actually listen to the other side. What is the other person really angry about? Is either party really hearing and understanding what the other side is saying?

Bring others into the process, when necessary.
 Bringing an eyewitness into a conflict often helps calm things down. The new person offers a fresh perspective and can clear up misinterpretations faster and more credibly than the involved combatants.

Personalizing Leadership

Leadership can be coached, but it cannot be taught as a skill set or behavioral group. Effective coaching personalizes leadership, matching an individual's leadership beliefs and behaviors to the way in which an organization wants him or her to lead.

Self-awareness is key in personalizing leadership. When people are out of touch with their own feelings, values, needs and weaknesses, they sometimes "act out" those issues in the workplace, in ways that alienate, disappoint or anger others. Self-awareness, combined with an ability to read the organizational environment, implement a strategy and sell a vision of the future make leaders who and what they are; failure to address these points often requires third-party coaching to wade through and correct them. Some ways in which these issues are manifest include:

- The leader isn't perceived as authentic. In trying to fulfill a leadership role, some people feel they need to embody particular traits that are not true to their own personalities. Their employees pick up on that, and view them as phonies. Coaches must identify the behaviors that seem false and help clients understand why they act in an unauthentic manner.
- The leader isn't perceived as empathetic. Leaders sometimes have difficulty connecting with or understanding their people. Coaches must first get those leaders in touch with who they are, then get them in touch with who their people are.
- The leader is thrust into a role for which he is unprepared. What helps people excel functionally as workers does not always translate into leadership qualities. For example, the best sales reps do not always make the best sales managers there are different skill sets needed for each, although when most organizations look to fill managerial slots, the first place they look is the rep pool. Coaching helps these people transition into new roles by helping them figure out how to use their beliefs and abilities to be the best leaders they