RADAR

Research Archive and Digital Asset Repository

WWW.BROOKES.AC.UK/GO/RADAR

How can coaching improve the effectiveness of Performance Management Conversations?

Michele Elizabeth Louise Towell

A thesis submitted in partial fulfilment of the requirements of Oxford Brookes University for the award of Doctor of Coaching and Mentoring

Submitted October 2012

Acknowledgements

Table of Contents

List of Figures

List of Tables

List of Appendices

List of Key terms and abbreviations

ACAS	Advisory, Conciliation and Arbitration Service
CIPD	Chartered Institute of Personnel and Development
EAP	Employee Assistance Programme
HR	Human Resource Department
HRM	Human Resource Management
Ind.	Individual employee
Mgr	Manager
SHRM	Strategic Human Resource Management
TU	Trade Union Representative

Abstract

The purpose of this study was to establish how the use of coaching by managers within appraisal conversations could enhance performance at work. The motivation for the study was directed at improving performance related conversations between managers and employees. These conversations may be formal appraisals, or interim reviews. From a literature perspective, there is a high volume of empirical and practitioner literature in the area of performance management, including appraisals. However, there is a lack of empirical and practitioner material covering performance management when integrated with the manager as coach concept and when this concept is treated as an individual theme. Therefore, the evaluation of the performance management and manager as coach literature provided confirmation of the potential for this study. In addition, where empirical work is available, there is a tendency for this to have an employer focus, using the perceptions of managers and HR professionals. In this study, contributions were gathered from the employee as well as those of the manager and the HR professional.

The research strategy adopted a grounded theory approach with research participants from both the private and public sector. Data collection comprised four stages, synonymous with grounded theory, and included semi-structured interviews and questionnaires. Data analysis, using constant comparison, enabled the development of further data collection and analysis through an additional questionnaire that was completed by participating managers. This enabled the collection of rich data demonstrating the value of the manager as coach concept within an appraisal conversation.

The findings reveal appraisal conversations can deliver a more meaningful and value adding result for all stakeholders. Conceptually, the research delivers a theoretical model of the manager as coach concept within an appraisal conversation. The model identifies, the manager as coach, as a key enabler of individual performance improvement, which is also sustainable over the longer term. The model also illustrates a range of cultural factors that either enable or restrain the manager as coach concept in the appraisal context. Furthermore, the research establishes a range of benefits that enable the delivery of a quality conversation.

Chapter 1:   Introduction

Coaching in appraisal conversations and improvements in performance at work

This research investigates the potential role of coaching when conducting appraisal conversations. Its purpose is to establish whether it is possible, through a coaching approach, for employees to feel more highly valued because they experience an improved appraisal conversation. In addition, it may also show how improvements to overall outcomes, from such conversations are possible for the employee, the manager and ultimately the organisation. This research concerns the personal and felt experience of the employee and the manager during conversations that relate to the employee's performance.

Significant volumes of anecdotal and empirical evidence suggest there is room for improvement when managers conduct these conversations. The focus is, therefore, on the conversation aspects of the process rather than the procedural system or paperwork, which surrounds it. Indeed I would argue that the 'paperwork', on screen or otherwise, can be the detractor in terms of the quality of the conversation. Anecdotally, my experience as a management trainer suggests this is the case, and indicates managers frequently focus on the paperwork's requirements resulting in compliance with the system, resulting in outcomes that may not reflect reality and employees who are potentially de-motivated and disengaged. From an empirical perspective McAfee and Champagne (1993) Gioia and Longenecker (1994) Redman, Snape and McElwee 1993, Rees and Porter (2003), Aguinis (2011) identify some of the problems associated with appraisals including its perceived bureaucracy. They highlight; the focus on form filling, the challenges of providing constructive criticism, managers concerns and their dislike of evaluating performance and the potential for confrontation. These issues suggest a different approach is required as appraising employees' performance is recognised as an essential managerial activity Rees and Porter (2007), Purcell, Kinnie, Hutchinson, Rayton and Swart, (2003).

Within this study and elsewhere performance appraisal is considered part of the performance management process. Aguinis (2011) provides a definition of performance management and performance appraisal arguing that a formal appraisal is only carried out once a year whereas performance management is an ongoing activity. He also emphasizes 'performance appraisal is not performance management', whereas I would suggest it should be. Within this study and in accordance with many current organisational practices performance appraisal is also seen as an ongoing and continuous activity with regular or interim performance reviews accepted as part of the total system (CIPD Performance Management surveys, 2005).

The argument for using coaching within performance appraisals rests on the skills and approach used by coaches and indeed managers in other contexts, to facilitate individuals to improved levels of performance. As shown in the following two definitions of coaching, it has the potential to improve appraisal conversations. Coaching is considered potentially beneficial in appraisal conversations as it is believed to 'evoke excellence in others' (Flaherty, 1999 p. x) and can 'enable learning and development to occur and thus performance to improve' (Parsloe, 1999, p 8). There are also contextual debates that support this argument too. Workplaces have significantly changed during the last 20 years owing to, competitive environmental factors and social factors relating to the nature of employees in the 21st century (Burke and Eddy, 2006). These issues highlight the requirement for organisations to be customer focused, agile, adaptive, diverse and empowering.

Performance appraisal has existed for many centuries with Murphy and Cleveland (1995) providing an example of its use in the Wei dynasty. The example they provide is quoted below to illustrate the similarity as it is

> "The Imperial Rater [……..] seldom rates men accordingly to their merits but always according to his likes and dislikes." (Murphy and Cleveland, 1995 pg 3)

McGregor (1957) outlined three key purposes of appraisals. Firstly, to provide systematic judgements of an individual's performance in order to justify other decisions for example, pay awards or promotions. Secondly, in

order to communicate to an individual how well they are doing and how they can improve their performance for example by suggesting they need to develop or acquire additional skills, a change in attitude or to improve job knowledge. The third purpose as outlined by McGregor (1957) is for the appraisal to be used by the manager as the basis for coaching and counselling the individual. However, as McGregor (1957) pointed out managers tend to dislike criticizing their direct reports, managers frequently lack the skills for handling these conversations and mistrust the validity of the appraisal process. More recent reviews of appraisals by Gratton, and Ghoshal, (2002), Redman et al (1993), Fletcher (1993), Longenecker (1997), McAfee and Champagne (1993) highlight the challenges of performance appraisals for managers. These sources suggest managers indicate the following when evaluating their appraisal task. They find it frustrating, resulting in them going through the motions, compliance, owing to political reasons, a largely negative experience, unrewarding, not useful, and frequently there is a lack of understanding of why they are carrying it out. These views suggest there is a problem to be solved. It must also be remembered that managers are also appraised and are, therefore, potentially able to see the benefits for themselves of improvements.

My own interest in this subject arises from my own experience of conducting appraisals as a manager, being appraised and from having trained other managers to carry out appraisals. I have significant experience in each of these dimensions as I have worked in a variety of private and public sector organisations that all had a system in place for appraising performance. Regardless of the system, I have always believed it is the quality of the conversation, which matters.

However, as an employee I have experienced appraisal where the manager's concern was completing each section of the appraisal form with sufficient data to satisfy senior managers who might review the completed form. On another occasion, I did not have the opportunity to say anything as the manager did not look at me and talked through what he had written on the form. Quite contrary to this, I have been appraised by a manager where I was an active participant in the conversation, which ultimately led to acceptable outcomes. On reflection, I would loosely call this a coaching

approach, the effective use of questioning, for example, and an expectation that I would contribute to the discussion. As these examples occurred in the same organisation using the same system, it was the quality of the conversation, which made the difference. This perspective on appraisals is endorsed by Gratton and Ghoshal (2002) who argue improving appraisal can be achieved by focusing on improving the quality of the conversation rather than going through a 'dehydrated ritual'.

It is this belief that led to my motivation for this study. I have always been convinced of the value of effective appraisal conversations regardless of my own experiences from an employee's perspective. As a manager for 10 years in a blue chip organisation, I became aware that my approach was different to other managers based on feedback received from my direct reports and conversations with other managers. Once I became familiar with coaching, I realised this underpinned my approach to the appraisal conversation and, therefore, attributed the aforementioned differences to the use of coaching. This research, presented the ideal opportunity to explore the use of coaching in performance related conversations, to establish empirically, that coaching can improve the effectiveness of appraisal conversations.

Appraising employees' performance takes place on an informal basis, daily and more formally at least once per year. This investigation focuses on the formal appraisal conversation whilst acknowledging and recognising that observations regarding performance can be made daily. Feedback, on these observations will ideally be provided on an on-going basis or reserved for the formal appraisal event, which may only take place once a year. In the majority of organisations today, these conversations usually form part of the performance management system. In the latest CIPD Performance Management Survey (2009), 82.8% of the 507 responding organisations have such systems. These systems will vary in many respects not least in terms of their degree of formality and complexity, and these factors may be influenced by, organisational context and size. The context for this study is both private and public sector organisations in the United Kingdom and the research concerns how coaching could improve conversations between a manager and an individual about their performance. I believe problems in

these conversations can arise at any level of an organisation or in any job role. As highlighted earlier problems arise because of a failure to engage in a meaningful two way conversation and results in any of the following; insufficient or incomplete feedback, a lack of openness between the two parties, a lack of listening and effective questioning, with too much direction rather than inquiry and interaction. In many instances, the conversation is dominated by the manager with the employees given little or no opportunity to put forward their views as witnessed by Gratton and Ghoshal (2002). They describe one review meeting they observed where the manager was determined to win regardless of any views that were forthcoming from the employee. In this instance, Gratton and Ghoshal's (2002) observations indicate a positive outcome for the manager, a feeling of having won, whereas, for the employee they left the meeting feeling not listened to and undervalued.

There is a range of perspectives for this study. Firstly, from an organisational perspective the context for this study relates to Performance Management, which, for many people will relate only to the annual performance appraisal. However, for me, and others, for example, Marchington and Wilkinson (2005) performance management includes more than the annual appraisal conversation. The following figure 1.1 is based on the work of Marchington and Wilkinson (2005) and has been expanded to reflect existing performance management practice and those involved in the process.

Ind = Individual
Mgr = Manager
HR = Human Resource Department
TU rep = Trade Union Representative
EAP = Employee Assistance programme
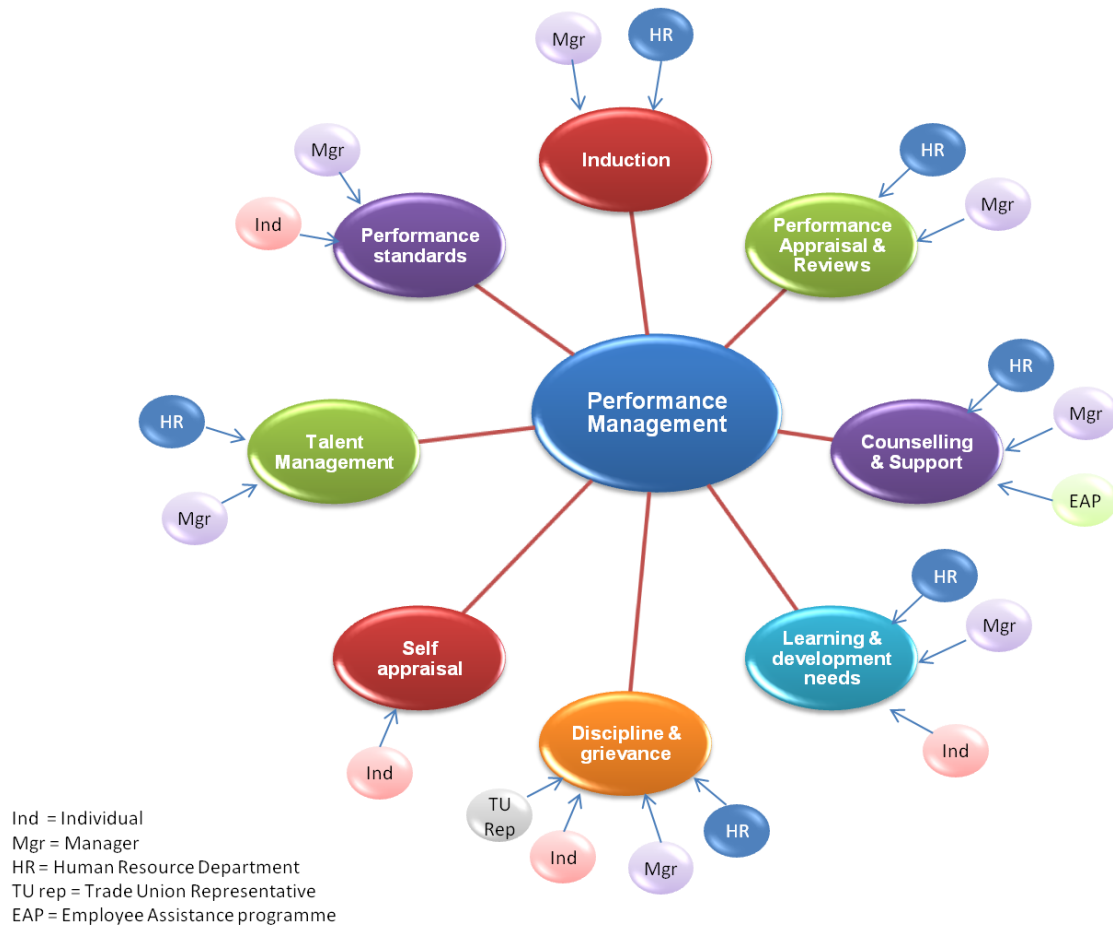
Figure 1-1: Aspects of Performance Management and those involved

The second perspective is that of the participants and they will be employees from a variety of organisations. The participants within the performance management process occupy a variety of organisational roles; management, individual employees, human resource professionals and other professional occupations and some of these positions are also shown in figure 1.1.

The terms applicable to this study are explained below and used as described in this research.

An **induction** is where a new employee is welcomed to the organisation, usually in the first instance by the HR department and then by the line manager. From a performance management perspective the line manager induction is fundamental for ensuring the new employee understands their job requirements, initial objectives, and any initial training needs are identified (Pilbeam and Corbridge, 2011). If these aspects are completed appropriately, the new employee should be able to begin contributing almost immediately.

The **Identification of learning and development needs** usually forms part of the annual appraisal with initial needs ideally identified during the induction. This analysis may identify skills development training requirements, job knowledge or behavioural requirements. The way these identified needs is satisfied can range from on the job training, skills coaching, attending formal training courses or e-learning or other types of external courses (Stewart and Rigg, 2011). At the very least, this should address Health and Safety issues associated with the job in question.

Self-appraisal has become part of the annual review process. It requires the employee to complete an assessment form; this is then used as part of the discussion with the manager. Some of these forms will be competency based using the behavioural competencies used by the organisation for all occupational groups. The CIPD performance management survey (2005) reveals that 30% of respondent organisations use self-appraisal. The purpose of self-appraisal is to increase validity of appraisal outcomes and to increase the involvement of employees in the process.

Counselling and support, there may be occasions when employees are recommended to seek the assistance of professional counsellors in order to help them identify solutions for particular workplace problems they have. In addition, many organisations today fund Employee Assistance Programmes through an external organisation (Pilbeam and Corbridge, 2011). Employees may seek the services of these providers in order to resolve more personal problems or perhaps issues with someone in the organisation. The latter aspect may help to deter grievances concerning harassment and or bullying claims.

Annual Appraisal is where a manager and employee meet to discuss the employee's performance since the last review or appraisal. In this meeting typically, the manager will provide feedback, review performance against objectives, clarify performance standards, establish new objectives, ideally seek the views of the individual, agree development needs and career aspirations (Armstrong, 2009). Traditionally, there have been two types of appraisal with different foci, one being development and the other, evaluation

of the employee's performance (Millward 2005). An appraisal with a developmental focus is more concerned with a forward-looking perspective, for example, identifying career development opportunities and/or developmental needs that require a learning intervention. Whereas, an appraisal that concentrates on performance, may focus exclusively on the measurement aspect of the process. In this instance, there will be a clear focus on the achievement of objectives and the establishment of new ones (Millmore et al, 2007). My experience combines both perspectives, where employees' development is discussed alongside performance achievements that are evaluated against previously set objectives. In this context, employees tended to welcome opportunities for development, whether this was through training courses, secondments, special projects or some other method. This may have been because the evaluation of performance did not directly affect pay or any other aspect of reward. Furthermore, the development of employees was fundamental to the organisation's Human Resource Development strategy. My experience possibly highlights the situational nature of organisational approaches to training and development, which may be perceived as two extremes. One extreme is where training and development needs are perceived by employees and managers as identified weaknesses and therefore, they should to be avoided. Alternatively, organisations view the continuous development of employees as an important strand in their pursuit of competitive advantage, which results in employees also perceiving training and development as an opportunity rather than a threat.

However, research by Boswell and Boudreau (2002) examined the effects on 'employee attitudes and behavioural intention' (Boswell and Boudreau, 2002, p407) when separating the developmental aspects of appraisal with the evaluative. Their research was experimentally based using control groups to determine the effects of removing the evaluative aspect by changing the appraiser from the immediate manager to a more advanced level of seniority. The results of this research do not identify any differences between the two groups in employee attitudes, or their satisfaction with the performance appraisal. However, the results from the two groups differed significantly in respect of future development, with those in the control group indicating they were more likely to accept future development opportunities. Anecdotally, I

am aware of organisations that have considered splitting the development and evaluative discussions across the performance management cycle. In principle, this could provide certain benefits as employees may be more willing to accept the need for additional training or development. However, in one particular organisation the conclusion was that any previous or existing tensions might remain irrespective of whether the discussion is split between different managers or across the appraisal cycle. This scenario may also reflect the prevailing organisational culture or atmosphere at either the macro or the micro levels.

Notwithstanding these observations, research by Cleveland, Murphy and Williams (1989) examined and highlighted the numerous uses for ratings data and their application to potentially conflicting purposes, for example, pay awards and development. This discussion highlights some of the complexities and challenges of appraisal conversations. This provides further support for this study.

The importance of the developmental aspect of appraisal is associated with an effective performance management system (Millmore et al, 2007). Therefore, within the context of this research, there is no deliberate attempt to separate these purposes. This view is endorsed by Kirkpatrick (2006) who demonstrates how the use of coaching may be an outcome from an appraisal conversation.

Talent Management includes activities designed to identify those individuals who have potential for leadership roles and other roles that are considered vital for sustainability (Taylor, 2010). Some knowledge workers may also be in this category or those considered as experts in a particular field for example particular types of engineers. There are other aspects to Talent management but these are outside the scope of this study.

Although, the focus of this research is on the use of coaching in appraisal conversations, it could be possible to apply the research conclusions to other areas in this diagram. I will refer to performance management and appraisal conversations interchangeably throughout this document.

As indicated, my management experience and interest in Performance Management has developed over many years because I was a line manager in an operational area. In these operational areas, I had responsibility for appraising many different staff groups, for example, up to 150 engineers who were based around the globe, a small team of human resource professionals and groups of technically qualified staff ranging from quality engineers to technical illustrators. Without exception, employees provided me with feedback that suggested the way I conducted appraisal conversations differed to many other managers. According to these individuals, they provided me with more information than and received feedback of a higher quality. Consequently, my interest is also influenced by my involvement in training managers in the use of performance management tools and techniques effectively, when carrying out appraisals myself, as a manager and, I said earlier, having being appraised.

Where I have trained others, this has focused on the organisational processes in question and had a clear alignment with organisational HRM practices and policies. Whilst many of the managers I have trained are passionate about achieving product output objectives, they tend to be less passionate about the people management dimensions of their role. My experience suggests they struggle to make the connection between their people interaction style and team members' outputs. I previously conducted some unpublished research, in one case study organisation, which revealed that managers viewed the appraisal process as bureaucratic and time consuming, with little added value for stakeholders. It is hoped this research positively contributes towards changing these perceptions, as both parties should accrue benefits from participating in appraisal conversations. These benefits should enable improvements in the relationship between the manager and the employee. In turn, this should accrue benefits for the overall performance of the organisation. For the individual employee, the benefits may result in receiving feedback that reinforces good performance, or establishes positive ways for the employee to improve. An additional benefit may also be renewed commitment towards their professional development and in some instances agreement on financial reward.

In terms of understanding, the scope and spread of performance management practices the Chartered Institute of Personnel and Development produce regular surveys. These surveys do provide a general overview of current practice from a process perspective. However, they do not reveal the views and opinions of participants in the performance management conversation. HR managers usually complete the surveys and they therefore complete them in terms of what should be happening in their organisations but their responses may reflect the rhetoric rather than the reality. This research aims to fill this void as it will be based on the views and opinions of active participants in performance management conversations both managers and individual employees.

This investigation concerns whether or not the use of coaching when appraising employees' performance can yield improved outcomes from the conversation and therefore, ultimately improve the individual employee's work performance. My contention is that where managers use coaching, there are potential benefits for the employee and the manager. For the employees, their role in the conversation will automatically become more active as they will respond to questions posed by the managers concerning ratings and rankings, observations and judgements, career aspirations, development needs and personal self-awareness of their performance. Such improvements can positively affect the value perceived by the employee and the manager of these conversations, as well as delivering increases in individual performance at work.

In addition, I envisage this approach can help to overcome some of the negative insights on appraisals from Deming et al (1986). His contentions were highly critical of American appraisal systems; that were and often still are, based on forced rankings, requiring managers to rank all employees. The system restricts the number of employees that can achieve a top ranking. Inevitably, this leads to a lack of motivation by those who are ranked below those at the top, irrespective of how hard they have worked. Ranking also leads to employees competing with each other and does not encourage team working. In addition, such systems may result in employees being penalised for poor performance based on what Deming (1986) referred to as system drift. In such cases the manager assumes the system drift is

within the control of the employee, when it is not. The proposition of this research can be harnessed to address several of Deming's (1986) criticisms. Coaching enables systems that promote co-operation and supportive behaviour towards employee, training and education, all of which Deming (1986) endorsed.

Identification of research aim and objectives

The challenges, relating to the effectiveness of appraisals and the quality of the conversation, signify there is a problem to be resolved, and this is captured in the following aim and objectives for this study:

Aim

Explore whether the use of coaching by managers in appraisal conversations can add value for the employee and enable improved performance at work.

Objectives

To achieve the above aim the following objectives have been set:

1. Critically review and analyse literature on coaching in organisations, performance management and managers as coaches.
2. Review secondary sources on the success of performance management processes in private sector organisations.
3. Investigate the effect coaching has on the quality of performance management outcomes.
4. Generate a theoretical model that makes an original contribution to academic and practitioner knowledge in the fields of performance management and the role of the manager as coach.

The significance of the research is its application to the way in which managers interact with team members in formal conversations about performance. Although there is an abundance of research materials covering the various elements of performance management, there is a gap in the literature in respect of the use of coaching behaviours in appraisals.

This study has been designed to provide for the emergence of a conceptual model, to inform and be of use to those working in my field. It is also hoped the findings will make an original contribution to knowledge in respect of managers using coaching during appraisal and performance related conversations.

The potential model and any original contributions to knowledge will address the developmental and evaluative aspects of the performance management conversation. The intended purpose of the model is to demonstrate how the use of coaching in appraisal conversations can surmount negative dynamics and enhance positive ones for performance management systems that focus on either development or evaluation.

Overview of methodology and literature

The context for this research is the use of coaching by managers during performance related conversations in appraisals and performance reviews. It, therefore, concerns the performance management process and improving its overall effectiveness through the manager as coach. The selected paradigm is pragmatism. To date, paradigms in the research of performance management and coaching have ranged from positivist through to interpretivist. There appears to be no dominant paradigm or accepted best practice to follow, as it tends to depend on how the research question has been framed, and any preferences held by the researcher. This study will also use a grounded theory approach. The relationship between pragmatism and grounded theory is fully explored by Bryant (2009). He contends the pragmatist position in knowledge creation is through theories and concepts that are best seen as tools. These tools are evaluated for particular tasks and applications. Bryant highlights how the output from grounded theory results in theories and concepts that inform practices, procedures and policies. This research will emulate this approach by using grounded theory principles resulting in new knowledge concerning the effect of coaching on performance management practices, procedures and policies. As explained by Charmaz (2006, p23,), in discovering theory, one generates conceptual categories or their properties from evidence. The evidence, from which the category emerged, is used to illustrate the concept. In this study, I am

seeking to develop a model for the use of coaching in performance management discussions. This model will be underpinned by theory, which develops during the research. This requires data in the form of perceptions and views from participants involved in performance management practices in order to provide evidence to illustrate concepts. Grounded theory is also described by Charmaz (2006) as a systematic method of conducting research that begins with an inductive approach and involves the researcher in engaging with simultaneous data collection and analysis. These processes of data collection enable the researcher to start with one group of participants and analyse the data before deciding the next group to study. Grounded theory is, therefore, appropriate for this study as it enables the researcher to study processes in a live environment, provides a systematic approach for rich data collection and analysis and supports the creation of an emergent and a new theoretical model.

Participants for this study will be recruited from private and public sector organisations and selected through professional networks. Given the nature of the research, confidentiality and anonymity are significant issues, and all necessary steps will be taken to ensure neither of these areas is breached. It will also be necessary for the researcher to remain neutral throughout the research process to ensure the results have not been influenced by personal opinions.

The data collection phase will commence with semi-structured interviews with five HR professionals who have experience of designing and implementing appraisal processes. Following a grounded analysis of this data, it is anticipated data collection will continue with further semi-structured interviews with 12 line managers, who should have completed an in-house coaching course. In most organisations, this would normally be at post-graduate standard. This will ensure they will all have a similar understanding of coaching. In line with grounded theory principles, the samples referred to above are not dependent on statistical representation. Participants are initially selected purposively and then theoretically based on a belief they have a valuable contribution to make to the research (Lyons and Coyle 2007). Morse (1978) identifies three principles that are essential for success with qualitative research, excellent research skills, excellent participants in

order to obtain excellent data and targeted sampling techniques. Therefore, from a quantitative perspective, the sample sizes proposed here would be considered too small but for a qualitative study, these samples will be sufficient provided the Morse principles are followed. After further analysis, questionnaires will be designed and distributed to 60 employees who have participated in appraisal conversations and ideally received coaching. The purpose of the questionnaire is to understand what is happening in these conversations between managers and team members. This will shed light on, how they perceive their respective roles, what are their expectations of these interactions and how these encounters might be improved. The questionnaires will collect data concerning respondent experiences of coaching, how the coaching experience enables them to improve workplace competence and overall performance.

Data analysis will follow ground theory principles too by using axial, open and selective coding. Where appropriate, memos will be created so I am able to maintain a record of my perceptions and cognitions throughout the analysis phase. The questionnaires will be analysed using a combination of quantitative and qualitative techniques. These combined data collection and analysis processes will use methods to facilitate outcomes in line with grounded theory methodology: namely coding and memo writing. Memo writing is a key technique within grounded theory and is used by researchers, to capture their analysis and thinking, of connections and comparisons, leading to the formulation of further questions and directions to pursue (Charmaz, 2006).

Open coding enables examination, comparison and categorising of data leading to the development of concepts. Axial coding enables connections to be formulated from the aforementioned categories and selective coding enables selection of the core category leading to validation of relationships (Locke, 2001, Bryman and Bell, 2007). These categories will enable development of a theoretical model.

Literature

The literature review will explore empirical and practitioner based research covering the key areas pertinent for this study: performance management; including high performance working (HPW) and performance appraisals (reviews), the employee and manager relationship from a transactional analysis perspective, power and influence in the employee/manager relationship and managers as coaches. As the intended manager respondents will predominantly occupy middle management positions, the literature on senior management leadership and specifically facilitative leadership is not reviewed. This decision was taken in order to ensure a focus on the role of managers and any empirical work that reflects any potential changes in their management style that may be impacted by, coaching or a coaching culture.

Armstrong (2006) proposes performance management is a strategic process that should be focused towards the achievement of organisational objectives, facilitate improvement at the individual and organisational level, be sustainable and be integrated with other HR processes. Another study, (Armstrong and Ward, 2005) highlights seven elements organisations need to maximise their performance management systems: process, motivation, role of HR, measurement and reward and importantly, people management capability. A main finding from this study was the challenge for managers of being able to deliver feedback in a constructive way and their lack of ability when having 'difficult' conversations with underperformers. The results from my study are focused on using coaching techniques and behaviours in delivering feedback constructively.

However, although there is an abundance of guidance, advice and research concerning the design and development of efficient performance management output systems (see Armstrong and Baron, 2005, Fletcher, 1993 and Posthuma et al, 2008); there is a lack of guidance concerning people management capability when using these systems. There is also evidence in some studies that address the issue of managerial competencies of a lack of focus on performance management. For example, in a study by Abraham et al (2001) which identified a set of 23 management competencies, they did not include one competency that relates specifically

to performance management. The same study also found significant discrepancies between those competencies agreed as being important for managerial work and those used as appraisal criteria when evaluating managers' performance. There also appears to be a mismatch between what is said to be important and what is evaluated. Neither is there a substantive link with coaching and how that might be the key to unlocking the potential for managers to deliver the aspirations of performance management systems.

The manager as coach has been explored by Ellinger et al., (2006) highlighting the lack of empirical research around the role of managers as coaches and claiming that managerial coaching is still in its infancy. Ellinger et al., (2006) also focus on the changing perception of the manager as coach: from deficit reducer to that of performance enhancer.

Coaching in organisations continues to grow as previously identified in work from the CIPD (2010) and the Association of Coaching (2004). A significant proportion of this coaching is being delivered by line managers, 51% according to the CIPD survey. However, it is unclear from this survey what impact coaching is having on individual performance. Data from the Association of Coaching (survey 2004) indicates the use of coaching improves management skills by 58% but there is no indication that management skills are improving. In the CIPD survey, they asked organisations to identify areas of leadership where there are learning and development gaps. Two key areas from that survey relevant to this proposed study are performance management at 71% and coaching and mentoring 67%. However, these CIPD studies adopt a managerial perspective where the focus is on whether an organisation has a process rather than the quality of outcomes from the process. The proposed research is interested in these latter outcomes, and the researcher believes this is where a gap in knowledge exists. From the perspective of literature and research to date, there is currently a gap in knowledge around how the use of coaching can enable individual performance management.

The above areas are the key areas in terms of the literature review. Some further breakdown in order to review relevant areas contained within each

section will occur. For instance, within performance management there will be a significant focus on appraisals, management behaviours for conducting an effective discussion and how these link with coaching. When reviewing the role of managers as coaches I am interested in what aspect of the manager as coach concept has been investigated to date, the range of skills and behaviours of managers as coaches and from a theoretical perspective the coaching genres used by managers as coaches.

Structure and overview of the thesis

Chapter 1 provides an overview of the study.

Chapter 2 presents the literature review and considers literature across the two key areas previously mentioned. Although literature on coaching is relatively recent and therefore, less prolific, this is not the case for performance management. However, although prolific there are some limitations in terms of potential bias from either a managerial perspective or indeed an employee one. More recently, research and literature has focused on PM's relationship to improved organisational performance and consideration will be given to the work of Purcell et al (2003). This piece of the seminal work focuses on establishing the link between People Management practices and organisational performance. This section of the literature review will also focus on the theoretical nature of performance management, and the nature and content of appraisal conversations. It will consider the key features of the appraisal conversation and critically evaluate the measurement of performance, providing effective feedback, the behaviours required of managers when appraising individuals and the outcomes from appraisal conversations, which may feed into other aspects of performance management.

The purpose of Chapter 3 is to present how the study has been researched. It will present the selected research paradigm, philosophy and methods of data collection. It will justify why these approaches were selected and adopted. I will also explain how participants were recruited and how data was gathered to satisfy the requirements of a qualitative study. This latter

aspect will give due consideration to the validity and generalisability of the study, how I have ensured anonymity and confidentiality of participant inputs and other ethical issues. I will also discuss the limitations of the research design.

In Chapters 4, 5 and 6, I present and analyse findings from the three stages of data gathering. In Chapter 4, I present the analysis and findings relating to performance management and appraisal conversations. These findings represent the views and opinions of both line managers from a range of organisations representing retail, engineering, the public sector and manufacturing. The presentation of these findings was developed using grounded theory principles and the coding used in data analysis can be found in appendix 6 and 7. The intention is to show from this particular sample how managers are handling performance appraisal conversations and whether or not they are using coaching to enable this process.

In Chapter 5, the analysis and findings relating to Managers and Coaches is presented. The data relating to the Manager as Coach is generated from the same participants as those in Chapter 4. The data are derived from the open and axial coding. The intention here is to determine from the interviewees: managers and HR professionals how they perceive the use of coaching currently and whether or not they consider coaching can contribute towards improving performance appraisal conversations.

Chapter 6 presents data and analysis from the questionnaire that was completed by 49 employees who work in a range of organisations. The employees who completed the questionnaire do not necessarily work in the same organisations as those who participated in the semi-structured interviews. Neither, do they report to any of the manager participants.

Chapter 7 is the final chapter of the thesis and presents a discussion of the key findings leading to conclusions for both further academic and practitioner research. It will also present the theoretical model discussed in objective four.

Chapter 2:   Literature Review

The overall aim of the study is to:

Explore whether the use of coaching by managers in appraisal conversations can add value for the employee and enable improved performance at work.

In order to achieve this aim, the literature review focuses on four substantive areas: performance management, including high performance working (HPW), performance appraisals (reviews), a consideration of the nature of the manager/employee relationship and managers as coaches. The selection of the literature for Performance Management and the Manager as Coach is selected for its appropriateness, relevance and currency.

Performance Management

The Performance Management literature includes empirical research studies by Armstrong (2009), Armstrong and Baron (2004), Longenecker, (1997), Furnham (1996), Stiles et al (1997) et al (2001)) and practitioner based research and guidance, for example: (CIPD, ACAS, Institute for Employment Studies). Insights and evidence from these sources is included here to inform and establish the study's theoretical and practitioner background. These sources were identified from searches using Business Source Corporate, Emerald and EBSCO using the following search items: performance management, appraisals, performance reviews, outputs from appraisals and performance measurement. There is significant research in each of these areas so the challenge was to ensure those selected were relevant given the study's objectives.

Table 2.1 illustrates the structure for this section of the literature review.

Performance Management
• Performance Management origins, context and links with High Performance Working (HPW)
• Theories of Performance Management
• Critiques of Performance Management
• Performance Appraisal (Reviews)
• Power Dynamics of the appraisal conversation
• Learning and Development Needs

Table 2-1: Structure and overview of Performance Management literature

Performance Management origins, context and links with High Performance Working (HPW)

According to Armstrong (2009), performance management, has existed in the form of appraisal since the 1950s, 1960s and 1970s. During these periods, it existed in a variety of guises and across different industrial settings Armstrong (2009). He explains that a variety of systems were used which included the use of merit rating and management by objectives commencing in the 1950s through to the late 1970s. In the late 1970s and 1980s, the formal terminology of performance management became more widely known and practised. A further development in the 1980s was its development in the form of a management process and model (Armstrong, 2009). These models identified that appraisal is part of the performance management process along with other human resource management functions. Armstrong (2009) presents examples of these models from CEMEX, Astra-Zeneca, DHL and BP. These examples demonstrate how appraisal integrates with: talent management, rewards systems, strategic business planning, performance rating, competency frameworks, learning and development. As Armstrong indicates these models enable communication of the performance management process to employees and the challenge for management is to ensure rhetoric matches reality Bowles and Coates (1993).

Armstrong (2009) views performance management as a process, which is systematic and focused on improvement for both the organisation and the individual. Within the process, a framework establishes goals and performance standards requirements Armstrong (2009)

"A bundle of HR practices that influence organisational performance and so justifies HRM claims to have a strategic impact (Guest, 2007, p54)". This succinctly captures the fundamental features of PM which includes several organisational and HR processes all of which operate strategically.

For Marchington and Wilkinson (2005, p264) performance management includes counselling and support, induction and socialisation, reviewing and appraising performance and reinforcing performance standards. Armstrong (2009) writing from a practitioner perspective, he presents a range of performance management models from a variety of organisations, e.g. Centrica, DHL, Halifax etc. These all include those aspects associated with reviewing and appraising performance and performance standards. From these definitions, the key area that relates to this study is performance appraisal within a framework of performance management.

These definitions of Performance Management illustrate its strategic significance within Human Resource Management. Phillips (1996a) emphasizes the need to measure individual and team contributions in order to ascertain organisational performance. It is therefore, important for organisations to understand how the totality of HRM affects organisational performance (Bratton and Gold, 2012). During the last 15 years, significant volumes of research have been undertaken in pursuit of establishing a link between the work performance of individuals and high performing work organisations (Purcell, et al., 2003). High Performance Working is defined as a general approach to managing organisations that aims to stimulate more effective employee involvement and commitment to achieve high levels of performance (UK Commission for Employment and Skills, 2004). High performance working is considered important as it can influence the success of organisations across all sectors, it can deliver competitiveness in a global economy and ultimately the overall improved performance of the national economy (UK Commission for Employment and Skills, 2004, CIPD (2010).

Significant debates exist questioning which HR practices enable HPW, and, as the above report highlights the consensus has moved towards a set of HR practices classified as Best Fit. These practices are contingent on the context of the organisation. Research undertaken by the CIPD with the

Department of Trade and Industry and Best Companies defined a set of complementary working practices within three areas: high employee involvement and sophisticated HR practices.

A key feature of HPW is to 'enhance the discretionary effort employees put into their work and to fully utilise and develop the skills they possess' (UK Commission for Employment and Skills, 2004). HPW involves abandoning traditional command and control approaches to Management, synonymous with Taylor (1911) and adopting those practices that focus on developing the skills and knowledge of employees to enhance organisational performance (UK Commission for Employment and Skills, 2004).

The research undertaken by Purcell, Kinnie, Hutchinson, Rayton and Swart (2003) is relevant to this debate; it focuses on the affect of HRM practices on individual performance; how discretionary behaviour may be facilitated and how the management of people affect organisational performance. The Understanding the People and Performance Link research Purcell et al (2003) was conducted with 12 organisations, from a range of sectors, all having a reputation for high quality HR processes. The details of the research process are presented in table 2.1. It should be noted that, within the research report, the number of employee participants is presented as one number rather than broken down into x number of managers, senior managers and non-management employees.

Researchers	Method	Participants	Main findings that relate to this study
Purcell Hutchinson Kinnie Rayton Swart	1. Face to face interviews using a detailed questionnaire 2. 'Elite' interviews 3. Semi-structured interviews	Employees Senior Managers Line managers	The research found that people perform well when: • They possess the necessary knowledge and skills • They are motivated to perform • They can contribute to organisational performance beyond the basic job The above is referred to as AMO (Ability, Motivation and Opportunity) To achieve the above, 11 HR policies and practices are required and the following are those that relate specifically to performance management: • Appraisal • Training and development • Career opportunities Line management have a crucial role in terms of 'bringing these policies to life' by practising good people management.

Table 2-2: Understanding the People and Performance Link: Unlocking the black box. Research overview

The significance of line managers is highlighted by Purcell et al (2003 p37) in terms of managers conducting appraisals with enthusiasm and suggesting this approach, along with others, should lead to employees reciprocating with behaviour which is beyond contract. Beyond 'contract', behaviour is described as 'discretionary behaviour' in the Purcell et al (2003) research. In addition, Boxall and Purcell (2011) discuss the criticality of managers in delivering HR policies and procedures in terms of the, rhetoric vs. reality. They highlight performance appraisal as a key HR policy area which relies on 'managers for success' Boxall and Purcell (2011 p247). Through the work of Purcell, et al (2003, 2011) it is possible to establish a link between performance management, line management behaviour, individual performance and ultimately organisational performance. Although appraisal forms a vital element in the Ability, Motivation and Opportunity model, other writers have signalled performance appraisals continuing challenge in terms of effectiveness (Coens and Jenkins, 2000) and dissatisfaction Buchner (2007). However, other writers have begun to focus research on the effectiveness of the interpersonal relations within the workplace and assess their impact on the delivery of HR processes. Purcell and Hutchinson (2007),

Purcell (2009) in consideration of the relationship between line managers and employees and Uhl-Bien, Graen and Scandura (2000, p138) use the term 'leader-member exchange' and argue, to date, this aspect of the HRM debate has not been adequately addressed.

Theories underpinning Performance Management

As Purcell et al and others have established one of the main purposes of performance management is to improve organisational performance through the efforts and outputs of its employees. Performance as a concept consists of: a record of outcomes achieved Armstrong (2009) is a multi-dimensional construct, it includes both results (outputs) and behaviours (inputs) the measurement of which varies depending on a variety of factors Bates and Holton (1995).

Buchner (2007) has identified three theories that he proposes underpin performance management: Goal-Setting theory, Locke and Latham (1990, 2002), Control Theory Carver and Scheier (1998) and Social Cognitive Theory Bandura (1986). Goal-setting theory Locke and Latham (1990, 2002) developed from an inductive study over a 25-year period and involved 400 studies in both laboratory and field based settings. Locke and Latham's (1990, 2002) work is relevant to this research as one of the purposes of performance management is to set goals and then assess their achievement. Goal-Setting Theory (Locke and Latham, 1990) is therefore, presented as an underpinning theory to performance management.

Research undertaken by Locke and Latham (1990, 2002) over three decades identified the importance of establishing effective goals, which should include appropriate levels of difficulty, and specificity. They found that these factors lead to higher levels of task performance than easy or vague goals. They also identified a positive relationship between goal difficulty and task performance. For a positive relationship to occur the needs demonstrate: employee commitment towards the goal, the necessary level of competence and there should not be any additional conflicting goals. The implication of this theory, according to Lock and Latham is that goals should direct attention to priorities and help to engage and stimulate effort. Their research also

shows that specific and difficult goals tend to lead to sustained task performance. Locke and Latham (1990, 2001) identify moderators that they claim affect goal-driven performance: goal commitment, goal importance, an individual's self-efficacy, feedback and task complexity. Armstrong proposes that acceptance is dependent on goals being perceived as fair and reasonable, participation in the setting of goals, the manager demonstrates supportive behaviours, resources for achieving the goal are available and success in achieving goals enables future acceptance of goals. London, Mone and Scott (2004) highlight the challenges of participation in goal setting; knowledge and understanding of organisational goals; how these goals can be translated into action and how support can be provided. It is, therefore, necessary for employees to participate in goal setting and, and from a motivational perspective, is the need to understand organisational expectations and strategies for goal accomplishment (Armstrong, 2010).

Armstrong (2010) explains that Control Theory focuses on the requirement for feedback within performance management in order to shape individual behaviour. He outlines that, as feedback is received, individuals appreciate understanding any discrepancy between what is expected and what they are actually doing and then take corrective action. However, Buchner (2007) cites the work of Coens and Jenkins (2000) and Fletcher (2001) which indicates that feedback is, generally, insufficient as supervisors/managers are either too busy or too far removed to provide feedback at the most appropriate time.

Social Cognitive Theory is based on Bandura's (1986, 1994, 1997) concept of self-efficacy. Buchner (2007) explains that Bandura's views on motivation are influenced by the interaction of three key elements, the work environment itself, what the performer thinks and what the performer does. For Bandura, what people think or believe about their capabilities helps to explain their performance Buchner (2007). Therefore, if an individual does not have sufficient self-belief in their capabilities they are unlikely to perform as expected.

Critiques of Performance management and reviews/appraisals

Aguinis, Joo and Gottfredson (2011) review the key differences between performance management and appraisals. According to these authors, performance management is a continuous process that involves identifying, measuring and developing the performance of individuals and teams. Included within this process is the alignment of performance against strategic goals of the organisation. Aguinis, Joo and Gottfredson (2011) and Grattan and Ghoshal (2002) have highlighted the significance of quality conversations between managers and employees within performance management. For Grattan and Ghoshal (2002) little attention is paid to the quality of conversations in organisations even though, fairly obviously, it is conversation, which is at the heart of organisational contributors' work. The Grattan and Ghoshal (2002, p211) research highlights examples of performance review conversations that were "a Ping-Pong game with facts about performance being batted back and forth." The result of one of these interactions was a senior manager who believed she had 'won' and an employee who felt not listened to and undervalued. Grattan and Ghoshal (2002) describe these conversations as dehydrated and stylised with participants going through the motions. Their conclusion, in respect of appraisal conversations, is that the emphasis should be on the core of the appraisal and development process by 'improving the quality of the conversation' rather than, going through 'dehydrated rituals'. Improving the performance related conversation is also advocated by Brown (2011) who cites the example of Cable and Wireless where a strengths-based approach to performance conversations and reviews has been implemented.

A further example of a successful performance management process, utilising an improved conversation approach, is cited by Aguinis, Joo and Gottfredson (2011). Managers working in Merrill Lynch using the new system emphasize conversation where feedback is exchanged, objectives are jointly established, coaching is provided where needed, mid-year reviews are conducted which address achievement of goals and progress with personal development plans (Aguinis, Joo and Gottfredson (2011, p504). The research from Aguinis et al (2011) highlights that achievement of goals includes an assessment of behaviours, how the employee achieves as well as what is achieved i.e. the results.

Redman (2006) suggests, performance management systems may be too prescriptive and, therefore, may not take account of organisational context, centralisation and the role of trade unions in organisations. Redman also highlights performance management systems are theoretically owned by line management however, the reality tends to be that the HR function drives the organisation in providing evidence of performance management's success.

Performance appraisal may identify the strengths and weaknesses of employees in a non-continuous way, with a formal discussion of performance normally once a year and possibly, twice, where there are six monthly reviews (Armstrong, 2009). Aguinis, Joo and Gottfredson (2011), highlight the perception of this process as bureaucratic, potentially a waste of time and created by the human resource department. In addition, other critiques of the process include opinions that suggest that in spite of any quantitative dimension to performance measurement, judgements by managers are typically subjective and frequently based on impressions of the employee. In addition, feedback may not be delivered when required, leading to frustration for employees whose performance needed rewarding and for those whose inadequacies are not highlighted at the right time (Levinson, 1976). Although Levinson's work dates from 1976 these findings can be found in more recent publications, Fisher and Sempik (2009) comments on judgements made during appraisals are 'suspect' Fisher and Sempik (2009, p212).

Redman (2006) expresses the view that performance appraisals appear to be one human resource activity everyone loves to hate. Along similar lines, Caroll and Schneier (1982) found that appraisal is the most disliked managerial task and Grint (1963, p64) stated 'rarely in the history of business can such a system have promised so much and delivered so little'.

Table 2.3 illustrates reasons for appraisal perceptions based on the named studies with adaptations for presentation here: Stiles et al (1997), Strebler et al (2001) Longenecker (1997), Armstrong and Baron (1998). There are a number of similarities between these studies, they each took place in a range of organisations thereby considering different sectors within the economy and comprised a satisfactory number of employees where these studies were of a

qualitative nature. There is one study, that used a survey, and, therefore, a larger number of responses were possible. There are a large number of responses that are similar across at least three of the studies: Stiles et al (1997), Strebler et al (2001) and Longnecker (1997) and these tend to reflect much of the academic literature on performance management, which predominantly perceive it as negative experience for both manager and employee. However, the Armstrong and Baron (1998) study identified positive views of performance management.

Author	Method	Respondents	Findings	Comments/analysis
Stiles et al (1997) How PM is being used to support organisational change in terms of job security and career pathways.	Grounded theory study utilising: Semi-structured interviews Focus group and survey	All employees: management and non-management at various levels. All levels represented. HR function	• Managers were diverted from what they considered to be their real job owing to perceptions of bureaucracy of the appraisal system. • Lack of positive outcomes in terms of both development and pay. • Variations between individuals managers in judging performance • Defensive use of appraisal – lumping everyone together in average or even high/low categories. • Lack of trust among employees • Changes were driven top down with a lack of consultation. • Concerns expressed regarding, fairness, accuracy, consistency of the appraisal system. • Lack of development opportunities.	Short terms pressures undermined organisational values and objectives. Politics thwarted change in the PM system. Overall, changes have been interpreted negatively by employees. Two out of the three organisations used appraisal and regular reviews. Saw appraisal as a day-to-day activity. Appraisal system driven by competency frameworks.
Strebler et al (2001)	Survey, which was responded to by 926 managers from 17 organisations.	Institute of Employment Studies – Research Networks – UK based	• Performance review system should be aligned to business strategy • Introduction and implementation is important in order for employers to find real added value. • System user friendliness is key to successful implementation. • Balance is needed between the objectives and the content of PR systems. • User satisfaction came from the review process delivered by their manager. • Users satisfied with coaching and training and development. • Perceived PR to have helped transform the culture of the organisation.	IES recommendations for PR systems: • Clear aims and measurable success criteria • Designed and implemented with appropriate employee involvement • Simple to understand and operate • Allow employees a clear 'line of sight' between performance goals and those of the organisation • Focus on role clarity and performance improvement • Be closely allied to a clear and adequately resourced training and development infrastructure

Author	Method	Respondents	Findings	Comments/analysis
			• Objectives that had been set using the SMART criteria were perceived as unfair and imposed. • Multi-source feedback increased objectivity by managers leading to an increase in perceived fairness. • Lack of clarity around the use of competencies and how they relate to job roles. • Misgivings about the use of competencies in judging performance.	• Regular and open reviews against the system's success criteria. Continued
Longenecker (1997)	Qualitative. Individually managers were asked to respond individually to the following. "Based on your experience, what factors cause managerial Performance appraisals to be ineffective? They were then placed in focus groups to analyse individual responses and develop consensus on the primary causes of ineffective managerial appraisals.	120 Managers from 5 different organisations in the USA.	Primary causes: • Unclear performance criteria/ineffective rating instrument • Poor working relationship with boss • Superior lacks information on actual performance • Lack of on-going performance feedback • Overly negative/second guessing review • Perceived political reviews • Lack of focus on management development/improvement • An ineffective link to reward systems • Superior lacks rating skills/motivation • Review process lacks structure/consistency	Ineffective practice leads to the follow conclusions at the organisational and individual levels. • Causes ineffective performance planning and goal setting • Demotivates and frustrates managers • Creates added tension in working relationship with superior • Can cause a loss of managers' confidence • Stifles performance improvement • Managers develop a second-guessing mentality Organisational level conclusions: • Breeds cynicism and low morale • Causes a loss of managerial focus • Causes pay for performance systems to break down • Set a poor example • Damages Management Development efforts • Loss of HRM credibility Continued

Author	Method	Respondents	Findings	Comments/analysis
Armstrong and Baron (1998)	Qualitative: Focus groups Content analysis techniques used to analyse the data gathered.	12 focus groups in 6 organisations across a range of sectors: Manufacturing Engineering Financial services Public sector Charity Focused groups comprised volunteers Facilitator provided for each focus group	**Positive:** Performance reviews give sense of direction and feedback. Opportunity to consolidate feedback received informally. Chance to discuss with manager any problems Objectives linked with business objectives, staff can see impact on the business - we are all working in the same direction. If the personal development plans are done properly the greatest benefit of the PR process – you get your say about your career. The conversation assists the attainment of good performance. It's good for you and it's good for the company. It's a good way to air things. It's a good forum to discuss things that could be improved and it's a relaxed interview. I think we've all tried to make it that way. **Negative:** I don't like the rating. You can't sum up someone in three numbers. I suppose one of the feelings I have is one of frustration. I am trying to be very careful here. It's not a personal think. If you have one issue that you want discussed and it doesn't get resolved satisfactorily, then that becomes your negative perception of the way it worked. I know what my job is but I couldn't tell you what my objectives are. Performance management, it if worked right it would be good. But there's too much inconsistency. You've got different managers marking in different ways.	As acknowledged by Armstrong (2009) no definitive conclusions were offered. The final observations were offered as indicative statements from the focus groups' inputs. The inputs gathered though were from "real people" giving "what they really thought" (Armstrong 2009 p192) about performance management. Armstrong (2009) indicates his findings are at variance with those offered by some academics. For example, the issue of compliance with management dictates and this was not apparent from the data gathered. This research suggests there is some evidence that some organisations are able to deliver performance management effectively.

Table 2-3: Research on Appraisal

In addition, according to Coens and Jenkins (2009) managers tend to go through the motions when it comes to appraisals despite numerous re-designs of processes and more training having been given. They also found where systems are based on ratings; employees are so concerned about this aspect that any attempt at a constructive conversation is rarely successful. Employees either become resentful, defensive or complete the process with polite compliance. Similarly, Crosby (1995) explains the appraisal may be perceived as a one-way street, this view is also endorsed by Buchner (2007) where he articulates the nature of performance management is a 'top-down' process.

Performance Appraisal (Reviews)

Clegg and Bailey (2007) propose that performance appraisal is concerned with motivation and goal setting. Performance to date is evaluated against previously set goals and from a motivational perspective it seeks to encourage future performance through the establishment of further challenging goals (Davis and Scully, (2008). Two further functions are highlighted by Davis and Scully (2008), namely, appraisal as a developmental tool where weaknesses may be identified and/or strengths are built upon and in some cases, there may be a corrective aspect, which seeks to regulate behaviour.

From a practitioner perspective, the CIPD's performance management survey of 2009 provides an insight into PM with data coming from 506 organisations across the UK. These findings are consistent with those from previous surveys as commented on by Armstrong (2009). The CIPD's conclusion from their research is that performance management is generally effective and is likely to continue to have a presence in organisations. The CIPD's participants, HR professionals, see performance management having a role in communicating organisational objectives with a "clear line of sight between individual effort, behaviour and organisational goals" CIPD (2009, p20).

Analysis of key aspects of performance appraisals

Any review concerning the achievement of objectives faces a number of challenges. As identified by Winstanley and Stuart Smith (1996) and others:

Fletcher and Williams (1993), Neale (1991) and Walter (1995) there are difficulties in setting performance objectives as they may not reflect the intangibles in many jobs/roles, the lack of flexibility of objectives when change occurs and the challenge of trying to set objectives that cover the whole job. It is suggested by Winstanley et al that objectives are established following the SMART criteria, which broadly adheres to the recommendation from Locke and Latham (1979) that people perform better, when objectives are specific, challenging and achievable. Similarly using the SMART approach should help in creating objectives that are likely to be perceived as fair, where the employee is involved in their creation and the management provide support and resources which enable their achievement (Armstrong, 2009).

Kluger and DeNisi (1996) found feedback could be effective in enabling changes in performance but also that it can have the opposite effect. Their research findings suggest feedback should contain the following two factors. Firstly, in order for performance improvements to occur the feedback should focus on the required changes in behaviour. Secondly, such feedback is likely to be more effective when it challenges assumptions about what is considered best practice. Kluger and DeNisi (1996) also found receiving feedback is influenced by the individual's personality and the situation. Lee (2005) questions the time spent looking back in appraisal discussions and rating past performance rather than focusing on the future. In addition, and possibly more important, is how managers engage in a meaningful discussion of performance which results in improvements being identified through the conversation Lee (2005). Lee (2005) and London (2003) suggest assessment of past performance assumes the employee will be motivated by the feedback received. However, most people fear failure and they may seek to rationalise, ignore or avoid feedback. London (2003) and Lee (2005) outline constructive feedback, which involves the employee in interpretation and planning of improvement, this is more likely to facilitate learning, provided any mental block can be overcome. Woods and West (2010) have established from employees they are dissatisfied with the quality of the performance feedback they receive and suggest good feedback relates to what employees have done well, where they need to improve and by having a conversation which enables engagement with the organisation.

These authors all highlight the significance of the conversation between manager and employee in order for effective and regular feedback to yield performance improvement and engagement Lee (2005), London (2003), Wood and West (2010). Unfortunately, as identified by Marchington and Wilkinson (2008) opportunities for providing feedback are not necessarily always recognised by managers or employees, for example the chance telephone conversation or meeting.

There is also a wide range of guidance available to managers on how to prepare and present feedback to employees: Aguinis (2011), London 2003, CIPD 2012, Guirdham 2002, Wood and West (2010). However, Redman (2006) identifies the challenges of appraising staff where he asserts that most managers are not good at conducting appraisals, Bach (2005) also suggests appraisers are adopting multiple and often conflicting roles: judgmental and developmental. Redman (2006) also reports managers do most of the talking, are not well prepared and make judgements based on intuition rather than facts. Despite these criticisms, the incidence of performance appraisals has remained relatively constant as indicated by the CIPD surveys, (2005 and 2009).

A measurement and rating system may also be used to facilitate managerial judgements and the criteria will use at least one of the following: behaviours, competences and outputs/outcomes, results or inputs (Marchington and Wilkinson, 2005) and Bratton and Gold (2012). Organisations will usually decide on a corporate basis what aspects of employees' performance they are interested in measuring and rating Marchington and Wilkinson (2005). Redman (2006, p167) refers to these as 'so-called objective based schemes', so called, being used to refer to the challenges they present from an objective measurement perspective. Regardless of how good the system appears to be there are likely to be many implementation challenges which Marchington and Wilkinson (2005) highlight as; objectivity, accuracy, validity and equity. Bratton and Gold (2012) suggest the most objective system is one based on outcomes/outputs and the CIPD PM survey (2009) suggests this is a popular approach. Bratton and Gold (2012) question whether these systems reflect 'control' or 'development'. Several factors are relevant here, the quality of the interaction between the manager and the employee and

whether or not the employee uses the results for developmental purposes (Bratton and Gold, 2012). The latter may be dependent on whether or not the employee views the criteria against which they are being measured as controllable (Pettijohn et al 2001). Where the criterion relates to inputs this usually refers to traits or attributes, for example team working (Bratton and Gold, 2012). However, this type of attribute may be difficult to define as assessors are unlikely to interpret the criteria consistently within a group or between groups (Bratton and Gold, 2012), Woods and West (2010). Similarly, and in agreement with Marchington and Wilkinson (2005), Wood and West (2010) and (Grint 1993) highlight the affect human biases are likely to have on ratings. These distortions lead to assessments that are probably not meaningful, lack objectivity, accuracy and validity and are likely to be perceived as lacking in equity (Marchington and Wilkinson 2005). Some of these issues may be overcome by adopting a normalising process, across and within groups and by using multiple assessors (Wood and West 2010). Strebler, Bevan and Robertson (2001) found that objectivity of managers was increased by the use of multisource feedback and this influenced positively on perceived fairness.

Another example that assists with improving objectivity concerns employees' job-related behaviour when assessed in terms of how individuals have applied their attitudes, aptitudes and competencies (Bratton and Gold, 2012). Wood and West (2010) suggest the manager's role changes from 'judge' to 'observer'. These assessment mechanisms consist of two types: behaviour-anchored rating scales (BARs) and Behavioural observation scales (BOSs). Quantitative research in the use of BARs and BOSs in relation to several indices: appraisal satisfaction regarding ratings, and goal setting was conducted by Tziner, Joanis and Murphy (2000). The results of this study found the use of BOSs resulted in more specific goal setting as the assessor observed rather than evaluated behaviour and because of multiple behaviours in BOSs led to reduced bias and specific feedback Tziner et al (2000) and Bratton and Gold (2012). However, Bowles and Coates (1993) commented on how the nature of work influences the degree to which objective criteria exist and in terms of achievement, there may be extraneous effects outside the control of the ratee for example, economic conditions or as Deming (1986) identified systems effects. In respect of the evaluation of

an individual's performance, Deming (1986) considers that these systems effects render any performance evaluation potentially flawed. He also considered that individual targets or objectives as damaging to teamwork because of the ranking system explained earlier. Where individual objectives are different, some may be perceived as easier to achieve by some employees thereby, triggering a sense of felt injustice amongst those given tougher goals. Objectives rarely consider the customer and where appraisal is linked to pay, this may destroy an individual's personal work based pride and creativity (Deming 1986). However, some of these criticisms may have been diminished with the introduction of the Balanced Score Card (Kaplan and Norton, 1992) and similar approaches that articulate targets against business' critical success factors. Although, there have been cases within the public and private sectors where increases in pay are determined by the achievement of targets that work to the detriment of customers, for example, the banking sector and the National Health Service.

As Armstrong (2010) highlights there is a high volume of research and guidance available on the use of rating systems in terms of making them effective and he asserts that the best improvement would be not to use them at all. Other attacks on ratings are available from Coens and Jenkins, who signal the 'unintended consequences' of rating people about their performance at work. They assert assessments of performance are usually perceived negatively unless the person concerned is at the high end of the scale. They further assert the challenges of fair assessment given the "unknowable effects of systems and random variations." The negative effect of ratings is also asserted by Lee (2005) who concludes 'ratings are feedback but feedback of the worst kind'. As the Armstrong and Baron (1998) research identified ratings were disliked by, the majority of participants even though they liked the performance review process itself.

The CIPD Performance Management survey (2005) identified that 31% of respondents used competency assessment during appraisals. The linking of appraisal with competency frameworks was a particular innovation during the 1990s (IRS 1999). Redman (2005) outlines some potential benefits. Firstly, the use of job related competences, which are considered essential to good job performance, provide a useful focus when reviewing performance.

Secondly, they can also facilitate discussion and agreement, when analysing or identifying areas for improvement. As Redman (2005) suggests a competency based approach to assessment focuses on the 'how' aspect of performance as well as the 'what'. The design of competency frameworks can be developed and designed for the organisation or it may use generic occupational standards as defined by lead bodies (Glaze 1989). Wood and West (2010) also point out the competency-based approach is useful developmentally, as well as for assessment purposes. Sparrow (1994, p9) also suggests the language used within competency frameworks can be useful when delivering feedback.

In addition to the challenges outlined, other more personal and political factors may affect the manager's rating include downgrading graduates to demonstrate they don't know everything and award high grades to those employees managers would like to leave their team and 'confirmation bias' where the manager seeks to identify traits that confirm a previous negative perception (Redman, 2006).

There are, therefore, many issues to consider and the development of objective rating systems is a challenge but perhaps even more elusive is the objective assessor. The conversation is significant for improving performance reviews whether interim, formal or day-to-day.

Learning and Development Needs

A number of studies confirm the significance of identifying training and development needs as an output from appraisals. The CIPD (2009) highlights that 75% of organisations understand that performance management includes the assessment of development needs, Redman et al 2007 research shows that 91% out of 744 organisations assess this requirement in appraisal discussions. In addition, research from Gold (2003) highlights the identification of training and development opportunities as a key purpose of appraisal. Harrison (2005) also explores the purpose of appraisal discussions that trigger personal development planning, action and review. Other perspectives are offered by Rees and Porter (2007), which suggests the ITN discussion may be in conflict with the assessment of

performance particularly, if this is tied in with performance related pay. Their contention is that employees may be reluctant to admit to their weaknesses as it may affect their pay award. Acceptance of the need for further training may be dependent on the feedback given as DeNisi and Kluger (2000) highlight the response may be emotional and detrimental to performance.

VandeWalle and Cummings (1997) identified that those people who actively seek out feedback are those likely to possess a learning orientation and are, therefore, willing to develop new skills. People who fit into this category will probably do well in organisations where there is an increasing trend for employees to be encouraged to accept responsibility for identifying and planning their own development (Gibb 2010). Chiu et al (1999) discuss the trainee-led approach to the identification of training needs that they characterise as self-development driven with a greater emphasis on personal rather than business needs. Where trainees identify their own needs these may be more accurate although their analysis may be more 'wants' rather than 'needs' as proposed by (Nowack, 1991). An example of self-assessment is provided by Pettinger (2002) who reports on how one company insists its staff undertake 30 days' training per year and with only one event having to be directly related to their work. The remainder can be anything they want to do (Pettinger, 2002). This approach suggests the company are demonstrating their commitment for learning and development that should have a positive impact on individual and ultimately organisational performance, although this link has yet to be proven (CIPD, 2009).

Training needs can arise at the organisational, job role and personal levels (Harrison, 2005). In terms of appraisal, outputs it is highly probable managers will be identifying needs at the personal level (Harrison, 2005, Stewart, 2010). In carrying out this process, managers may be comparing and assessing employees with defined occupational descriptions and standards. These may assist managers in deciding if individuals meet the required performance expectations Gibb (2010). He also highlights that gaps in performance may not always result in a training need, as a variety of causes can be attributable all with their own potential solution, (Gibb 2010, p28). However, as CIPD performance management surveys show, the

assessment of learning and development needs forms part of performance management (CIPD, 2009)

Power Dynamics in the appraisal conversation

As identified, a number of challenges exist around the quality of appraisal conversations. In addition, to the issues raised previously, the appraisal conversation usually takes place in a context where managers can exert various forms of power, due to their higher status. French and Raven (1959) identified these as 'position', 'coercive' and 'reward power'. Where these three forms of power are evident, the conversation between the manager and employee is unlikely to yield a positive encounter or outcome for the employee. However, this research is seeking to show these forms of power may be harnessed through a coaching approach.

Barlow (1989) identified that the appraisal relationship is complex, ambiguous and dynamic. Townley (1993) described the appraisal from the employee's perspective as a means of controlling behaviour. As highlighted by Boxall et al (2011) within a performance related conversation, the dynamics and interplay between the manager and the employee tend to influence its ultimate outcome. This dynamic relates to the manager's power over the employee and will be felt and observed by each party. Within the literature, there are a variety of models featuring taxonomies and theories seeking to explain social power and influence, French and Raven, (1959), Morgan (1997), Salancik and Pfeffer (1977) et al. Elias's (2008) review of the evolution of French and Raven's power taxonomy included alternative taxonomies and he concludes that many of them have been developed or influenced by French and Raven (1959). Therefore, using French and Raven's (1959) model of social power, the manager may use the full extent of this taxonomy in order to influence the employee's immediate or follow on behaviour. However, if the manager were to use all of these within the appraisal conversation for example, coercive power, the views ascribed by Townley (1994), Barlow (1989) et al may be reinforced. Whereas, Elias (2008) highlighted research by Kouzes and Posner (2002) concerning what employees want from leaders: caring attitudes and competence, therefore,

the use of personal reward power and expert power within an appraisal will be more likely to facilitate a quality conversation.

In addition, the concept of power dynamics from a transactional analysis perspective is also relevant when considering the nature of the manager and employee relationship in the appraisal context. Stewart (1989) outlined how the ego-state model of transactional analysis might manifest in a conversation about under performance with an employee. In this scenario, the manager may feel uncomfortable or stressed in which case, the manager may move to the ego-state of critical Parent. Under these circumstances, disparaging language and a harsh/reprimanding tone may be evident. Potentially, the employee may respond by shifting into Child state resulting in typical behaviours associated with childhood for example, sulking or becoming abusive (Stewart, 1989). The TA Child state may be evident during the evaluative aspect of appraisal. Evaluations of this nature usually include judgements concerning the employee's performance and, in some instances, a quantitative assessment of competencies Millward (2005). From a TA perspective, these conversations may be Adult, Child. An alternative scenario, where the manager uses transactional analysis within the domain of coaching is addressed in the next section.

Managers as coaches

This section of the literature review covers the role of managers as coaches and considers how existing empirical work relates to this study.

Manager as Coach
• Manager as coach • Organisational Context for Manager Coaches • Skills and behaviours of Manager Coaches • Coaching genres for the Manager Coach • Transactional analysis in Coaching • Evaluation

Table 2-4: Structure and overview of Manager as Coach Literature

The above will be used to structure the analysis of literature, empirical research and practitioner sources relating to the 'Manager as Coach'. These sources will include work from the following: Ellinger (1997, 2003) Beattie

(2002), Hamlin (2003), Weller (2004), Longenecker (2010), Clutterbuck, (2003), Evered and Selman (1987, 2001), Orth (1987) and practitioner based research/evidence, for example, (CIPD). The insights and evidence analysed from these authors and others provides the theoretical and practitioner background. These sources were identified from searches accessing the following database search engines, Business Source Corporate, Emerald and EBSCO using the search items, coaching in organisations, manager as coach, manager coach skills and behaviours.

Manager as coach

A lack of empirical research concerning the manager as coach has been identified by Hamlin et al (2006). However, this is not to suggest the manager as coach is a new concept. Research exists that shows it is associated with exploring the role and behaviour of managers, facilitation of employee development, dealing with poor performance (Evered and Selman, 1989), (Kraut, Pedigo, McKenna and Dunnette, 1989), Forniers (1987) and Morse and Wagner (1978). Whilst these examples provide a sound case for the manager as coach concept with their findings relating to everyday conversations between managers and employees, there is no direct application of these behaviours in the formal appraisal conversation. In fact, (Orth, Wilkinson and Benfari, 1987) suggest that coaching by the manager should not be aligned with this particular scenario and managerial responsibility.

Ellinger et al., (2003) also focuses on the changing perception of the manager as coach: from deficit reducer to that of performance enhancer. This is also evidenced by Orth et al (1987) who suggests coaching can encourage a more stress free environment through a reduction in power struggles. From a practitioner perspective The CIPD Learning and Development survey (2011) shows that 53% of managers are using coaching in order to facilitate learning and development for employees. The concept of the manager in a coaching capacity, to facilitate learning has received attention from a range of scholars including (Ellinger and Keller, 2003), (Evered and Selman, 1987, 2001). Drivers for this development include the devolvement of HR practices to line managers, (Torrington and Hall 1998,

Hyman and Cunningham 1998) and the shift in the manager role from 'controller' to coach (Tamkin P, 2008). (Evered and Selman), 2001 suggest that managers as coaches have the capacity to enable empowerment that leads to a more productive and contributing workforce.

The next section examines what aspects of an organisation's context and culture facilitate the development and implementation of managers and coaches. Firstly, figure 2.1 illustrates some of the contributory factors that underpin the development of managers as coaches. In general, as with many other areas within the manager coach literature there are very few empirical studies on which to draw, particularly in respect of appraisals within performance management.

Organisational Context for Managers as Coaches

Figure 2-1: Factors contributing to the growth of coaching.
Based on (Jarvis et al 2004)

The above diagram depicts a wide range of drivers for a coaching culture and this demonstrates the mix of cultural, environmental and contextual factors that have affected the development of coaching (Jarvis, Lane and Fillery-Travis, 2004). Some of these factors include, for example: diversity,

knowledge based organisations, and remote working support and signify the potential for a change in management style. This has been identified as a change from 'command and control' to 'facilitator and empowerer' (Evered and Selman, 1989) or as Malone (2004) articulates 'coordinate and cultivate'. The Manager as coach is seen as a means of developing a culture where employees are supported in learning for themselves through frameworks using facilitation and guidance (Whybrow and Henderson, 2007). Many of the issues and challenges presented above relate to how the world of work has changed because of changes in the external environment (Burke and Ng E, 2006) and support the further development of manager coaches more broadly within the domain of performance management.

The values associated with a coaching culture have been articulated throughout much of the coaching literature: Clutterbuck (2003), Hunt and Wintraub (2011), Megginson (2005). Hunt and Wintraub's work (2011) also identify the concept of High Performance Working with developing a coaching culture whilst also making the link that these organisations tend to outperform their competitors by viewing their workforce as a source of competitive advantage. In addition, further work by Clutterbuck and Megginson (2005) provided practitioner and academics with a model for understanding the key characteristics of a coaching culture and the steps they suggest an organisation takes in order to achieve this. The CIPD (2006) reported 80% of responding organisations were focused on developing a coaching culture. However, the same survey established several areas for improvement and most notably in connection with this research, coaching is not included in a manager's role statements or job descriptions. In addition, the impact of managers coaching has been reported on by Jarvis et al, (2004) where she refers to evidence obtained from various case studies, which highlight organisational and individual benefits. These benefits relate to; empowerment, employee engagement and commitment, improved productivity, and improved people management skills. Evered and Selman (2001) suggested the manager as coach is a new paradigm for management. Evered and Selman (2001) see the manager as coach concept as a total paradigm shift from 'control' to 'empowerment', which they suggest, positively influences contribution and production.

So far, in this section it has been implicitly assumed that HPW and coaching for employees is beneficial for the individual and the organisation. However, within the literature there are alternative perspectives on HPW and the nature of the employment relationship. The HPW view espoused above suggests a unitarist perspective when considering the employment relationship. Fox (1966 p2) defined unitarism as "a way of thinking about the organisation in terms of 'a team unified by a common purpose', with the common purpose being the success of the organisation (Lewis, Thornhill and Saunders (2003). This perspective on the employment relationship further assumes the one source of authority in organisations is with the management. A common purpose means all employees are focused on achieving the goals of the organisation, there is no requirement for third parties to ameliorate the employment relationship, which tends to mean, Trade Unions are not required and that conflict is irrational, again because all employees are working towards the same goals as management, (Lewis, Thornhill and Saunders, 2003).

As witnessed over many decades this perspective on the employment relationship is not universally representative of workplace relations for example the oil strikers earlier this year (The Daily Telegraph, 2012). Such circumstances illustrate an alternative perspective on the employment relationship, namely, pluralism, again, as defined by Fox (1966 p 2) a 'miniature democratic state composed of sectional groups with divergent interests over which government tries to maintain some kind of dynamic equilibrium'. As Lewis et al., discuss the groups within organisations with divergent interests tend to be employees, managers, shareholders and where recognised, trade unions. The unitarist environment is further illustrated by Evered and Selman when they describe the prevailing manager-employee relationship where people are seen just another resource to be deployed. Danford, Richardson, Tailby and Upchurch, (2008), effectively demonstrate this argument when they outline that those who advocate the modernisation of employee relations in the UK generally adopt a unitarist perspective when highlighting the potential of HPW. The rhetoric that Danford et al refer to includes the notion of 'mutual gain' from HPW in co-operative employee relations environments. However, this notion of HPW is achieved through job satisfaction and organisational commitment (CIPD,

2004 and the Department of Trade and Industry, 2002). Within the framework of HPW Danford, et al, suggest more 'subtle management techniques' are used to derive job satisfaction and organisational commitment in order to drive business improvement. These techniques, according to Danford et al, (2008), include; worker participation [in decision-making]; skill development and high job satisfaction. In contrast Hunt and Weintraub (2011) would suggest a change in management style, to that of coach could facilitate such improvements with Ellinger et al (2003) commenting on coaching becoming important from a developmental perspective and impacting on longevity of learning, job satisfaction, employee commitment and improving employee performance. The different perspectives discussed here suggests the concept of the manager coach may not be applicable in all organisational contexts and environments; from a HRM perspective it would be a case of best fit (Delery and Doty, 1996 p.803) rather than best practice (Pfeffer, 1984, 1988, Huselid, 1995).

However, as with all coach and coachee relationships there needs to be 'mutual trust and openness' (Ellinger et al 2010) and a willingness to be coached. Jarvis et al (2004) and Ellinger et al (2010) suggest that a reluctant coachee, in this case, an employee, will make it very difficult for the manager to operate using coaching. From the perspective of the employee, Hunt and Weintraub (2011) suggest employees who recognise that feedback from someone who has particular skills, they themselves aspire to possess, are likely to be heard. Similarly, where there is a coaching culture in place as suggested by Hunt and Wintraub (2011) and Clutterbuck (2003) this should help.

Skills and behaviours of Manager Coaches

Manager as coach competences, skills and behaviours have been developed by Glazier S, Hunt and Weintraub (2011, pp99-100), Ellinger and Bostrom (1998), McLean, Yang, Kuo, Tolbert and Larkin (2005) and Beattie (2002). McLean et al, acknowledge the lack of reliable and valid coaching scales for application in a business rather than sports context. The McLean et al, study, therefore, set out to develop and validate a coaching skill-measuring instrument for use with managers. Similarly the work developed by Glazier et

al, (2007, 2011) was also based on their work with manager coaches which is a self-assessment tool requiring managers to reflect and rate themselves against a series of statements and includes questions relating to: self awareness, promotion of learning, effective communication and listening, personal accessibility and the creation of a trusting environment. Within the literature, a plethora of prescriptive guides and materials that identify the skills and techniques can be used to deliver effective coaching (Ellinger et al 2003). It is also clear from such materials a consensus exists regarding the required skills for 'managerial coaching' (Ellinger et al 2003). These skills include: listening, analysis, interviewing, effective questioning techniques, observation, giving and receiving performance feedback, communicating and setting clear expectations and creating a supportive environment conducive to coaching Orth, et al (1987) and Mobley (1999). It could be argued these skills are necessary for all managers, as identified in Goleman (1998) whether operating in a 'command and control' paradigm or as a manager coach. When compared with the eight themes of (Ellinger 2003, Ellinger and Bostrom 1999, Ellinger, Watkins and Bostrom, 1999), these appear more helpful in understanding the behavioural requirements of the manager coach as they also indicate the context in which they might be used.

A study of line manager coaching characteristics and inhibitors by Anderson (n.d.) provides a helpful critique of the line manager as coach and highlights a gap for this study. The basis of the Anderson research is based on an existing theoretical framework whereas this study is seeking to develop new theory using a grounded theory approach. In the Anderson study the line manager as coach concept is explored more generally as a management style and from the perspective of managers. It does not address the use of the line manager as coach concept within performance appraisal conversations, nor does it take account of employee views and opinions. However, it usefully highlights some of the challenges managers, organisations may face in implementing this concept, and some of these could apply in a performance management scenario.

Coaching genres for the Manager Coach

Despite a detailed search, there is a lack of empirical research in this area. However, suggested coaching genres that potentially underpin the manager as coach are acknowledged through examples by Ellinger et al (2010). From these examples and their underpinning theory, it is possible to evaluate each genre and indicate its applicability.

Of the three presented by Ellinger et al (2010) included: solution focused coaching, behavioural coaching and cognitive behavioural coaching. It is possible to justify their applicability by manager coaches as evidenced from the examples presented. However, that is not to suggest they all have equal applicability by all managers. For example, there may be some individual characteristics, which may suggest one or other of these genres more appropriate. As Anderson (n.d.), highlighted managers may lack self-belief, which may inhibit their willingness to adopt coaching genres that draw on psychological knowledge and training. This also aligns with views from Neenan (2006) who identifies cognitive behavioural coaching is most suitable when there is a readiness for a more psychological approach by the coachee and possibly the manager, in this case. For some managers who have no previous psychological or psychotherapy training this aspect may be particularly challenging. With the professional coach, this may not be an issue. Similarly, with solution focused coaching there may also be some challenges for the manager as coach. These are explored by Grant (2006) when he explains that coaches need to be convinced about the approach they are using, be solution focused and see the coachee as: 'resourceful, creative and able to construct possible solutions' (Grant 2006 p 78). In addition, as explained by Grant (2006) coaches need to operate on multiple levels both factual and emotional and they need highly developed behavioural skills, which they can deploy with their coachees.

Behavioural coaching is associated with the GROW model (Alexander and Renshaw, 2005) and is recognised for its accessibility and logicality. It is also considered most suitable for use by managers, as it does not require a background or training in psychology or psychotherapy.

Transactional analysis (TA) in Coaching

Whilst there is no empirical evidence of managers applying the principles of transactional analysis in a performance management context the more generic evidence from research on TA suggests its application could yield benefits within these relationships Hannabuss (1988), (Stewart and Jones 1987), (Hewson and Turner 1992) and Connor and Pokora 2012). To illustrate TA's use by managers Hannabus (1988) provides an illustration of how TA can be used in an appraisal interview in order to ensure the transaction for both parties is 'I'm okay and You're okay' Berne (1968). This would be particularly relevant when evaluating performance, especially where rankings are involved. The objective from a TA perspective would be for the conversation to be Adult, Adult by using TA within coaching. This is explored by Newton and Napper (2011) where they outline how coaches utilise TA as 'useful thinking frameworks'. Hannabuss (1988) and Newton and Napper (2011) both highlight the potential value of TA within the workplace for both employees and managers with benefits accruing in terms of reduced stress, improvements when managing conflict and communications within teams. Therefore, these sources suggest a knowledge and understanding of TA could be helpful for the manager as coach.

Evaluation

This is another area, where there are a limited number of empirical research studies, which address the potential benefits of the manager as coach. Of the published evaluative studies, they claim the benefits of the manager coach impact positively on areas associated with performance improvement, at the individual level and organisation: cost savings (Ellinger 2003) and increases in sales Graham et al (1994). Within service environments, studies by Ellinger, Ellinger and Keller (2003) established a link between perceived supervisor coaching behaviours and employee job satisfaction and performance whilst Hannah (2004), identified that employee performance improved because of the supervisor's coaching intervention. This latter case from Hannah (2004) resulted in sustained performance improvement, which positively influenced customer satisfaction. A further study by Ellinger, Hamlin and Beattie (2008) which compared three sets of ineffective coaching behaviours found a high degree of commonality between them, which

focuses on management style. It was found the behaviours associated with a command and control management style were ineffective and is not associated with developing a coaching culture encouraging empowerment and involvement by employees.

Summary of literature review

Performance Management has a long tradition in the UK and elsewhere. Performance Management has developed from a system of performance appraisal to one that encompasses 'bundles' of HR practices that are focused on improving individual and organisational performance. Whilst the principles of performance management appraisal are well documented in both practitioner and empirical sources, there remains a challenge in terms of the rhetoric matching reality. The key issues affecting the effectiveness are associated with the interaction process between participants. As highlighted here, studies have identified the quality of the conversation is vitally important in ensuring that the rhetoric does match the reality for both the employee and the manager.

The Performance Management literature comprises both empirical and practitioner based materials. The generation of practitioner materials and guidance tends to be lead by the Chartered Institute of Personnel and Development (CIPD) and it is to these materials most Human Resource professionals will turn when considering developing new policies and procedures through for example, CIPD factsheets. Fundamentally the CIPD, adopt a managerialist perspective unlike empirical and academic studies. Therefore, within the practitioner literature some of the challenges of performance management and specifically appraisals are not highlighted with such clarity as in academic work. These challenges are generally not concerned with the quality of policies or procedures but are focused on the enactment of these procedures via the quality of the appraisal or performance review conversation and look through the lens of the employee as well as the manager. As was highlighted earlier it is only in more recent times research has begun to pay attention to the employee and interaction or interpersonal dimension of the total performance management process with writers such as Boxall and Purcell (2011) highlighting its significance. Many of the key challenges remain; unfairness; inconsistency and disengagement

from managers and employees alike with the appraisal system. There is, therefore, a gap in this field of performance management research and knowledge. Similarly, this review has identified a gap in the work of Purcell et al 2003 in terms of the role of the line manager in enabling discretionary behaviour and the enactment of HR policies.

Although there is some evidence of empirical research covering the manager as coach there is overall a lack of material specifically addressing the manager as coach within the context of this study. The gaps in the literature address: the skills and behaviours of the manager as coach, coaching genres used by manager coaches, supervision and evaluation of manager coaches and coaching culture developments. There is a wide range of practitioner material available but again this does not directly address the issues associated with this study. There is, therefore, a clear gap to be addressed when considering the use of coaching by managers in a performance management context and specifically during appraisal conversations.

The key findings and literature gaps are identified in the following table along with linkages to the methodology and data collection methods.

Area of literature/ Key Findings from literature	Key question/s arising from the literature	As a result of previous question the following identifies the gaps		Methodology to address gaps: Pragmatism and grounded theory	Methods of data collection: Questionnaires and Semi-structured interviews
Performance Management Continuing challenges of performance management appraisals include: • Rating and ranking concerns in terms of inaccurate scoring • Perceived unfair judgements • Managers' inability to deliver feedback effectively • Reluctant participants • Lack of perceived fairness • Potential effect of power dynamics on interaction • Emphasis on procedural aspects rather than effective discourse **Manager as Coach** • Evidence of coaching cultures in organisations • Key requirements for the development of a coaching culture • Evidence of managers using coaching to improve individual performance Lack of empirical research on the role of the manager as coach in a performance management appraisal context.	• What does Performance Management appraisal conversations mean for process participants? • What is the shared understanding of coaching by all respondents? • What are the views of employees of the manager as coach? • How can managers as coaches enable appraisal conversations? • What are the perceived benefits for employees and managers of coaching in an appraisal context?	• Coherence of understanding around existing performance management appraisal conversations. • Coherence of understanding around discretionary behaviour. • Clarification of behaviours and modes of coaching in use by managers. • Coherence around the contribution of coaching to aspects of performance management appraisal conversations from all participants.	}	• Pragmatism and grounded theory were selected for the following reasons: • Reality is made by and experienced through human activity. In this particular case the human activity is the performance related conversation. • The research is based within a business and managerial context. • The research required multiple sources of data to provide perspectives from employees, manages and HR Grounded theory was used to continually revise and construct the eventual collection of data from the outlined multiple perspectives. • It was hoped the resulting findings could be useful in academic and practitioner contexts. **A more detailed explanation regarding pragmatism and grounded theory can be found in the next chapter**	• **Questionnaire 1**: Designed to gather data regarding perceptions/experience of Performance Management and coaching by line managers. This questionnaire was based on previous data from the CIPD, Kahn (1993) and Cascio and Arguinis (2011). Respondents were employees rather than HR professionals or managers. • Semi-structured interviews with line managers and HR professionals were used to gather data covering experience, perceptions and beliefs of performance management and the value of a manager as coach approach within a performance management context. • **Questionnaire 2:** was issued to managers following analysis of interview data as a gap was identified. This concerned the behaviours managers use when conducting performance management conversations.

Table 2-5: Key findings and gaps in literature

Chapter 3: Methodology, data collection, data analysis and participants

Introduction

The objective for this chapter is to present the research design for the exploration of how the use of coaching by managers in appraisal conversations improves performance at work. These choices relate to the underpinning research philosophy, strategy and data collection methods and data analysis techniques. Alongside this, comparisons are made with other possible choices, with those selected justified as to why they are more appropriate.

A number of issues influenced the research design and these included my own experience which is an enabler but also a potential inhibitor, depending on the issue under consideration. For example, I was cognisant that my experience over many years from both a practitioner and academic perspective needed to be neutralised as much as possible during the data collection and analysis phases. If not, the ethics of the research process could be compromised.

The intention was to gather data from a variety of larger organisations with the majority in the private sector. It was believed these organisations would yield high quality data and entry to such organisations was more likely. I made this decision knowing there are a high number of HR professionals from CIPD networks who could facilitate access to possible respondents. Smaller and some medium sized organisations tend not to have a HRM function and, therefore, ease of access to respondents could be difficult. In addition, it was felt that in smaller organisations, it could be more problematical for respondents to remain anonymous through possible observations and awareness of interviews taking place. As this was a grounded theory study, the selection of participants was influenced by the recommendations of Morse (2007) who highlights the requirement for 'excellent' participants. Morse (2007) also explains the necessary characteristics include, possessing the necessary experience in order to be

capable of reflecting on the phenomena under investigation and have the necessary capabilities to contribute, for example, willingness in terms of time and intellectual capability to respond lucidly to the research environment. This was satisfied by detailing the type of participants required (see figure 3.3). The research design includes line managers, HR professionals and employees. It would have been ideal and potentially beneficial from the perspective of reliability and validity if some direct reports of participating line managers could have also participated. Unfortunately, this was considered in appropriate from an ethics perspective. It was, therefore, essential that none of the managers and employees came from the same organisations. However, the inclusion of employees in the research was considered essential in order to achieve the overall aim and to capture the employee's voice as this is so rarely 'heard' in research relating to performance management. My own vision for the research was to generate a new theory relating to the manager as coach in a performance management context. I therefore, adopted grounded theory so the theory could be discovered in the data and grounded in practice through the participation of three different sets of participants (Kenealy 2012). Therefore, the key factors that influenced the research design were the underpinning philosophy, the grounded theory strategy and the specifics of the data collection in terms of participant requirements.

Underpinning philosophy

Ontological assumptions concern the nature of reality, what exists, and from the researcher's perspective, how the world operates (Collis and Hussey 2009, Saunders et al, 2007, Easterby Smith et al, 2008). In addition, researchers will have views concerning what is acceptable knowledge, reflecting their epistemological position. Ontological and epistemological assumptions have a bearing on the researcher's philosophical framework and ultimately the research paradigm. As Easterby Smith (2008) suggest philosophical terms can be used interchangeably resulting in confusion and some of these debates are between the philosophers of natural vs social science. As this study sits within the social science dimension, I will consider the two main philosophies associated with social science and the one I will use for this study.

Positivism and Interpretivism are two examples of alternative perspectives when considering sources of reality and the generation of knowledge (Collis and Hussey, 2009 and Price, 2011). The positivist researcher assumes reality is objective, independent of the researcher and the results are described through measurable properties. Whereas, the interpretivist researcher believes reality is subjective, with multiple perspectives needing to be understood and requiring the views and opinions of participants. Inputs from an interpretivist philosophy are qualitative, subjective and humanistic. Interpretivism arises from the subjective nature of perceptions by the researcher as it is considered impossible to separate totally the researcher in terms of knowledge and experience from what already exists (Collis and Hussey, 2009). Features of Interpretivism include; gathering qualitative data, words in the form of views, opinions and feelings, all of which will sit within a particular context (Collis and Hussey 2009). Data collection within this paradigm, therefore uses; interviews, focus groups and observation. Conversely, features of research associated as mentioned by Collis and Hussey (2009) and Eriksson and Kovalinen (2008) are quantitative, objective, scientific and deductive. Therefore, data collection under positivism usually involves counting instances of phenomena or objects and these are external to the researcher.

Ideas about reality and the nature of knowledge continue to evolve and develop (Collis and Hussey, 2009). As a result, new paradigms have been proposed and pragmatism could be considered as one of these. Pragmatism is a more recent perspective than some other paradigms that have a longer standing pedigree in the natural and social sciences. Price (2011) suggests pragmatism could be claimed as a middle position, between positivism and interpetivism, arguing about its relevance for research, based within business and managerial studies. Pragmatists are concerned with the research problem, what is most effective in finding a solution, which may include selecting appropriate multiple methods rather than those that are philosophically based (Collis and Hussey, 2009). As explained by Creswell (2009) the researcher is able to draw on both quantitative and qualitative approaches for their data collection, in order to satisfy a multiple perspectives approach. Pragmatism is appropriate, as this philosophy is more concerned

with the research question than the beliefs of the researcher. As supported by Tashakkori and Teddlie (1998) who contend that pragmatism is intuitively appealing as it avoids the researcher engaging in pointless debate about what is reality and truth. Tashakkori and Teddlie (1998) adopt the view that researchers should study what they see is of interest and in ways they consider applicable even if this results in mixing qualitative and quantitative approaches. They also contend that results are used in ways that can bring about positive consequences. Pragmatism has been associated with abduction (Pierce, 1958), and applies where there is no theory in use or where explanatory insights are sought. Consequently, in this study's case, induction is appropriate, as theory will be developed using qualitative data gathering and analysis (Price, 2011). Induction in relation to grounded theory is also endorsed for its appropriateness by Saunders et al (2005). In this study, theory is being developed iteratively and inductively from data collection and subsequent analysis using grounded theory approaches. In terms of this study, I consider it is important to generate knowledge and understanding that can be useful within the HR and coaching profession.

This study is concerned with understanding the behaviours of managers in appraisal or performance management conversations, how they perceive these conversations, their actions and opinions. I do not believe an objective and quantitative approach is likely to provide the data needed to interpret these behaviours, actions and values. Neither do I believe that an interpretive study will provide sufficient data to be able to generate theory that can contribute to potential changes in policy, procedures and practice. Therefore, the generation of knowledge and consideration of reality for this study comes from a pragmatic perspective using an inductive approach.

Table 3.1 summarises the paradigms discussed and the methodological and methods choices

Philosophical assumption	Positivism	Pragmatism for this study	Interpretivism
Ontology	Reality is objective and there is an observable reality in the social world	Reality is based on the research context and through active participation in processes	Reality is subjective and socially constructed.
Epistemology	The researcher is independent from the research scenario.	Knowledge can be derived from multiple perspectives.	Knowledge is derived from interactions with those being researched.
Methodological	Deductive process Context free Investigates cause and effect Generalisations lead to predictions and reliability are key	Abduction and induction. Both qualitative and quantitative approaches may be used for data collection. Validity and reliability are possible but dependent on the actual methods deployed.	Inductive process Context specific research Themes are developed for understanding Findings are verified as accurate and reliable.
Methods	Questionnaires Structured interviews Observations	Semi-structured interviews. Focus groups Questionnaires Structured interviews	Semi-structured interviews. Focus groups Critical incident technique Observation Participation

Table 3-1: Paradigms and methodological choices
Adapted from Collis and Hussey (2009), Easterby Smith et al (2008), Bryant (2002) and Strauss (1987)

A grounded theory strategy

The relationship between pragmatism and grounded theory is fully explored by Bryant (2002), Charmaz (2006) and Strauss and Corbin (1998). Bryant (2002) contends the pragmatist position in knowledge creation is through theories and concepts that are best seen as tools. These tools are evaluated for particular tasks and applications. Bryant (2009) highlights how the output from grounded theory results in theories and concepts that inform practices, procedures and policies. As Strauss (1987) outlined the role of people in research is to be 'active agents' and this is my intention for my participants. My research will emulate the approach from Bryant (2002), Charmaz (2006) and Strauss (1987), using grounded theory principles resulting in new knowledge concerning the effect of coaching on performance management practices, procedures and policies. Whilst Bryant (2002) has defended grounded theory from the pragmatists' paradigm and Charmaz (2006) from a constructivist perspective, both suggest flexibility when using the tools and techniques associated with grounded theory. In fact, Charmaz (2006, p10)

proposes researchers should 'build on pragmatist underpinnings and advance interpretive analysis and acknowledge such constructions'. My defence of the research strategy and its relationship with pragmatism is now examined.

Grounded theory is based on a principle of "the discovery of theory from data – systematically obtained and analysed in social research (Glaser and Strauss, 1967, p1). Grounded theory is the work of Glaser and Strauss (1967, Glaser, 1978, Strauss, 1987). Comprehensive histories of grounded theory are documented in detail elsewhere (Locke 2001, Myers 2009, and Cameron and Price, 2011). Within these histories, they all document the development of grounded theory and the professional separation of these authors and their differing developmental paths from 1992 onwards. I will concentrate here on grounded theory's relevance to this study, which is based on the procedures advocated by Strauss and Corbin (1998) and adaptations from Charmaz (2006). Importantly, one clear distinction between the grounded theory researcher and those following a positivist approach is the lack of hypothses for testing theory. In grounded theory, the concepts and theory should emerge through analysis of the data (Myers 2009). Myers (2009) contends the researcher should not have any preconceived theoretical ideas, this could suggest I should not conduct a literature review. However, the guidance from the originators of grounded theory, Glaser and Strauss (1967), Strauss and Corbin (2008) did not recommend this but did emphasize not allowing any pre-knowledge to constrain or stifle (Strauss and Corbin, 1998). It is, therefore, important I maintain an open mind as far as possible regarding the research process and interpretation of findings (Myers 2009). In grounded theory, the start point for the research process should focus on the context of the issue or problem rather than current literature (Glaser and Strauss, 1967). However, Price (2011) and McCallin (2003) rightly identify how this might affect the novice researcher by creating tension as they approach their task feeling unprepared. Similarly, in many instances researchers are required to produce a literature review, myself included, it is almost impossible that researchers have a very open mind owing to tacit knowledge and theory (Price 2011). As an example, I have worked as a HR and line manager for approximately 20 years and been involved with performance management in each capacity so I have a theoretical and

practical knowledge from both perspectives. As the researcher, I suggest it is actually quite challenging to adopt a very neutral stance and recognise I need to be cognisant of this throughout the investigation and analysis phases. Table 3.2 examines the key features of grounded theory as articulated by Charmaz (2006 p5).

Feature of Grounded Theory	Potential Application in this study
• Simultaneous involvement in data collection and analysis	Stage 1: Questionnaire to employees ➜ Data analysis Stage 2: Interviews with HR professionals ➜ Data analysis Stage 3: Interviews with line managers➜ Data analysis
• Constructing analytic codes and categories from data, not from preconceived logically deduced hypotheses.	Example only: **Stage 1**: Codes may be associated with employees' views of managers as coaches.
• Using the constant comparative method, which involves making comparisons during each stage of the analysis	Comparing each stage of the data collection with the analysis and then repeating each time more data are gathered.
• Advancing theory development during each step of data collection and analysis	Identifying from analysis preliminary concepts for theory development that could influence policy, procedures or practice.
• Memo writing to elaborate categories, specify their properties, define relationships between categories and identify gaps	Writing memos to collate ideas and concepts as the research process proceeds. Identifying which concepts contribute to new knowledge and theory.
• Sampling aimed toward theory construction, not for population representativeness	Small samples used at each stage as synonymous with grounded theory studies.

Table 3-2: Components of Grounded Theory and this study's approach.
Adapted from Charmaz (2006 p5)

Although this is based on the work of Charmaz (2006) in the 'application' column my stance is pragmatist as I am more interested in generating theory rather than an in depth analysis of participants contributions' resulting in the generation of themes (Lyons and Coyle, 2007). As illustrated, grounded theory is a systematic method of conducting research that begins with an inductive approach and involves the researcher in engaging with simultaneous data collection and analysis (Charmaz 2010). These processes of data collection enable the researcher to start with one group of participants and analyse the data before moving on to the next group to study.

As explained by Glaser and Strauss, (2006 p23), in discovering theory, one generates conceptual categories or their properties from evidence, then the evidence from which the category emerged is used to illustrate the concept. In this study, it is hoped a model can be developed depicting the use of coaching in performance management conversations. This model will be underpinned by theory, which develops during the research. This requires data in the form of perceptions and views from participants involved in performance management practices in order to provide evidence to illustrate concepts

Although grounded theory was originally developed for use in a medical environment (Locke, 2001) its suitability for application in management and organisational studies has been explored by a number of authors, Locke (2001), and Myers (2009). Both of these authors outline its appropriateness on the basis of the grounded theory style working well when trying to capture context and organisational processes reflecting interactions and actions, and from a pragmatist perspective, 'understanding social life in the making' (Locke, 2001, p 42). These aforementioned features are evident in this study when considering behaviours during conversations between manager and employee about performance.

As with almost any theory, there are limitations within grounded theory, for example, Myers (2009). His argument concerns the capabilities of less experienced researchers ability to maintain a holistic focus during all stages of the coding process in order to produce concepts that are large enough to generate substantial theory. He suggests if researchers cannot rise above the detail, their outputs are likely to be 'lower level theories' (Myers, 2009, p112). In the business and management disciplines, he identifies the tendency for some researchers to use grounded theory techniques only, for example, for coding, but not its entire suite of techniques and phases (Myers, 2009). Grounded theory has been identified by Price (2011) as a time consuming methodology, which requires a significant degree of flexibility in terms of samples, data collection and analysis. From a business perspective, Price (2011) suggests that recommendations, which emanate from a grounded theory study, which are based on qualitative data, may not be as readily accepted owing to a lack of quantification to justify findings.

There is of course a range of other methodologies that could have been used for this study and these are now examined.

Action Research is a methodology that has been defined by Shani and Pasmore (1985) and is situated in a particular organisation. This approach according to Shani and Pasmore (1985 p439) uses an 'emergent inquiry' process in order to integrate new knowledge with existing organisational knowledge so that organisational problems can be resolved. Action research uses a collaborative approach between the researcher/s and the organisation with research taking place at the same time as action. Therefore, for example, in an organisational change scenario the action researcher would be gathering data on an iterative basis, analysing the data with organisational representatives and then jointly planning further actions. Whilst this is an interesting methodology it was considered not suitable for this study as it needs to be based in an organisation and is more concerned with solving problems than developing theory.

Case study research is synonymous with the work of Yin (2009, p2) who suggests case study research is applicable when the research question contains 'how' or 'why', Yin (2009, p2), and requires multiple sources of data leading to triangulation of results. This approach is not suitable for this study as data collection is across numerous organisations whereas case study research takes place in one or possibly two organisations (Collis and Hussey,).

Ethnography is a methodology that may have been suitable if the data collection had involved observations of managers conducting appraisal conversations. If this were the case, these observations would form the basis of the research findings. It is extremely unlikely that I would have been able to gain access to such conversations, or have been able to devote the time required within the organisation for the necessary relationships and trust to develop, whereby participants would be comfortable with a third party in the appraisal.

I consider both pragmatism and grounded theory are, therefore, appropriate for this study as they enable the researcher to study processes in a live environment. Grounded theory provides a systematic approach for rich data collection, involving constant comparison, and analysis, which supports the creation of an emergent and new theoretical model, which is grounded in participants' real life experience.

Participants and sampling

For the initial round of data collection, purposive sampling was used as a non-probability sampling technique. This allows judgement to be the basis by which participants are selected (Saunders, 2012). The areas of judgement concerned the size of the organisation for the selection of participants. Each management or HR professional needed to have experience of performance management and coaching. There was no deliberate attempt to recruit line managers from organisations where their performance management system was also linked to reward or where the appraisal was focused on development rather than performance or vice versa. I considered that most organisations today address both aspects when appraising staff and this factor reflects my own experience from large blue chip organisations and the public sector. These specific characteristics or requirements for the participating organisations are defined by Patton (2002) as maximum variation sampling within a purposive framework. The impact and implications of qualitative research approaches on reliability, validity and generalisability are discussed later in this chapter. The flow chart below illustrates the factors that influenced the selection of each sample.
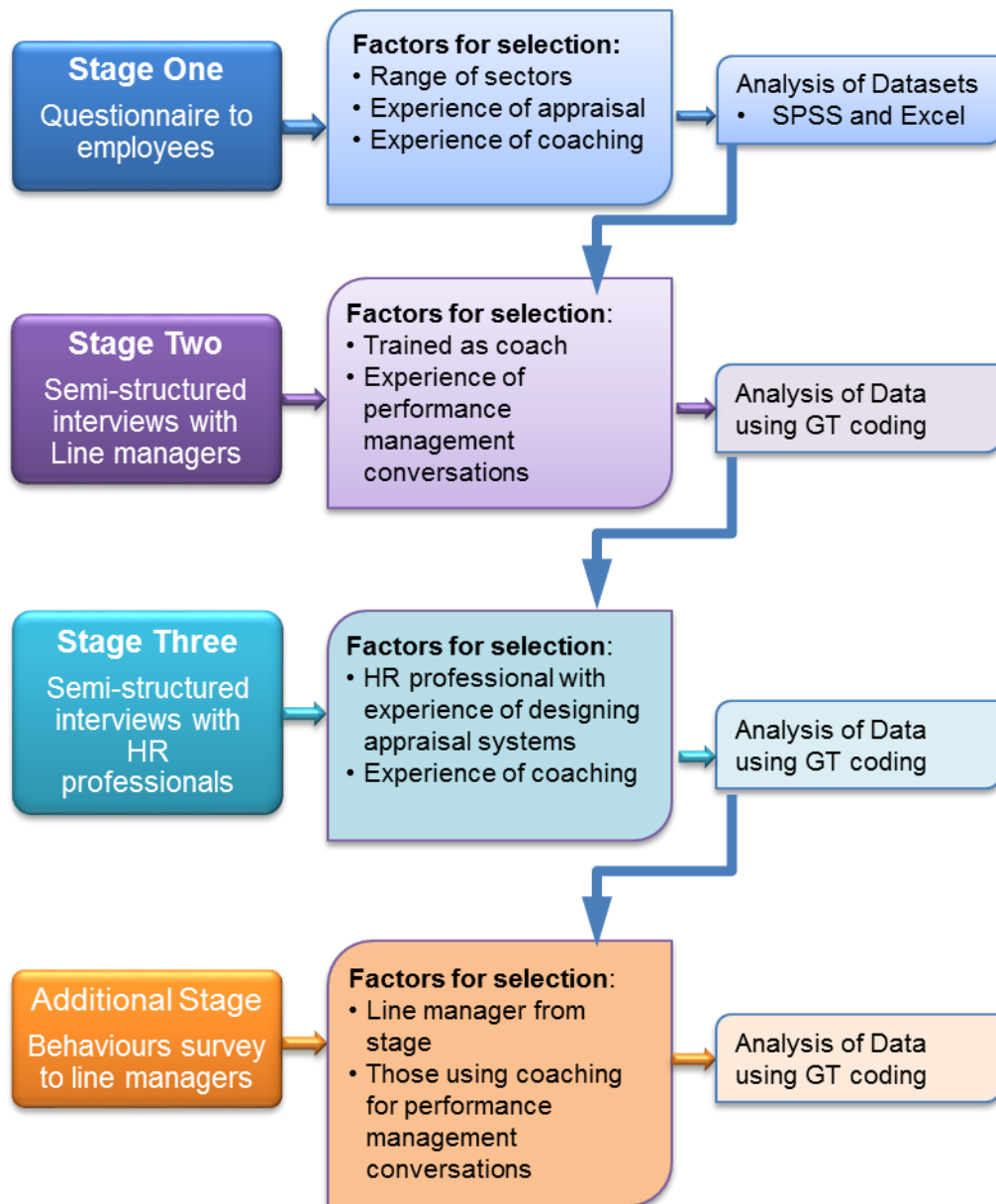
Figure 3-1: Research Design flow chart

In line with grounded theory principles, stages 2 to 4 samples were based on theoretical sampling. After each stage, data analysis took place, in accordance with the "descriptive needs of the emerging concepts and theory" (Morse, 2007, p.235).

Following the principles of grounded theory, the participants for this study were involved at different stages that are shown below.

1. Individual employees who are employed in a variety of public and private sector organisations who have experience of appraisal and/or coaching were invited to complete a questionnaire. Some initial analysis took place that led to the development of interview questions for stage two.

2. Line managers, who are also trained coaches or have been coached, were interviewed using a semi-structured approach. Following on from further analysis, another set of semi-structured questions were developed for use with HR professionals.

3. The third set of questions was used with HR professionals who have experience of coaching and/or performance management. Ideally, these participants will have been involved in designing performance management systems so they understand some of the issues faced by users.

4. Stage 4 occurred because some gaps were identified in the data collected concerning manager as coach behaviours. This comprised a further questionnaire, issued to a sample of the participating line managers in stage two. Its purpose was to investigate further, the behaviours associated with the manager as coach.

I was confident these cohorts would provide the necessary richness of data on which to base the development of a theoretical model. However, I was particularly interested in gaining the views of employees, as they are rarely asked to participate in this type of research, and I was interested in gaining data from multiple participants in order to gain a more rounded data set.

Table 3.3 illustrates the type of organisations, the range of participants and the style of performance management used in these organisations.

Variable / Participants	No.	Gender		Sector						Years of experience				Appraisal system type			Type of data
		Female	Male	Education	Information Technology	Manufacturing	Public sector	Retail	Service Industry	1 to 5	5 to 10	10 to 20	> 20	Development & performance	Linked to Reward	360°	Quantitative vs Qualitative
Questionnaire to employees	49	36	13	13	4	7	13	1	11	3	9	13	24	n/a	n/a	n/a	Quantitative survey
Line Managers M1 to M12	11	2	9	1	5	0	2	4	0	0	0	12	0	11	1	1	Qualitative interviews
HR Managers HR1 to HR5	5	3	2	0	2	0	2	1	1	0	0	5	0	5	n/a	n/a	Qualitative interviews
Supplementary Questionnaire	7	1	6	0	2	2	0	4	0	0	0	5	5	n/a	n/a	n/a	Qualitative survey

Table 3-3: Summary of Participant demographics

The line managers who were interviewed all had direct managerial responsibility with experience of managing teams, appraising staff and being appraised. No limit was established on their management experience or on their technical discipline. They all have experience of coaching as, coach and coachee. Table 3.3 identifies the number of direct reports, gender and which sector they were working in.

The analysis suggested the next set of participants should be HR professionals in order to validate some of the contributions from line managers. The HR participants also have experience of being appraised and importantly have designed and implemented appraisal systems and/or received or delivered coaching. These participants also had experience of appraisal systems and coaching.

The employee participants were initially selected purposively and then the line managers and HR professionals theoretically based on a belief they have a valuable contribution to make to the research (Lyons and Coyle, 2007). These two cohorts of interviewees were from five different organisations spread across the public and private sector. The participant managers did not "line manage" the participating employees who completed the questionnaire. In some instances where managers worked in the same organisation, they may have known who was being interviewed through normal business contacts. The interviews were facilitated by the HR manager. Therefore, some of the HR managers did know the participants from their own organisation. In some other cases, I interviewed line managers from organisations but not the HR manager. I did not have any pre-knowledge of the participants before the interviews. The HR managers are probably members of the same professional institute but again they were not known to me before the interviews.

As the data analysis at stage 3 identified a gap in the data collection, I developed an additional questionnaire, which was issued to some of the participating managers asking them to evaluate their use of manager coach behaviours. This demonstrates the flexibility of the methodology and constant comparison, which is a key feature of grounded theory.

Data Collection

The data collection includes a questionnaire to employees, which focuses on their experience of performance management and coaching in organisations. Secondly, two separate sets of interviews were conducted. Line managers were interviewed to gather data on their experience of conducting performance management/appraisals and coaching within their roles as managers. Human resource (HR) professionals were also interviewed, after the line managers, to understand their experiences of designing and introducing performance management systems and coaching. In this study, the key participants are the appraisees and appraisers, as they will instigate any improvements to the appraisal conversation. Therefore, the focus on appraisers and appraisees is considered vital to the study's success, with inputs from the HR function provided for its organisational and procedural perspective.

Data collection techniques

As indicated above the data collection methods included two questionnaires and two sets of different semi-structured interviews one with line managers and one with HR managers.

Questionnaire for completion by employee respondents

The theoretical basis of the questionnaire's design is explored below. The areas of investigation are:

- o Employees' experience of an appraisal process
- o Which Industrial sector they work in
- o Gender
- o The value of the appraisal discussion in terms of performance, motivation, commitment to change, relationship building and value adding
- o Participants views on the value of a coaching approach to appraisal conversations

In addition, concepts and variables are also explored in the questionnaire that builds on previous surveys used by the CIPD (2009) from their Performance Management in Action research. As with most CIPD research,

this adopts a managerialist stance and approach. My adaptation of this survey is to focus its attention on the perspective of the employee who is the recipient of the performance management process rather than a manager who appraises others. This survey explores three concepts associated with performance management. Firstly, its benefits, then achievements and lastly what is included in performance management.

The concepts being measured here are associated with the perceptions of coaching in performance management. These relate to the following elements of coaching as developed by (Kahn 1993):

Inquiry – does the manager make enquiries with the employee that relate to their emotional, physical and cognitive needs and does the manager probe the employee's experiences, thoughts and feelings. The proposition here is that if a manager does attend to these concepts, then individual performance is more likely to improve.

Attention - Actively attending to the employee's experiences, ideas and self-expressions: show comprehension with verbal and nonverbal gestures.

Empathy – putting oneself in the employee's place and identifying with the employee's experience.

Support – offer information, feedback and appropriate insights in order to develop the employee and improve performance

Thirdly, Aguinis, 2009, argues the following nine characteristics should be present within a performance management system.

- Congruence with strategy
- Thoroughness
- Practicality
- Meaningfulness
- Specificity
- Differentiation
- Reliability and validity
- Inclusiveness
- Fairness and acceptability

The questionnaires were designed and piloted with individuals who met the participant recruitment specification for the intended target population. These employees were those who had experience of appraisal and ideally coaching. The questionnaire was piloted with 10 individuals in order to test the accuracy of the questions and check for any of the following: bias, lack of clarity, and relevance (Foddy, 1993). As a result, many of the questions were changed in order to improve their clarity and to yield a more useful response.

The questionnaire was then published and distributed through MySurvey to 75 professional contacts. It achieved a response rate of 65%. Participating employees were not known each other. They worked in different organisations. The purpose of the questionnaire was twofold, firstly to understand what is happening in performance management discussions between managers and employees, how they perceive their respective roles, their expectations of these interactions and how these encounters might be improved. Secondly, the questionnaires collect data concerning respondents' experiences of coaching. The questionnaire specifically focuses on coaching in relation to their performance, what aspects of the coaching experience enable them to improve individual skills, behaviour and overall performance.

Even though the questionnaire was piloted on more than one occasion amongst a group of business professionals and their feedback was used to make multiple changes, at least one of the MySurvey respondents challenged the wording of one question. However, one spoilt question could not significantly change the overall results.

Semi-structured Interviews

Within qualitative research, the key approaches for gathering primary data involve various types of interview and different forms of participant observation. For this study, the use of participant observation, whilst very appealing, was not considered feasible owing to non-approval from various stakeholders. Interviews within grounded theory research are recommended

by Kenealy (2007), to be unstructured to obtain comprehensive expressions of experiences in the research context. In addition, Bowers (1988) suggests structured interviewing in a grounded theory study is inappropriate. However, Rubin and Rubin (1995) consider unstructured and semi-structured are from the same family but adopt a different approach. These differences require the interviewer to gather specific information and, therefore, to have a set of focused questions. The use of focused questions is synonymous with grounded theory (Rubin and Rubin, 1995). On reflection, my decision to use a semi structured approach was also influenced by some anxiousness to ensure I was in a position to gather sufficient data successfully, based on having only one opportunity for each interview. I therefore, chose to use a semi-structured approach and believe the conversations within these interviews allowed people full expression of their experiences and perceptions. I did not find the semi-structured approach constraining. It allowed me some flexibility in terms of probing, clarifying and exploring subjects with each interviewee, as I felt necessary. This is supported by Rose (1994) and Fielding (1994) who also highlight that flexibility in question sequencing is also possible, whilst remaining congruent with the principles of grounded theory.

Similarly, I was also interested in Silverman's (2010) descriptions of interview types: 'positivist', where the interviewer is interested in facts, 'emotionalist' for participants' lived experiences and 'constructionist', based on the meanings derived from interviewer and interviewee interactions. Both positivist and emotionalist questions were selected for this study's interviews. The questions focused on managers' experiences of appraisal conversations and the way in which these conversations are conducted. Interviewees were also asked to reflect on their own experiences of appraisal conversations.

In addition, the semi-structured interviews were selected as the most appropriate data gathering technique for gathering qualitative data, as I was interested in the opinions and views of participants. I also wanted to probe initial responses. This approach allowed the questions to be comprehensive, designed systematically and delivered through a conversational and relatively informal approach (Erikkson and Kovailan, 2008).

Semi-structured Interviews were conducted either via the telephone or face to face and were audio recorded. Where interviews were conducted by telephone participants were comfortable in responding in this way as many of them work in organisations where meetings via internet based communication platforms are becoming the norm. Six of the line managers and two of the HR manager interviews were conducted using telephone interviewing. This method was used for practical purposes, namely, the interviewer and participants' distance and availability. It was also felt telephone interviewing could also overcome any lack of willingness and ability to make time for meeting face-to-face (King and Horrocks, 2010). It was also more convenient for the interviewer, as it avoided travelling significant distances and incurring travel costs for face-to-face interviews. It was also considered relevant that participants may be more open in their answers and disclose their personal stories because they sense more anonymity (King and Horrocks, 2010).

The interview questions were piloted on representatives from the targeted participants to establish the likelihood they would yield the quality data I required and to consider them from the interviewee's perspective: in terms of clarity, ambiguity, whether the question was leading and whether they might cause me any difficulties (Foddy, 1993). Initial questions were planned and then further probes were asked in order to clarify what had been said, to ensure there was no ambiguity, to explore further the participant's point of view and to obtain a more in-depth response (King and Horrocks, 2010). In terms of the telephone interviewing it was felt participants would be more open and honest in this situation as none of them know me and have nothing to gain from keeping their views to themselves. In comparing these methods, the outputs suggest the outputs provided were equally valuable. Neither approach appeared to inhibit interviewees. Although there is a strong case for face to face interviewing and generally this is considered more effective, in this instance the telephone interviewing has proven to be as effective as those that were conducted face to face. The main disadvantage with using the telephone is my inability to observe behaviour and achieve eye contact with the respondent.

The semi-structured interviews started with the 11 line managers who had completed an in-house coaching course. In most organisations, this would normally be at post-graduate standard. Such training ensured they would all have a similar understanding of coaching. Following a grounded analysis of this data, it was anticipated that data collection would continue with further semi-structured interviews with five HR professionals who have experience of designing and implementing appraisal processes. In line with grounded theory principles, the samples referred to above are not dependent on statistical representation. Morse (1994) identifies three principles that are essential for success with qualitative research, excellent research skills, excellent participants in order to obtain excellent data and targeted sampling techniques. Therefore, although from a quantitative perspective the sample sizes proposed here would be considered too small but for a qualitative study, these samples were sufficient provided the Morse principles were followed.

The organisation of the interviews included each participant receiving by email details of the research via the participant information sheet, (Appendix 5) confirmation of date and timing, confirmation of anonymity and confidentiality, confirmation that the interview would be recorded and a statement acknowledging their freedom to cancel or defer. It was felt these factors were necessary in order to allay any pre-interview issues or concerns. As King and Horrocks (2010) point out the style of communication used over the telephone tends to be different to that used when meeting face to face. They refer to the task focused nature of qualitative interviewing in comparison with everyday face-to-face communication. One of the key differences is the lack of visual cues from the interviewee, which in face-to-face interviews the interviewer may perceive and then provide a suitable response. Bruce (1995) explains that much of the richness and nuance can be lost because of the lack of visual cues. This suggests the interviewer remains task focused rather than demonstrating awareness for the needs of the interviewee. It is, therefore, critical the interviewer listens intently and is able to detect changes in tone and voice modulation that might indicate the requirement for an additional question or comment.

Data Analysis Method and Process

The questionnaires were analysed from a quantitative perspective using a Microsoft Excel spreadsheet. As the sample was small (49), there was no requirement for a more rigorous statistical analysis or to use specific tests to generate probabilities. Some questions included both quantitative and qualitative elements and the qualitative comments yielded interesting data that helped to explain the statistical response. However, these also highlighted a disadvantage in comparison with interviews, as I wanted to go back and ask respondents probing questions, which was not possible.

All the interviews were transcribed from the audio recording using Microsoft Office software to facilitate the generation of open codes using Word when transcribing the audio recordings and the eventual creation of the coding table. The use of Microsoft Office software to assist data analysis for qualitative research is supported by Hahn (2008) and Creswell (2010) when analysing and examining relatively small sets of data. In addition, I felt that Microsoft Excel was appropriate because it enabled me to immerse myself in the data and produce the data analysis codes and memos associated with grounded theory. As a result, I was able to produce open, axial and selective codes and memos. If the study had comprised a much larger data set, then the use of more complex NVIVO/CAQDAS software could be essential, to cope with significantly higher volumes of data than this study produced.

Open coding enables examination, comparison and categorising of data leading to the development of concepts. Axial coding enables connections to be formulated from the aforementioned categories and selective coding enables selection of the core category leading to validation of relationships (Locke, 2007, Bryman and Bell, 2007). These categories enabled development of a theoretical model. Memo writing is a key technique within grounded theory and is used by researchers to capture their analysis and thinking of connections and comparisons, leading to the formulation of further questions and directions to pursue (Lempert, 2007).

This succinct explanation does not capture the reality of my data analysis experience. I spent many hours reading and re-reading the input received,

wondering what it all meant and how was I going to discern something useful. My experience is reflected in the literature in terms of the time consuming nature of data analysis in grounded theory and the requirement for reading the data many times before reaching a decision on each code (Price, 2009). As I read, I made memo notes and then tried to generate codes but was not convinced so started again. This continued through at least three iterations until I finally decided to start constructing the coding table, which can be found in appendix **6**.

The actual process of data analysis is shown below in figure 3.2.
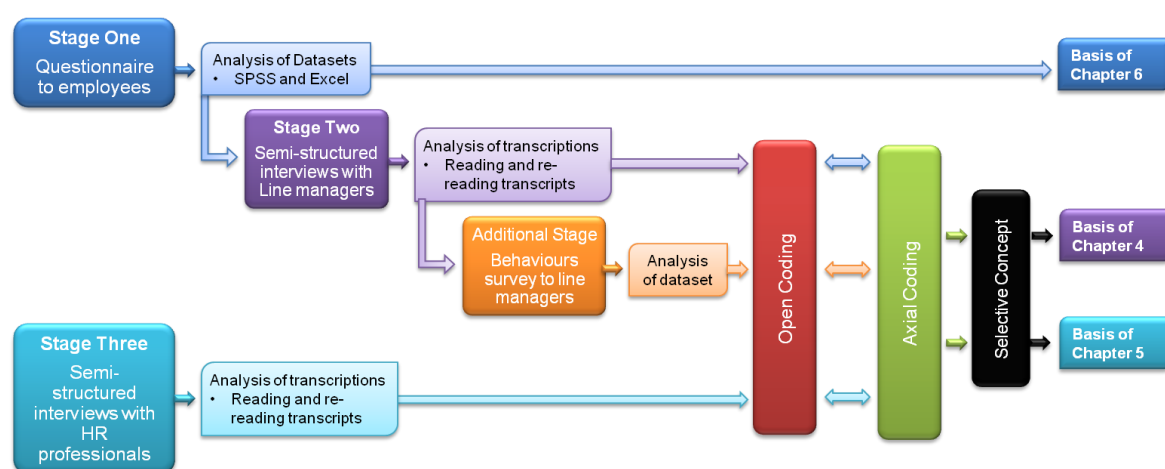
Figure 3-2: Process of data analysis

Reliability, Validity and Generalisability

The above criteria are associated with judging the quality of quantitative and positivist studies and various authors have argued against their use when judging qualitative based research, including grounded theory studies (Gasson, 2004), (Lincoln and Guba, 2000), and (Easterby-Smith, et al,2003). Similarly, Kenealy, (2007, p417) suggests using these positivist approaches with qualitative based studies including grounded theory is 'ill founded'. An alternative criterion for judging the quality of qualitative research has been proposed by Lincoln and Guba, (2000). Their proposition and that of Miles and Huberman has been adapted by Gasson (2004). A further adaptation of these criteria is shown in table 3.4 together with other concepts that are relevant for this study. Goulding (2002) endorses the application of Lincoln

and Guba's (2000) criteria with grounded theory studies for assessing the trustworthiness of grounded theory based research. In terms of pragmatism Bryant (2009, p20) suggests validity from a grounded theory perspective views concepts as tools and its value is 'not its universal validity, but its usefulness in a specific context'. Similarly, Price (2009) highlights the significance of context, the practical application and action as key features of pragmatism. From the validity and generalisability perspective this suggests if a concept or theory can work effectively in a particular context then it may be applied and actioned. Therefore, there is no suggestion the research findings from this study could be generalised to all contexts but they can be applied to similar contexts e.g. other organisations that have a similar organisational context or operating environment e.g. supermarkets. The validity and generalisability would however be restricted to these settings.

Areas of research quality	Positivist perspective	Interpretive perspective	Pragmatist and grounded theory perspective from this study
Representative findings	Objectivity: findings are free from researcher bias	Confirmability: conclusions depend on subjects and conditions of the study, rather than the researcher.	Achieved through; data collection, open, axial and selective coding based on verbatim accounts.
Repeatability	Reliability: the study findings can be replicated, independently of context, time or researcher.	Dependability/ Auditability: the study process is consistent and reasonably stable over time and between researchers.	The use of memos during and between each stage of data collection. Lincoln and Guba (2000) describe this as an audit process.
Rigour of method	Internal validity: statistically significant relationships are established.	Credibility: the research findings are credible and consistent for the people studied.	Lincoln and Guba (2000) some additional criteria applied here: Peer debriefing: discussions with supervisor and responding to challenges posed regarding assumptions. Progressive subjectivity: again memo writing enables reflexivity and ongoing development of data analysis.
Generalisability	External validity: the researcher establishes a domain in which findings are generalisable.	Transferability: how are can the findings and conclusions be transferred to other contexts and how do they help to derive useful theories?	Transferability may be possible to other locations within the same supermarket chain or possibly other supermarket chains.

Table 3-4: Quality and Rigour Related to the Stages of a Theory Building Research Life Cycle Adapted from Gasson (2004)

The first of their concepts is credibility and relates to whether or not the results are believable. In terms of credibility in relation to this study the ideal scenario could include asking the participants' to make judgements about the construction of the data collected and its subsequent analysis. In addition, in this study, data iterations occur through the process of constant comparison of the data and subsequent analysis based on the inputs from employees, line managers and HR professionals. These iterations concern data gathered from employees, line managers and HR professionals' whose inputs enable the development of a coherent and justifiable set of codes from the three data sets. All participants are contributing based on their personal perspective. This suggests there can be confidence in the results.

Ethics

As this proposed study involves HR related research, it will be influenced by the, researcher's professional body's code of professional conduct, namely the CIPD's Code of professional Conduct. This includes the following principles in respect of HR research:

- Accuracy of information
- Confidentiality of personal information
- Equal Opportunities and non-discriminatory practices
- Fair dealing in the treatment of individuals

In addition, the following from Bryman and Bell (2007) are also relevant:

- Ensuring that no harm comes to participants
- Respecting the dignity of research participants
- Ensuring a fully informed consent of research participants
- Protecting the privacy of research subjects
- Protecting the anonymity of individuals or organisations
- Avoiding deception about the nature or aims of the research
- Declaration of affiliations, funding sources and conflicts of interest
- Honesty and transparency in communicating about the research
- Avoidance of any misleading or false reporting of research findings

Many of these issues are pertinent in all research and those considered as most important in respect of the research question are explored below.

Those not explored below were dealt with extensively through the ethical procedures of the University.

Punch (2005) identified that during the identification phase it is important to identify a problem that will benefit the individuals being studied and that the whole process will be meaningful for people other than the researcher. For this particular study, the outcomes should be meaningful and helpful to those organisations who are seeking to improve the way performance management is carried out. This assumes the results can be applied in similar contexts.

Outlining the research purpose and questions is important, as they will be communicated to the participants. There should be no hidden agenda for the researcher and any sponsorship should be declared in covering letters and other relevant correspondence.

During the data collection phase, there are many ethical issues to be considered. Firstly, access to participants is important and the researcher should provide any necessary re-assurance regarding participation and provide a means for potential participants to indicate their desire not to take part. The research must not, in any way, put the participants at any type of risk and ensure any vulnerable participants are suitably protected. Generally, this may be more significant in research cases, which involve medical or other areas of vulnerability. Nevertheless, this issue is also relevant here. The purpose of this study is to identify how managers could use coaching behaviours to improve the way they carry out performance management conversations. Some potential participants may interpret this as an opportunity to criticise their manager and may, exaggerate their responses.

A consent form was utilised in order to gain participants consent and agreement to contribute in the main body of this research (Appendix 4). This form will provide assurances on how the individuals' identity will be confidential in the first instance and will remain so as the research progresses.

The form may cover all or some of the following, taken from Sarantakos, 2005.

Identification of the research

Indication of how participants were selected

Purpose of the research

Benefits of participating

Level and type of involvement

Any risk to the participant

Guarantee of confidentiality

Assurance that they can withdraw at any time

My name, should they wish to contact me with any questions.

This particular survey is unlikely to unearth anything that may be harmful to others either directly or indirectly. In the wider research, for this study, this issue could become more relevant during the qualitative phase when interviews are conducted.

The data analysis and interpretation phase of both quantitative and qualitative studies could also include issues that require the researcher to make good ethical decision. During this phase it will be important to maintain the anonymity of individuals, roles and other aspects that may identify a participant or any view that person may have expressed. In the qualitative phase, this will be important, as there will be a limited number of participants. Disassociating names, from responses during the coding and recording process will be important. In the qualitative phase, it will be necessary to use aliases. Once the data has been analysed it will be kept for a period 10 years as recommended by (Sieber, 1998). It is most important for researchers to report the truth and not to suppress, falsify or invent findings to steer the conclusions and recommendations in the direction that suits the researcher's own purposes. It will also be necessary to avoid using language that may be perceived as biased against particular groups.

Analysis and presentation of the research

The coding and analysis work for the qualitative interviews with line managers and HR professionals can be found in appendix 6. There are 42

open codes, which were analysed to five axial codes, which then became two selective concepts, which will form the basis of the next three chapters.

Chapter 4 considers the findings relating to performance management and specifically appraisal conversations. This chapter uses the selective concept of Essential features of effective performance management.

Chapter 5 consider the concept of the manager as coach using the selective concept of Managers as Coaches. This chapter also includes analysis of data collected in stage 4 of the research process as I identified a gap in data collection from the analysis of previously collected data concerning respondents' lack of self-awareness.

Chapter 6 provides an analysis of the questionnaire completed by employees who had experience of performance management through appraisals and knowledge of coaching and ideally experience. The results from the qualitative questions were also coded and generated a further 45 open codes, four axial codes and one selective concept. These codes can be found in appendix 7.

The data is presented in this order, to mirror the processes found in many organisations in line with grounded theory principles, it examines what already exists, that is, the organisational structures and procedures. The focus then turns to the employees who arrive in the organisation and are required to assimilate, accept and engage with the existing structures and procedures. This is expressed by Strauss and Corbin (1990, p 200) as 'analytic logic'. The chapter that presents employee data enables an evaluation of the employees' perceptions and experiences of performance management in action.

Chapter 4: Findings relating to effective performance management and specifically appraisal conversations

This chapter presents the analysis of data from the interview stages of the investigation with its major focus on one of the selective concepts derived from the open and axial coding. The first concept under consideration covers the essential features of, effective performance management. This analysis seeks to inform the second research objective, review primary and secondary sources of performance management processes. The analysis includes data from interviews with managers and HR professionals. All the managers and HR respondents are also employees and are, therefore, participants in the performance management process from multiple perspectives. Data from the employee's perspective was gathered via a questionnaire. This is analysed in a separate chapter. This analysis covers the views of HR professionals and line managers on performance management and particularly the appraisal process. Where appropriate, these views will be compared and contrasted with those in the literature and practitioner best practice.

The inputs that are reflected and analysed below are from 'real people' expressing their views and opinions about what they really think and experience about performance management (Armstrong, 2009, p .192). However, these views although given freely and without any coercion, may be influenced by factors not known to the researcher. Some of the HR professionals work in the same organisation as some of the managers. However, this is not consistent across all the respondents. It is, therefore, possible in some cases, to be able to draw some comparisons between the HR professionals' views and those of the line managers.

As the literature has highlighted the assessment of performance has become an accepted aspect of modern management (Law, 2007). The names that organisations give to these assessment systems include; performance appraisals, performance development reviews, annual reviews and probably others too.

Performance management challenges and issues

One manager from a global organisation highlighted some of the challenges of performance management when managing employees who line report to a manager who is based in the USA when the manager is based in Germany.

> M2 "Ja, the challenge to me is basically that if they really do not like what I am proposing for the complete team they have the option to go back to their management in the US and say this is too much effort and work."

He highlighted it was important for him to gain support from the US managers before establishing tasks for these employees. Although, this may seem unusual it is a relatively frequent occurrence in organisations that operate on a global basis and in matrix-based organisations; something the researcher is aware of from her personal experience. It requires significant communication and co-ordination between the various sets of managers and may result in slower decision-making. The Performance Management system in this organisation uses a variation of 360-degree feedback for all employees and the reward system is performance related. This is the only organisation in this study that makes a direct link between performance ratings and pay. However, the direct line manager does not award the salary increase. This is determined through a normalisation process that involves all the line managers within a department. This process ranks the employees within occupational grades. Reward is decided through the normalisation of employee ratings. Therefore, the individual's pay increase is directly affected by their performance. As 360 degree feedback was not part of this study, I have no way of establishing if this affected the results from people in that organisation.

Whilst another participating organisation also uses ranking on an individual basis but this is not linked to the reward system. In this organisation, performance feedback is based on a performance measurement system where the ranking goes from 1 to 5, with 1 being excellent and 5 "why are you still here" (Manager from an engineering company). This same HR

manager described how managers tend to rate individuals with mainly 1s, 2s, 3s and a few 4s but never 5. The research from Stiles (1997) identified assessment scores being 'lumped together' or used in a defensive way. Similarly Grint's (1993) work proposed a number of assessment 'distortions', in this case, 'central tendency' appears to fit with the reported organisational behaviour. However, what this HR manager also highlighted was evidence from the Company employee survey where every year the lowest scoring area is 'managing poor performance'. This suggests that individual employees are also cognisant of the need for the organisation to improve performance. It also suggests the managers appear not to have the ability, willingness or both, to deliver these messages. This same individual felt managers were shying away from holding what he termed 'bold' conversations with employees.

From the HR professionals' perspective, managers do not always possess the right level of people skills to deliver effective performance management. This view is not new and for this particular organisation is somewhat surprising given its overall earnings, for example, in 2010 £610M pre-tax profits. Where managers are not providing honest feedback, in a timely manner or during appraisals, this can lead to disengaged employees. These views concur with those expressed in the literature Redman (2006) and Bach (2005).

Performance management challenges and condemnations are not new, (Deming, 2000) when reviewing performance appraisals as part of Total Quality Management viewed them as a 'deadly disease for organisations' particularly where they are seeking to improve quality and productivity. However, the work of Deming is most often associated with a manufacturing environment, and according to him, 94% of the variance in performance arises from systems rather than employees' actions. That type of environment does not align with those of participating organisations here, as the majority of employees are not engaged in production line working. In addition, Deming's (1986) research focuses on performance management systems that linked performance evaluations with pay. Only one of the participating organisations has a similar system in place and the organisation is American owned, although this aspect was not part of this study.

However, research has also highlighted negative views of appraisals from its participants, for example (Lee, 2006, p.21) highlighted that appraisals have been said to "…inspire hatred and distrust among employees…" Likewise, appraisals have received significant criticism in terms of undermining teamwork Scholtes (1998, 2006). The reasons given, relate to the perception that where individuals in a team situation receive blame for non-attainment of goals, this leads to behaviours that result in individual achievement at the expense of teamwork, particularly where forced ranking is deployed, as explained earlier in chapter 2. However, this study suggests managers are receiving more training and as a result they are accepting their people management responsibilities more willingly and professionally. The evidence from this study suggests it is possible to overcome the criticisms of performance evaluations as articulated by Deming (1986). This view is endorsed by Harrington (1998) who acknowledges the work of Deming (1982) whilst also suggesting the critical issue lies with managers and their ineffectiveness at implementing performance management systems. In fact, Deming (1982) also recommended replacing performance appraisal systems that resulted in a 'win-lose' scenario with one that "promotes co-operation and supportive behaviour." The intention of this study is to show how coaching can be the enabler to achieve this proposition with managers and employees perceiving their appraisal conversation as a 'win-win' or in TA terms 'I'm OK, You're OK' (Berne 1967).

One HR manager explained:

HR1 *"Performance management is not something the manager does to you." "Employees are also expected to assess their own performance."*

Again, this is a marked difference from the cultural context suggested in the previously referred research, Deming, Schulster et al (1986), as their inference was "appraisal is done to you by controlling managers."

HR Managers also highlighted the longstanding view that where technical experts take on managerial responsibilities they frequently lack people skills, manifesting in a lack of feedback, managers not "getting to know" their team

members and performance expectations not always explained to new employees. This view was raised across various organisations: retail, engineering and healthcare. In retail for example, the HR manager revealed they have not considered people skills sufficiently when recruiting managers, relying instead on abilities at doing the technical task. Her quote illustrates their changing recruitment thought process:

> HR1 *"Oh, they are really good at doing that job in their own little world but can they get other people to do it to the same standard."*

In some instances it was identified there is a lack of support and guidance for junior managers even though they are handling issues at the "coal face with some challenging employees who may be late or just have not turned up". This issue reinforces previous research (e.g. Handy, 1987, Constable, and McCormick, 1987) which identified the UK's productivity gap between national economic performance and a deficit of good managers (Tamkin, 2002). Porter and Ketels (2003) also identified a weaker approach towards management development for more junior managers. As one HR manager indicated:

> HR2 *"The biggest challenge HR has is providing managers with the people skills they need in order to manage the people that report into them".*

As articulated by Ulrich (2009) HR needs to deliver value. For him HR achieves this when HR stops thinking about HR, but does think about the business and its various stakeholders. Business stakeholders tend to be employees, including managers, customers, investors and communities. HR can drive the agenda when it comes to ensuring the business does have capable managers with the people skills the business needs. Where HR does this, other business leaders will no longer feel the need to question whether they add value to the business.

HR professionals also identified some managers do not support employees in terms of their development or provide feedback on behaviours. Where organisations have begun to address these issues, progress is being made,

for example, the same HR manager (HR2) explained their approach to management development and the positive outcomes that are beginning to materialise. In this organisation, they are running a management development programme for all managers called, Active Management. It is the first time this organisation has invested in management development. Alongside this, they have a programme that looks at identifying high potential and succession planning for key leadership positions in the organisation.

Observations on provision of performance feedback

All HR professionals indicated that performance management should be an ongoing process, believing it starts from an employee's first day in the organisation. This is recommended in the literature, Marchington and Wilkinson, (2005) who explain performance management starts from the employee's induction. The respondent organisations are all working towards this approach. The on-going process includes one to one conversations between manager and employee on a regular basis where the managers are encouraged to provide feedback so that when it comes to the formal appraisal there are no surprises. Each process, therefore, includes regular one to ones and a formal performance appraisal although they may have different names e.g. performance development review.

It was also believed by the HR professionals, that performance management is not something that is done to employees rather it is a process, which requires the input and involvement of employees. This is achieved by encouraging employees to self-assess their own performance. Some organisations, through employee surveys are seeking to establish the quality of appraisal discussions as well as counting the number completed.

The establishment, monitoring and achievement of goals, objectives and key performance indicator targets were highlighted as an outcome and issue for performance management. For brevity I will use the word 'objective/s' for the remainder of this chapter. Within those participating organisations that sit in the private sector, the concept of cascading objectives was considered a key and vital component of the process. This can be particularly significant where there is concrete link with the organisation's reward system. In the

public sector, participant organisations establish objectives for individuals but their alignment with strategic objectives is weaker and generally, there is no link with reward. One of the issues affecting all participant organisations is employee buy-in to objectives and accepting ownership for achieving them. Where employees agree with the objectives, they are more likely to buy in to them and, therefore, accept ownership for achieving them. One particular manager expressed it very clearly:

M4 *"Deliverables need to be clear – real clarity is required on what's expected."*

Similarly

M2 *"In supporting the team to achieve objectives there needs to be a lot of communication, then you have to prepare them…..getting the clear understanding to them of what the benefits are. What the benefits to our customers are in order to obtain buy-in…..If you don't have buy-in then it wouldn't work out."*

In addition to understanding, ownership for the achievement of objectives is more likely where there is a positive working and appraisal environment. Line and HR managers identified the key characteristics here as encouragement, fairness and consistency. For those working in the public sector, they identified transparency as a key factor too. The more competitive environment in the private sector both internally and externally could account for its omission. It was also considered essential that regular feedback is available from the line manager and that their relationship is one of honesty and openness. These concepts may also be difficult if managers do not possess the required level of people skills. As the literature identifies this is one of the key areas managers struggle with (Armstrong 2009, Aguinis (2007), Fletcher (1993), Redman, (1993)).

Appraisal conversation insights

Managers recognise the need for preparation when conducting appraisal conversations whether these are interim or final. This is supported in both

the practitioner and academic literature e.g. (CIPD, Armstrong, Taylor, Marchington and Wilkinson 2005). Managers highlighted the importance of reviewing previous conversations around performance review and of the need to gather evidence on the achievement of objectives. There was a consensus in terms of the difference and challenge when delivering positive vs negative feedback. It was recognised by some that the words used are influenced by two factors, the individual and the circumstances. As one manager indicated, it is important to understand "how that person ticks."

M2 *"When I have to do a difficult performance message to individuals you have to think about what could be the concerns of the individual. Therefore, you should address this as well."*

M2 highlighted the importance of preparation for appraisals and felt he does more than most.

M2 *"I allow them to have an extensive list of what they have done there. I think people appreciate that…almost a kind of yearly report……4 or 5 pages to write up for each individual then people really appreciate that."*

This manager believed that spending time producing this report led to increased motivation and improved performance for the following year as he had taken the trouble to say thank you and that he appreciated their efforts. Along similar lines, some managers keep daily files where they record how individuals have performed on particular pieces of work and then use these records when preparing for the annual appraisal discussion, and when considering achievements against objectives. This evidence is then used to justify any performance measurement decisions and enables these managers, as far as possible, to avoid personal confrontations. However, in one institution managers recognise there are also instances of 'lip service' to the appraisal process resulting in practice inconsistencies.

Managers are taking their performance management roles seriously and endeavouring to provide evidence and praise to individual employees as they recognise this can motivate the individual and may result in a win-win

situation for all appraisal process stakeholders. Managers understand the need for, working with their employees, to identify individual strengths, to challenge and use questioning.

> M5 *"I also think it is about recognising people as individuals and the strengths that they bring to the team and sometimes they don't always know the strengths they have. Together, it is identifying those and really highlighting them and respecting people's individuality."*

For some managers they expressed concerns about their organisation's performance measurement system and the effect distributions of scores have on employees and their performance. This was particularly the case where distributions are calibrated across teams and there is a requirement for someone to be placed across the full range of scores. However, managers generally welcome the presence of a performance measurement system particularly in engineering or other technical environments. There are concerns too, particularly where they feel there are no real data points for measurement and there is no corporate will to develop them. This leaves managers with a system that is less objective and in some instances, evidence is difficult to identify, for example, when managing people remotely.

M2 also highlighted his approach when providing both positive and negative feedback.

> M2 *".....if they have done something not that well then you have to ask questions about what they feel about certain projects. What they are thinking about how it went. If you ask them an open question then hopefully they will come back to you and they will also feel that something didn't work out that well". "It is much easier to have this type of discussion where they indicate why something didn't work out."*

From the perspective of this manager, using open questions with employees is working effectively and demonstrating an aspect of a quality appraisal

conversation. He also recognised the need to look at a situation from the other person's perspective.

> M2 *"When I have to do a difficult performance message to individuals you have to think about what could be the concerns of the individual."*

He felt this was particularly important as he is in Germany where different employment laws apply concerning disciplinary.

Appraisal conversation challenges

Building capability is a key area of concern for many managers carrying out appraisals in the current environment. They recognise the need to sustain current levels of capability, to continually develop technical abilities, ensure team members are up to date with technology and to develop skills for tomorrow. They also identified the need for team development. All of these issues were seen as vital elements for an organisation, which is going to remain competitive within its current marketplace.

> HR2 *"We need to be more nimble and more customer centric….. there are changes in mind set required."*
>
> M2 *"I mean the people challenges are certainly things like education or training because we have to understand the need to keep them up to date technically."*

From an individual's perspective there are also concerns regarding promotion and mobility within the organisation. In some instances, this challenge was quite significant, for example, where the core employee is a professional engineer and there are few, if any, alternative or new career opportunities (M2). This is particularly the case in global organisations where specific operations are located in different areas of the globe, making it very difficult for people to move around, unless they are offered the opportunity of an overseas assignment coupled with all the challenges this presents; for example relocating the family. Managers recognise that without any

possibility of promotion the organisation is at risk of losing talent and motivation of certain individuals.

In addition, for the manager preparing for the appraisal conversation employees are also expected to complete some preparation too. It is believed this provides a positive impact on the overall success of the conversation and contributes towards employees buying into objectives that have been set. Their input may include achievements against objectives, individual rating of performance against a competency matrix, perceived learning and development needs and career aspiration discussions.

Another challenge is change which some of the managers interviewed are grappling with.

> M6 *"I would say that from a people point of view it is getting them to sort of embrace change, is being able to explain the requirements because it is not always obvious to them why we need change."*

In probing how this manager handles change with his team his response was:

> M6 *"We work together a lot………… I move my place of work to sit with them. I quite like getting a little bit into the thick of it. You get good feedback."*

This manager indicated he felt this was the best way to support his team through change.

Benefits of appraisal conversations

As to be expected a whole range of different views were expressed around the benefits. The following are some of the more interesting in terms of this research.

M6 *"… .. You establish your relationship and develop team building. It is the ability to encourage, encouragement to give feedback and to ask questions, to challenge and not feel intimidated by doing so."*

M4 *"Well, I think, to praise good performance to and to give hints where you see performance for things that have been done and could be done differently." "Positively discussing opportunities and looking at how people's skills are developing, what, more activities we could do." "What training courses we could do, what opportunities there are for rotation within the other departments and part of the team. Maybe what opportunities there are for mentorship with other people and also addressing other issues that people personally feel, either with processes or tools or people?"*

M13 *"…………… is to get the store running cost effectively and get the managers into the place where they need to be." "One of the big things we are doing at the moment ……………… is to get all the guys to think in terms of, they have all got their own little shop."*

These three comments from different managers across three sectors: retail, public sector and manufacturing/engineering highlight the differences managers perceive are the benefits from discussing individual performance. The retail manager (M13) seems to be viewing the situation in the here and now, whereas M4 is taking a longer-term perspective for example those that address career development. Perhaps these differences reflect on their individual level of management in the organisation, it may also indicate be contextual or the nature of the business. Where the business is more complex, where employees are more professionally qualified and where product has a longer product lifecycle, for example, engineering, this can result in management looking beyond the immediate horizon.

During the conversation with M4 I probed his response in relation to the word 'hints' when giving feedback. My probing focused on his view about providing feedback that could be interpreted as negative. I felt this might indicate an unwillingness to provide necessary feedback. On the contrary:

M4 *"I don't think it is ideal. I don't think it is great to say that you did a rubbish job on this. "I would prefer to say, you might want to consider, or, what do you think happened in process X, how did you think it went ………….. and hopefully leads people to see what I saw or maybe what has been said back to me."*

Further probing led this manager to conclude:

M4 "Rather than just telling somebody what to do, because ideally, if the person can reach that conclusion themselves, you can guide them."

This respondent seems to be valuing the conversation and recognising the value of this in terms of gaining the buy-in of employees to the outcome of the conversation. He is providing the required feedback using a questioning style.

In table 4.1 the nuances and differences between the participating organisations are shown. The implications of these nuances are presented in the summary to this chapter following this table. They will also be integrated with the key findings from the next chapter, which examines the concept of the manager as coach.

Managers representing organisations A to E	Private	Public	Cultural typology based on Handy (1993)	Type of PMA	Employee voice	Management perspectives: some key findings	Management development in place
A = Engineering	✓		Task culture	360 – linked to reward	Yearly Employee Surveys 360 participation	"Honesty about where they are compared with where they need to be." "I need to prepare my feedback sandwich more."	Regularly provided including training in coaching
B = Retail	✓		Task culture	Performance and Developmental Not linked to reward	Yearly Employee Surveys Participation in PM	"Regular and focused feedback leads to higher motivation." "Appraisals should be "great conversations".	As above.
C and D = Public Service		✓	Role culture	Performance and Developmental Not linked to reward	Participation in PM Representation	"What matters to me as an appraiser is: fairness, consistency and transparency."	No evidence of these managers having been trained in PM techniques.
E = Engineering	✓		Task culture	Performance and Developmental Not linked to reward	Bi-annual Employee Surveys Participation in PM and self-assessment	"Individuals promoted to management aren't necessarily those with people skills." "Some managers are not holding bold conversations with employees concerning performance."	This organisation has recently introduced training for its managerial population.

Table 4-1: Key findings and differentiations between participating managers and their organisations' approaches to PMA

There are a number of key differences between these organisations and their approaches to appraisal conversations and more broadly, performance management. In organisation A and E, the managerial comments suggest managers are concerned with the degree of honesty in feedback. Managers indicate they are concerned that employees should understand required improvements. This is achieved by ensuring the employee understands their performance rating. Secondly, these comments also suggest an awareness of the need to improve for the employee's benefit. In organisation 'A' this is vital if improvements in performance and, therefore, the employee's remuneration are to be achieved. Managers in this organisation are fully aware of the implications and consequences of performance ratings as this process is applied to all employees irrespective of hierarchical position. In a similar vein, organisation 'E' highlights the need for managers to be 'bold' with their feedback, which suggests honesty and openness to ensure employees understand the key requirements for improvement.

In organisations 'C' and 'D' where the organisational context is in the public sector, managers indicate concerns regarding equity and procedural justice. None of the private sector managers or HR professionals signalled this to be an issue. This may reflect the role of Trade Unions, the lack of focus on performance targets and perhaps in this sector, employees are more likely to raise grievances.

Thirdly, in the retail sector this organisation is already using coaching in appraisal conversations and has enthusiastically embraced this approach, which has been driven by senior management. In contrast, in organisation 'A' and 'E' managers see the benefit of improving the appraisal conversation, have received training in coaching and some are beginning to use it in performance related discussions.

Whilst I have attempted to classify the type of culture in each of the participating organisations this is based on my observations and knowledge as the study was not designed for this purpose. However, aspects of culture may influence employees' views and actions towards performance management.

Summary of chapter findings

The findings above suggest effective performance management requires input and involvement from employees and this is being achieved through an appropriate form of employee self-assessment. This is endorsed by Fletcher (2007), who explains the person with the most insight into his or her own achievements and performance is the individual. Other inputs from employees are also being sought through employee surveys.

These surveys are taking place in the private sector organisations only on an annual basis. In this respect, it was found that employee survey data is being collected with the content including variables that ask employees to assess the quality of performance related conversations. These surveys with a variable or variables relating to performance management provide good evidence on how well managers are delivering performance management and the appraisal conversation. This is being used by organisations to justify and substantiate the requirement for management training in the area of manager effectiveness when carrying out performance reviews and appraisals. Similarly, both line managers and HR professionals, identified the need for regular, honest and open feedback and indicated they believed these features are essential components of a performance management system.

All organisations operate regular reviews which are recommended from a best practice perspective and these should include documenting the conversation (CIPD (2009), ACAS (2012) and Alston and Mujtaba, 2009)). It was established that comprehensive feedback reports are being provided; particularly in more complex operating environments, for example, engineering. These reports are highly valued and used during the regular review to confirm evaluations and observations. They are also used as a summary during the annual appraisal. These provide extensive feedback to the individual and provide a bank of evidence for both parties Alston and Mujtaba (2009). Managers are also recognising the value of providing quality feedback, including evidence of good performance and areas for improvement. These findings concerning detailed reports and feedback suggest managers in some organisations are adopting a more positive approach when appraising individuals.

The key challenges managers, in the represented organisations, are grappling with concerning staff are; building and maintaining individual and team capability for today's skills and those required for the future. From the employee's perspective, managers' report that for some individuals, progression is a particular concern and they aligned this issue with restructuring and delayering activities. This has resulted in less obvious routes for progression and in some instances; these are not necessarily accessible in the UK either, owing to the organisation's global presence and specialisation in particular regions.

However, it was also found from the HR perspective that in some organisations, there is still a people skills gap in management capability although this is being addressed through a suitable learning and development solution that includes coaching. Some relatively recent research by Grant (2010) suggests trainers consider the removal of barriers to change as it can take up to six months for the benefits of on-the-job coaching to be realised. A further concern that was highlighted by HR respondents was organisations concerns' regarding retention of talent particularly where hierarchical career moves are not available or there a few opportunities for professional growth in technical environments.

Overall, the participating managers possess an appropriate level of knowledge concerning performance management and appraisal conversations in particular and in some cases, they are utilising coaching to enable to this interaction. However, in other cases opportunities for using coaching have not been realised. One particular example is where the manager knows he has people in the team who are not going to achieve a high rating in the performance measurement process and, therefore, does not believe the use of coaching in this scenario would be beneficial. Interestingly, he did not appreciate that perhaps if he had used coaching during interim reviews the low ranking may have been avoided.

There are, however, differences in views between HR professionals and managers. The participating managers were basing their answers on what they believe is their own performance. Whereas the HR professionals have a

broader line of sight across these organisations and can conduct a more comprehensive analysis and determine where practice is inconsistent, inadequate or where differences in practice occur. The HR professionals in at least two of the organisations acknowledged there are opportunities available for the organisation to improve managers' people skills and they all believed using coaching skills could improve the appraisal conversation.

The next chapter presents the interview findings in respect of the manager as coach and deployment of this concept in performance management conversations.

Chapter 5:   Using coaching in appraisal conversations

Findings relating to Managers as coaches

This chapter presents the analysis of data from the interview stages of the investigation process, with its major focus on the selective concept managers as coaches, derived from the open and axial coding. The analysis includes data from interviews with managers and HR professionals. In this chapter, the data analysis focuses on the role of the manager as coach in a performance management context, the behaviours and skills of manager coaches and the outcomes from coaching when used in an appraisal context. Where appropriate, these views will be compared and contrasted with those in the literature and practitioner best practice.

The role of the manager as coach in a performance management context

One participant manager defined coaching in a performance management context as:

> M8   *"Coaching for me is trying to get an individual to resolve a situation for themselves. Not just a short term resolution… Get them to come up with the answer ……. Rather than the other way round, me asking them to do something."*

The above suggests managers are actively engaged in using the coaching technique of questioning in order for the individual employee to identify solutions to issues or problems.

From a literature perspective, coaching has been defined by Parsloe (1988 p8) as:

> *"a process that enables learning and development to occur and thus performance to improve. The be successful a coach requires a knowledge   and understanding of process as well as the variety of styles, skills and techniques that are appropriate to the context in which the coaching takes place."*

From a HR and management perspective, the Parsloe definition reflects the views of research respondents, although participants used different language. Interestingly, none of the participants used the word learning when describing coaching or its benefits. Participant language tended to be business focused by using words such as improvement and change rather than learning or development. Of course, in order for improvement and change to occur employees need to have learnt and developed. The relationship between coaching and learning has been examined by Griffiths, K and Campbell, M (2009) whose grounded theory study demonstrated that learning occurred as a result of processes concerned with knowledge discovery, application and integration. Their research found that these processes then led to development. Throughout this chapter, I will demonstrate managers are identifying these processes in action albeit without using the language of Griffiths and Campbell. It is, therefore, in the domain of improvement and change where participants perceive coaching to be delivering positive outcomes and it is seen as making a significant contribution to employee and, therefore, business performance improvement, including its use in appraisal conversations. One HR professional suggested that coaching sessions had been:

HR1: *"invaluable at making people sit back and listen and not do all the talking. Not to be afraid of some silences. Pose some questions and then sit back and wait for the colleague (employee) to do the work, to come up with some of the answers."*

Whilst a manager commented:

M2: *"when you use coaching, then typically you get a better performance and a better work amongst the team. People work much more as a team including the manager with the team members"*

The contexts that illustrate the above comments highlight how coaching is enabling improvement across a range of business challenges currently faced by the respondent organisations. These include ensuring employees "face up to their job accountabilities" (HR Manager), improving levels of customer service, improving achievement of timescales, managing expectations, talent management and contributions towards product development and innovation.

These are summarised in the following quotes in response to a question concerning the benefits of coaching:

HR1: *"I think that it is really important to remember that we have got some great ideas and great talent out there."*

M14: *"What we do differently now is analyse what went wrong and rather than give them (the employee) the answer, right, get them to come up with what went wrong and what the solution is and what the next step is. Basically what we are doing is working out what the root cause is and from the root cause you get the next step and that is what coaching brings out".*

From these comments, I discern a coaching culture is developing in some of the respondent organisations and this was particularly evident in the retail sector. The following points align closely with Clutterbuck's (2003) recognition factors of a coaching culture or climate. The organisations are adopting an integrated approach to personal growth, team development and organisational learning. Managers and employees are engaging in honest and affirmative conversations about performance with many contributors actively seeking feedback and coaching is seen as a key responsibility of managers. It is less clear whether managers see themselves as developers of people.

M13: *"I think a lot of it [culture change] stems from the CEO. He is very much a people person and if I remember, xxxxxxxxxxxx (name of previous CEO) he would only talk to store managers". Xxxxx [current CEO] just sits down in the canteen and has a chat. Our regional manager and xxxxx [HR manager] are both signed off as Master Coaches. Several of the other regions are playing catch up."*

The HR business partner commented on employee perceptions of coaching:

HR1 *"Colleagues are definitely getting more buy-in from coaching and feeling more involved …….fairer treatment of them. "Before we were in a tell, tell, tell environment with people just sitting there waiting to be told ….."*

This comment suggests the use of coaching is enabling a change of culture with regard to, management style, with managers operating less

autocratically and encouraging employee empowerment. It could also suggest employees' increased readiness for accepting objectives and of the need to change their behaviour. Similarly from the HR manager on the outputs from appraisals:

> HR1: *"I think that the colleagues [employees] are definitely getting more buy-   in ….feeling more involved ………….. respecting the honesty and fairer treatment of themselves."*

Within the literature, the following dimensions affect the manifestation of organisational culture: rules, rituals, assumptions and espoused values Shein (1997) and Argyris (1994). These publications and others, (Ouchi, 1981), (Pascale and Athos, 1982), (Peters and Waterman, 1982) and (Deal and Kennedy, 1982) suggest a strong culture is significant in terms of employee behaviour (Buchanan and Huczynski, 2010). These factors effectively dictate how employees behave and influence their propensity for mere compliance or discretionary behaviour. Some aspects of this research suggest the use of coaching with employees is leading to discretionary behaviour, something that had not existed before the change in management style.

> M8: *"I threw an issue open to the guys and we had some great ideas coming   from them.   I threw in some challenges and what ifs, why did you do it like this etc. Had some good debate around the table and they told me what they would like. It is now March and I am getting a completely different shop delivered than I was getting back in November. They are now capable of talking about this stuff and they weren't before and also it is just a massive knock-on" [positive business effect]."*

The above quote comes from the retail sector where the concept of the manager as coach is becoming the predominant style of managing individuals. Culturally this change is being driven by the chief executive.

The following highlights some of the differences managers expressed regarding their current roles. The first quote comes from a manager in the retail organisation that has fully embraced the coaching approach to performance management:

> HR1:   *"It is cracking; it is such a different way of working."*

The following extracts, come from managers in a public sector organisation where a coaching management style and employee empowerment is not the norm.

> M6: *"You know, one of the challenges I have had is actually trying to get people to be a bit more flexible in their working patterns. I have had one to one conversations and although I haven't quite resolved the situation, we are getting there. One person in particular works set hours, not contracted but the situation has become custom and practice which is not always very flexible. However, the dialogue has been started and, therefore, any future requirements are not going to be quite so tense………."*

> M5: *"Finding enough time in my day to identify their strengths, work with them on their areas of improvement or their understanding of their processes and the job in hand and motivating them. I suppose, empowering them to feel that they can then make decisions within their own team to see tasks through."*

These four extracts suggest examples of different organisational cultures. There are two instances where there is a more open communication approach between the manager and the team and the two latter ones where the manager seems to be treading rather more carefully when managing change. Both M6 and M5 come from the public sector where some of the basic assumptions, values and beliefs may be different to those in the private sector retail environment. In addition, in the public sector the employee relations environment is collective and, therefore, perhaps more constrained, arising out of the formalities associated with a unionised work environment. What these extracts also highlight is the difference in approach to change management, where implementation can be achieved more rapidly than in the latter case, perhaps indicative of a faster pace in the private sector in comparison with the public. They also illustrate something that was explored by the Ellinger, Watkins and Bostgrom (1999) study, where they examined how different managers viewed their roles. This research concerned the distinctions managers make between the 'manager' and 'coach' aspects. Her participants highlighted their perceived distinctions in their management roles where in some instances they are required to 'tell' in which case they are wearing a management hat whilst at other times they are wearing a

coaching hat, which Ellinger's participants indicate is about "helping them grow and develop." The coaching role is, therefore, concerned with enabling the growth and development of people. The following excerpts from my research illustrate how participant organisations demonstrate some alignment with those of the Ellinger study:

> M8: *"Obviously, if it is something important and needs to be rectified immediately then that is just a direct "tell" but if it is something that I think actually I can get some additional benefit here then I'll use coaching".*

The benefit the manager is inferring here is sustainable improvements, where he needs the buy in from the employee to ensure whatever change is implemented remains in place. Similarly, another manager in this same organisation expressed the use of coaching in a performance management context rather differently:

> M2 *"If you use a coaching style of management then employees are more likely to go the extra mile for the organisation."*

Managers recognise that when they use coaching skills this enables employees to resolve problems themselves by ensuring the root cause of issues is identified. This leads to sustainable performance improvement by the individual and ultimately the business. They also acknowledge the decision to use coaching is dependent on the situation. This is particularly the case in fast-paced environments such as supermarkets when situations arise where managers need to make a quick decision. One particular example occurred during the fuel delivery strike earlier this year; where the decision not to use coaching was taken in order to avoid customer dissatisfaction. However, afterwards the manager took the opportunity to review the situation with the employee and reinforce what was required in similar circumstances by using coaching.

From this research there are contrasting and consensus opinions regarding coaching. For example, views suggested by some scholars where they highlight that managers lack the time to dedicate to coaching and they may not possess the necessary skills to adopt a coaching approach (Goleman, 2000, Hunt &Weintraub, 2002a). In some of the organisations, managers did

not highlight these factors as issues either in favour or not of coaching whilst one organisation did raise the issue of time in association with coaching. This suggests organisational context is important when implementing a coaching approach or culture. This is supported by Hunt and Weintraub (2011), CIPD (2006) and Jarvis, Lane and Fillery-Travis (2006) they identify: trust, open communication, a non-blame culture and receptiveness towards learning and development are key enablers for developing a coaching culture. Some aspects of this are demonstrated here. Managers from another organisation and sector also identified the use of coaching when appropriate. They consider coaching to be part of the manager's tool kit. They have provided a minimal amount of training in the use of coaching and have rejected the idea of a group of expert coaches in the organisation. Their preference is for coaching to be the manager's responsibility. They are also actively encouraging managers to use coaching in performance related conversations and particularly if the individual concerned needs to re-build their confidence.

> HR3 "Yes, so use your coaching skills to you know, build the confidence of the individual again. Draw out the issues and get them to think about solutions. They will then own the solution."

For this organisation one of the big challenges is that managers believe coaching takes more time than just 'telling' it is, therefore, necessary for managers' understanding to improve so they perceive the investment in coaching will deliver dividends in the future. This organisation also requires individuals to be innovative and creative and the HR professional felt that coaching supports these 2 areas as it enables thinking, and he felt coaching can add vibrancy to the culture of the organisation. This manager also believes that good coaching managers are more likely to recognise self-sufficient and competent employees. The organisational context is influencing this company's perception and propensity of using coaching resulting in the need for someone to champion this approach. The coaching approach is recognised by some managers, particularly those from HR as one, which can bring benefits for all and could enable some of the improvements the organisation is seeking. For example, innovation, sustainability, creativity and increased employee involvement.

In a different organisation, where performance scores are calibrated and ultimately ranked it was felt coaching by the individual's manager can be more difficult. This view is attributable to some employees' "paranoia" about the performance ranking process where someone has to be ranked at the bottom of the pile. In this organisation the responding manager's view was that employees are best coached by another manager as employees can be more open and honest with someone who does not possess high levels of control and power over them. It was also felt, in some instances the manager could be the cause of the problem. In this organisation, some coaching by managers is organised along the lines whereby managers will coach employees on particular skill areas for example, presentation skills. It was suggested, a manager could provide coaching to address specific performance gaps before they are in any kind of 'difficulty'. However, the manager concerned did not rule out coaching direct reports totally, but felt this decision to coach or not was dependent on the topic. Perhaps, the manager could consider using coaching in order to avoid employees reaching the "in difficulty" category. This suggests it is the manager driving the coaching agenda rather than the employee. The power and control dimension is acknowledged by Ellinger et al (1999). However, she also considers the managers from her study had moved towards an empowering style whereby they utilised enabling behaviours associated with empowerment and facilitation. In this study, some of the participant organisations had not reached this level of development.

HR2 *"So, it is a really positive thing (when talking about coaching) and I think… the way it is as I say, it is one our tools. It is one method. I think   people can get drawn in to, right, that's how I have got to be as a manager. Or I have got to be a coaching manager sort of thing. Well actually you have got to be them all, all the time."*

This view sharply contrasts with those expressed in the retail environment, where coaching is now seen as the key management style. Although, in this environment too it seemed the coaching agendas were also largely, driven by the managers.

Managers representing organisations A to E	Business imperative which is driving a coaching culture	Managerial quotation to highlight nuances in respect of Manager as Coach	Perceived benefits of coaching in each participating organisation	Organisational culture differences based on Schein (2008)
A = Engineering - Private	Leaders and managers are trained to use Situational Leadership (Hersey and Blanchard). Gaining agreement to performance management scores, as part of the 360 process Increase discretionary behaviour.	"Coaching is more specific in this organisation in terms of addressing specific issues." "By coaching people, they work more as a team and when I say a team, not only as a team at xxxx but the manager and the individual works much more as a team. "	Developing new skills Improved team working Improved relationship between employee and manager Improvements in behaviours Opportunity for employees to address performance issues with a neutral manager Discretionary behaviour Employees more prepared to go the extra mile.	**Norms:** Meritocracy **Values and Beliefs:** Customer orientation Results orientation **Basic assumptions:** Technical innovation Risk averse
B = Retail – Private	CEO and his behaviour, which is driving a cultural change Fiercely competitive market place Movement away from a 'tell' management style	"I think a lot of it [culture change] stems from the CEO. He is very much a people person and if I remember, xxxxxxxxxxxx (name of previous CEO) he would only talk to store managers". Xxxxx [current CEO] just sits down in the canteen and has a chat. Our regional manager and xxxxx [HR manager] are both signed off as Master Coaches." Coaching in this organisation is driven by the CEO.	Employees are empowered. Increased fairness of treatment Increased honesty Sustainable improvements	**Norms:** Meritocracy **Values and Beliefs:** Respect for the environment Great place to work Best for food and health **Basic assumptions:** Great quality and service

Managers representing organisations A to E	Business imperative which is driving a coaching culture	Managerial quotation to highlight nuances in respect of Manager as Coach	Perceived benefits of coaching in each participating organisation	Organisational culture differences based on Schein (2008)
C and D = Public Service	Need for increased flexibility Challenging custom and practice Cost reduction requirements Situational Leadership	"Recognising people as individuals and the strengths that they bring to the team. Sometimes they don't always know their strengths" **.** "I keep a manual file and I keep a file on every single one of my staff on my system". "I record pieces of work that I give to them, deadlines etc".	Benefits of coaching being realised but less developed than in the private sector.	**Norms:** Bureaucracy **Values and Beliefs:** Equity and fairness Honesty and trust **Values:** Safety Professionalism
E = Engineering – Private	Organisation's survival is innovation and customer focus dependent. Therefore, coaching is seen as facilitating these two aspects of sustainability.	"Coaching is supportive of innovation and creativity." "Getting the most talent from the people we have available"	Delivers improved business and individual performance. Provides for a positive impact on competitiveness and customer focus.	**Norms:** Meritocracy **Basic assumptions**: Innovation. Customer Focus **Values:** Trust Effort Honesty

Table 5-1: Key patterns and differences between participating managers in respect of Manager as Coach

Organisation 'A' and 'E' are both in engineering but operate in very different markets, one being global the other UK based. As organisational histories differ in numerous respects, including size, their HR processes are significantly different, with one being influenced by its American owner and the other relatively new in terms of its increasing sophistication. In terms of their performance management processes, one is relatively new and the other is a fully embedded 360 approach for all employees. Despite these differences, they are both engaged in developing the use of coaching within the total performance management system. Managers in these organisations recognise the potential benefits. In the public sector, the coaching journey is more recent and, therefore, less well developed, with the exception of managers who also have an HR background.

The behaviours and process of the coaching conversation

It became apparent during interviews with managers that some were lacking in self-awareness; they were unable to answer questions relating to the behaviours they use either during coaching or performance management conversations.

> *M7: "Oh, I don't know what I do, what sort of questions I ask. I think I must be on autopilot. I'll think about it more next time."*

For this reason and in line with a grounded theory methodology, I compiled and circulated a questionnaire, which asked the manager respondents to rate how frequently they use the Coaching Manager management competencies identified by Hunt and Weintraub (2011). The results are shown in table 5.2.

In addition, some respondents provided additional comments to indicate which behaviours they considered most important. Most of these comments came from individuals in the private sector organisations.

Comment	Type of Organisation	Competitive Driver
I encourage the ongoing learning and development of others	Engineering	Innovation
I give timely feedback that helps others understand their own work performance	Retail	Market Share Customer service
I view mistakes as learning opportunities when appropriate	Retail	Market Share Customer service
I use questions to help others think through an issue or a problem rather than immediately telling others what I think is the right solution	Engineering	Technological advancements
I encourage others to share new ideas regarding work, even if they are contrary to my own	Engineering	Technological advancements
I recognise the people I interact with as unique individuals who have different needs and goals.	Public sector	Public Service
I create an environment in which people want to make decisions related to their own development.	Engineering	Customer Focus Innovation
I look for competent, self-motivated candidates for open positions, particularly those who have a desire to grow with the organisation	Engineering	Customer Focus Innovation
Commitment, honesty and consistency, encouragement and openness. Trust is important, as this is hardest to re-gain if lost.	Engineering	Technological advancements

Table 5-2: Additional comments by responding manages on managers coaching behaviours and organistion desciptors

The input for the table came from different organisations and each one is on a developmental path, which includes a level of commitment towards coaching. The respondents who provided this input were also those managers who during the interview stage demonstrated a high level of commitment and belief in coaching in a performance management context. These comments suggest managers recognise the importance of using appropriate behaviours to acquire contributions from their employees, rather than adopting a purely judgemental ethos to the relationship. In addition, these comments also suggest managers appreciate the need for and value of ongoing professional development.

As explained, this questionnaire was completed by managers to determine which specific behaviours and skills they use during coaching. These results demonstrate a potential development need in terms of self-awareness and perhaps completing this survey will enable this process. Where participants have responded with 'occasional use', or rarely this suggests they should give some consideration for improvement in these areas.

Management Behaviours A summary of respondent responses:	Frequently use	Occasionally use	Rarely use	Never use
I encourage direct reports to give me honest feedback	xxx	xxxx		
I take time to reflect upon the best course of action rather than jumping to conclusions	xxx	xxxx		
I encourage others I work with to reflect on their work	xxx	xxxx		
I handle myself in a calm manner when things become hectic	xxx	xxx	x	
I encourage the on-going learning and development of others	xxxxx	xx		
I take time to develop my own skills and abilities through continuous learning	xx	xxxxxx		
I give timely feedback that helps others understand their own work performance	xxxx	xxx		
I view mistakes as learning opportunities when appropriate	xxxxx	xx		
I use questions to help others think through an issue or a problem rather than immediately telling others what I think is the right solution	xx	xxx	xx	
I encourage others to share new ideas regarding work, even if they are contrary to my own	xxxx	x		
I share information with others in a timely fashion	xx	xxxx		
I communicate my management philosophy and expectations with those around me.	xx	xxx	xx	
I impart a clear vision of what successful work performance should look like.	xxx	xxxx		
I communicate clearly to others regarding their roles and responsibilities	xxx	xxxx		
I have an open-door policy – when others need assistance they know I will set aside time to address their concerns.	xxxx	xx		
I respect the confidential nature of my discussions with others when appropriate.	xxx	xxxx		
I schedule a future time to meet with others when I am not immediately available to meet their needs.	xx	xxxxx		
I pay attention to the manner in which others are speaking as well as their words (using cues such as body language, tone of voice, etc).	xxxx	xxx	x	
I stop what I am doing and pay attention when someone is speaking.	xxxx	xx	x	
I restate others' words to ensure that I have a proper understanding of what they are trying to say.	xxxxx	xx		
I help people feel comfortable discussing issues with me by acting in a non-judgement manner.	xxxx	xxx		
I recognise the people I interact with as unique individuals who have different needs and goals.	xx	xxxx	x	
I create an environment in which people want to make decisions related to their own development.	xxx	xxxx		
I support people when they have dealings with others outside our team, when needed.	xxxxx	xx		
I look for competent, self-motivated candidates for open positions, particularly those who have a desire to grow with the organisation.	x	xxxx		
I follow through on my commitments.	xxx	xxx		

Table 5-3: Management behaviours.
Adapted from: Hunt and Weintraub (2011)

All the responses in Table 5.3 are from participants in the private sector. I decided these participants had the necessary experience to respond as they have more experience of coaching than most of the public sector participants.

In addition to Hunt and Weintraub's (2011) work, other empirical research has sought to identify the behaviours used by managers when coaching Ellinger (1997), Ellinger and Bostrom (1999), Hamlin, Beattie and Ellinger (2004). The Ellinger (1999) research identified a series of behaviours categorised as empowering and facilitating. The following highlights some comments from this study that match with the previously aforementioned studies.

Manager coaching behaviours - A Comparison of previous research with the findings from this study

Managerial coaching/facilitator learning Behaviours (Ellinger 1997) and (Ellinger and Bostrom 1999)	Evidence from this study which agrees or with these previous studies	Evidence from this study which disagrees with these previous studies
Empowering cluster: • Question framing to encourage employees to think through issues • Being a resource – removing obstacles • Transferring ownership to employees • Holding back – not providing the answers **Facilitating cluster:** • Providing feedback to employees • Soliciting feedback from employees • Working it out together – talking it through • Creating and promoting a learning environment • Setting and communicating expectations – fitting into the big picture • Stepping into other to shift perspectives • Broadening employees' perspectives – getting them to see things differently • Using analogies, scenarios and examples • Engaging others to facilitate learning	These were all evident across the sample. This is seen as vital to facilitate improvement. Some evidence. Strong evidence from the retail environment. Yes, however managers do not necessarily recognise it in this way. Strong evidence across the whole sample. Yes, evidence from both managers and employees. Some evidence.	An area for development where coaching is less embedded. Lack of evidence here. Lack of evidence here.
• Caring – support, encouragement, approachable, reassurance, commitment/involvement, empathy • Informing – sharing knowledge • Being professional – role model, standard-setting, planning and preparation • Advising – instruction, coaching, guidance, counselling • Assessing – feedback and recognition, identifying developmental needs • Thinking – reflective or prospective thinking, clarification • Empowering – delegation, trust • Developing others – developing developers • Challenging	Encouraging and supportive in respect of behaviours that enable the business. In line with business need. Planning, preparation and high standard setting across the whole sample. Across the sample most of these areas are recognised as important. Agree. Business focused. In some cases. Challenge is recognised by all as important.	From this sample, it is difficult to agree with empathy. Counselling would be the exception here. Not personal career development. Faster paced environments less so. No evidence.

Table 5-4: Manager as Coach

The coaching process for the respondent organisations includes several tools associated with coaching. Although the managers involved in this study have been trained to use the aforementioned tools they are not necessarily choosing to use them. However, the 'GROW' model is used extensively by most respondent manager. It is perceived as a logical tool and easy to use given its structured approach. Some managers, again within the retail

environment, were more knowledgeable and aware of coaching techniques and models. However, not all available techniques are highly valued and, therefore, may not be used, as illustrated below:

> M8: *"There are loads of different models and stuff that we have been through   and looked at with coaching. I would say, for me, I am not a particular fan of   models. I do use the Grow Model…………… we have looked at Myers Briggs and DeBono's Six Thinking Hats but I find it really hard to put them into practice. To me the basic Grow Model, where I can write down what I think and feel about the people helps me formulate is what I like."*

In addition to the behavioural research studies, Ellinger, Beattie and Hamblin 2010) other research has focused on identifying the skills required of managers when coaching: Rich (1998), Kenton and Moody (2001). These works include creating rapport, paying attention to content and process, keeping an open mind, paraphrasing and reflecting, observation skills, asking probing questions, identifying limiting assumptions and beliefs, giving, and receiving feedback, questioning skills and analytical skills. Some of the participants were able to discuss this aspect of their coaching and clearly understood why the skill is important. This is illustrated in the following quotes:

> M14: *"You think actually, I know the answer. That was the hardest bit for me.   I think the biggest development for me is ….. listen and try and get the right frame of question, because you know, coaching, you can easily lead without realising. Just keep probing."*

The above quote signifies the challenge managers can face when learning to coach and is reflective of the conscious vs unconscious concept of competence development (Race, 2004).

A different manager's awareness of the skills utilised suggests she is an individual with more formal knowledge of coaching skills and also a more developed understanding of what is required when providing and seeking feedback. The first comment below concerns her receiving feedback.

> M5: *"The things that if you like I look for, so for me, performance, honesty, no   surprises…… I never have a problem if somebody is unable to*

do a task, or if it is wrong or they feel that they have got too much to
deal with as long as they come and tell me."

On giving feedback, she commented:

M5: *"I believe strongly in praise…..telling individuals whether they have*
done something good and why it is good…… recognising people as
individuals and their strengths that they bring to the team and
sometimes they don't always know the strengths that they have.
Together, it is identifying those and really highlighting them and
respecting people's individuality."

In this quote, the manager acknowledges the importance of giving feedback
in a constructive manner so the individual can learn from the experience and
recognises the potential benefits of diversity. These two quotes come from
an HR manager in the public sector where you would probably expect the
manager to have a more formal knowledge of coaching skills. However,
expertise in delivering feedback was also evident from a manager in an
engineering organisation who recognised the value of delivering feedback in
an inclusive way:

M2: *"Reflecting on what has been done well and also not so well, what they*
feel about it by asking questions on the projects they have worked on.
Need to make good use of questions."

Outcomes from coaching conversations in appraisal situations

A range of responses from manager and HR participants identified the
positive impact of a coaching approach for all stakeholders: managers,
individual employees and the organisation. Respondents indicated
employees are more likely to engage in discretionary behaviour, which
ultimately leads to improved, and sustainable organisational performance.
From a manager in a global IT engineering business and one from the retail
sector:

M2, *"my impression is that when you use coaching then typically you get a*
better performance and better work from the individual and the team.
Because by coaching people, they really work much better as a team,

and when I say a team, not only as a team amongst themselves but the manager and the individual works much more as a team."

M8, "I think if I didn't [use coaching] you would be in a constant situation where you are telling people to do the same thing. You have got the whole section of people, some will naturally do what you asked and they will do it and they will do it again and again. Others for whatever reason, because it is so many different things to do and so man pressures that whatever reason people cut corners and let things slide. I think the coaching stuff really helps make it sustainable. A lot of things as well as improve people's performance in general."

Several managers provided specific examples where, because coaching had been provided, behaviours and/or a technical skill had improved for the individual and ultimately the business. For example, in the retail organisation where checkout productivity is measured by means of measuring the number of items scanned in a minute. One checkout manager was not addressing the non-achievement of the target with some operators and this was leading to checkout queues. The more senior manager, therefore, used a coaching approach with the checkout manager in order for her to identify how to resolve this problem. Through coaching, the employee identified how she could address the issue with the bottom 5 checkout operators. The actions taken resulted in the bottom 5 operators improving their scanning rates and hence no queues at their checkouts.

M14 "I said to her how you can do it differently, what you think will work…. And she came up with the 'observation' followed by the need to set a smart and measurable target. She came up with that herself."

When HR participants were asked about the benefits of coaching in appraisal conversations one responded:

HR1 "Oh, definitely. I think that the colleagues (employees) are definitely getting more buy-in from it and feel more involved … they see it as fairer treatment of themselves. I think that people are respecting the honesty not where I need to be but this is a, you know, I have been offered some support to get where I need to be."

The same manager also identified, that for some employees coaching can also highlight those employees who recognise, a particular organisation's requirements, and possibly personal values do not align with their own strengths and qualities.

> HR1 *"employees also recognise when this is not for me. I don't think I am ever going to be able to do anything differently, so perhaps I ought to think about doing something different."*

This also highlights the value of coaching as other approaches may not have delivered this realisation resulting in employees remaining 'stuck' for considerable time and ultimately may have resulted in more formal processes being enacted, for example, disciplinary.

Coaching is also perceived as contributing to innovation and creativity. As one HR manager explained:

> HR2 *"We have a big focus on innovation and creativity. I think coaching supports that because it gets people thinking and really flushes out ideas and stuff like that. So, I think it adds a lot of vibrancy and positivity to the business and the culture."*

This manager had previously highlighted some of the challenges facing the business including their move into new markets and the need to be more customers centric, requiring traditional as well as new skills and qualities. He felt there was a need for the organisation to actively consider and develop models for representing the skills for tomorrow and establishing a plan for change. The previous issue also raises the question of change and the organisation's need to be nimble in this respect. All these issues suggest innovation and creativity is required from employees and the use of coaching as a change enabler. This has been identified in the literature (Yu, 2007 and Joo, 2005) who identify coaching's role in facilitating organisational development by helping individual employees address gaps in knowledge and skills. In this respect, London (2003) highlighted the manager coach role in terms of creating opportunities for individuals to gain performance insights through guidance and inspiration in order to improve their work. The above quotations suggest this is happening across these organisations. As suggested earlier, this indicates the manager is driving the coaching agenda. It also highlights the manager is sharing power and learning to empower

employees thereby moving away from command and control form of leadership as supported by Ladyshewsky (2010).

Other comments suggest coaching facilitates a change in the relationship between manager and direct report.

> HR1 *"we are more involved with people now; we are encouraged to take a genuine interest in people. To get to know them little bit more so that we can work out what makes them tick and to get more out of them through giving them the right work."*

This particular comment suggests the relationship between the manager and the employee is recognised as important in terms of business success. However, it may also suggest the 'encouragement' is driven by business need recognising that this is how empowerment and employee involvement is achieved. The phrase 'getting more out of them' may also suggest the concept of work intensification (Kelliher and Anderson, 2000).

From the examples provided above it would seem there are benefits for organisations of developing managers as coaches within the sphere of performance management and particularly during appraisal conversations. In the organisations involved in this study, they all use a version of key performance indicators and the results of coaching may feed into these measures. Certainly, in the retail environment, checkout operator performance, is a key indicator, so any improvements derived from coaching could be identified and evaluated as successful? However, this does not suggest a return on investment (ROI) figure could be calculated or whether this is necessary. There is a growing requirement for commercial organisations to be able to identify a ROI figure from its investment in coaching (Fillery-Travis and Lane, 2007) and that research so far has struggled to provide it. This can be likened to similar debates over many years around the return on investment from training (Gibb, 2008). Some of the challenges for both areas are in being able to pin point exactly how an activity has delivered a particular piece of business improvement. Perhaps coaching, at some stage, may be more able to deliver such a figure particularly where the performance improvement can be identified as a contributor to a key performance indicators or a business driver. Certainly, in the organisations concerned, key performance indicators would be a valid

means of measuring the contribution of coaching towards performance improvement at both the individual and organisational levels.

Summary of findings

The following findings suggest the manager as coach has developed in some organisations because of a changing business environment, which includes both internal and external factors. Across the respondent organisations, a business need has developed for increased empowerment, the need for sustainable performance improvement and cultural change initiatives in some organisations.

Managers as coaches are enabling employees to improve their work performance, as the employee is more involved in developing their own solutions to business related problems. In addition, managers indicated their use of coaching enables the development of solutions that demonstrate a more creative result. These solutions are becoming embedded and sustainable. This finding provides a sharp contrast with the transfer of training, which typically does not result in sustained performance improvement (Buckley and Caple, 2008). In addition, managers also highlighted the positive use of coaching leading to improved team relationships including with the manager. Managers indicated that employees are more likely to 'go the extra mile' when they are operating as manager coaches in a performance management context. An alternative way of looking at 'going the extra mile' is to relate this to discretionary behaviour. The concept of, discretionary behaviour, is associated with the work of Purcell et al (2003, p.38) and was explained as employee behaviour that goes 'beyond contract'.

These findings also suggest the use of coaching during performance related conversations enables the development and deployment of talented individuals in the represented organisations. More broadly, as organisations continue to experience skill shortages and are actively engaged in developing specific talent retention strategies this finding suggests coaching can be a key enabler for this process. This could be achieved by the manager using the skills of coaching in order to gain the employee's

commitment to the current or future roles and to help the employee identify where their particular talents can be most effectively deployed.

Similarly, managers as coaches are enabling a change in culture in terms of management style and other aspects of culture change. In respect of changes in management style this is moving from 'command and control' to empowerment. The changes in culture also extend to perceived improved fairness by employees, more involvement and increased respect for improved honesty in the appraisal conversation. These concepts suggest a more ethical approach to performance management as expounded by Winstanley and Smith (1996)

In addition, some findings emerged that relate to the development of managers as coaches and this is now examined.

When organisations are designing Manager as Coach training, and selecting managers for such programmes, it is important the coaching tools are appropriate for the organisational context. In some instances managers indicated they were not using some of the tools they had been encouraged and trained to use. It was also found that managers' self-awareness is increasing where a coaching culture is developing resulting in them appreciating the impact their behaviour has on team members. Managers' self-awareness is increasing through the feedback they are receiving whilst undergoing training in coaching. Closely allied with this is that managers also recognise the challenge for them of developing coaching skills.

In some organisations, coaching cultures are not in place and managers deploy their coaching skills more conventionally, to develop the skills base of employees. In some cases, managers are not recognising when they could use their coaching skills to assist with employee behaviour change, for example to avoid employees receiving a low ranking in performance measurement exercises.

Managers and HR participants were all able to articulate how the use of coaching in performance management conversations is benefiting multiple stakeholders. These instances of coaching within a performance

management context may occur in regular reviews or formal appraisals. The managers from the technical and retail environments expressed enthusiasm for the changes affecting their managerial role, resulting in their development as manager coaches and a more empowering management style. Their rationale for this change is based on organisational requirements for performance improvement, as well as the benefits for other stakeholders, including individual employees. For participants from the public sector, these changes are less well developed but are recognised as necessary, given their rapidly changing operating environment.

In this and the previous chapter, I have examined data collections from an organisational and managerial perspective. These have highlighted the significance of both appraisal conversations and the manager as coach concept for these participants. The study would not be complete without the views of employees. It is only through their contributions, that organisational objectives are achieved. These views are presented in the next chapter.

Chapter 6: Data analysis of the Coaching in Performance Management questionnaire issued to employee respondents

This chapter presents the analysis of data from the questionnaire, Coaching in Performance Management (CIPM), stage of the investigation, which was issued through Smart Survey to 80 individuals who are all employees across a range of sectors. The analysis includes data from the completed surveys, which had a response rate of 61%. The objective of the questionnaire was to inform the data analysis rather than provide an analysis, which is statistically significant; hence, the sample is relatively small but is appropriate for a qualitative based study. The questionnaire is designed to cover perceptions of performance management in respondent organisations and their experience and knowledge of coaching especially within a performance management context. The report published by the CIPD (2009), Performance Management in Action was used as a basis for the first four questions and the work of Kahn (1993) and Cascio and Aguinis's (2011) influenced question 11. The questions influenced by the CIPD report provided a useful comparison. Respondents to the CIPD survey are HR professionals who complete the survey on-line through the CIPD web portal. In order to make this comparison I deliberately targeted potential respondents who were from other occupational groups and it was hoped this might identify some key differences between the views of the HR profession and non-HR employees. The questionnaire respondents have no relationship with the interviewees in chapters 4 and 5.

This analysis seeks to inform the third research objective, investigate the effect coaching has on the quality of performance management outcomes and also addresses the second objective, review secondary sources on the success of performance management processes in a range of organisations. This data investigates the issue of performance management and the perceptions of coaching from the employee's perspective. All respondents are, therefore, answering from that perspective regardless of whether or not they are also managers. Of course, this is not suggesting if they are managers, that role does not influence how they respond to this questionnaire. Where appropriate, these views will be compared and

contrasted with those presented in the previous two chapters, appropriate literature and practitioner best practice. The analysis starts with question 2 as question 1 merely asked participants if they wished to proceed and they all did.

Respondents Profile - Questions 2 – 6

In total, there were 49 respondents, 35 female and 14 male from across a spectrum of industrial and public sector organisations.

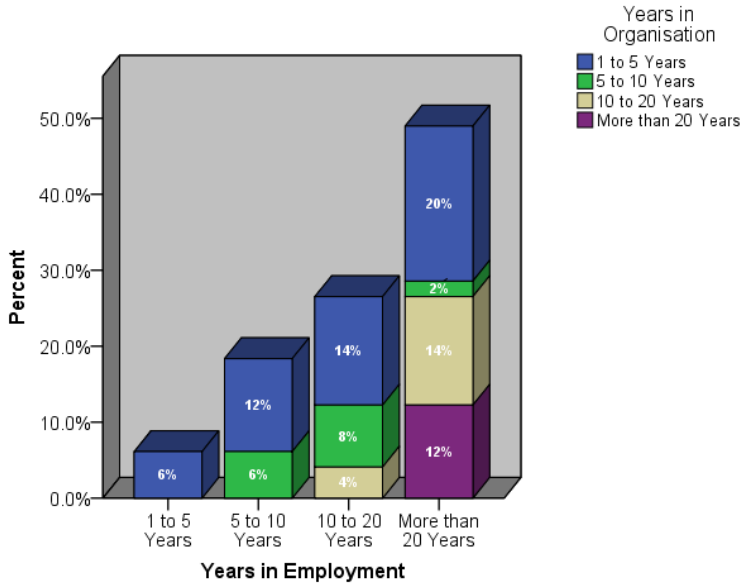

Figure 6-1: Respondents years of work experience
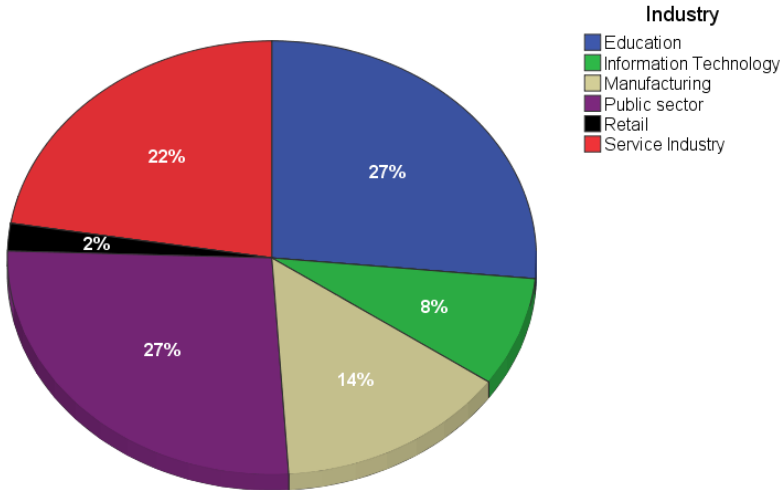

Figure 6-2: Respondents experience by sector

The data shows that 94% of respondents have been in employment more than 5 years. This, combined with the fact that 71% of respondents have

experience in more than one organisation and 50% of respondents have worked for their organisation for less than 5 years gives a degree of confidence that the respondents are able to draw on suitable experience and provide useful and valid inputs.

Theoretically, therefore, the majority of the respondents should have participated in an appraisal on a minimum of four occasions and considerably more for the majority, depending on their length of service, type of employment and organisation. They should all, therefore, be capable of assessing the effectiveness of the appraisal and have some perceptions of management capability when appraising.

What is Performance Management? – Questions 6 to 11

The responses to question 6 showed that 73% of respondents have been appraised during the last 12 to 15 months. Therefore, contributions are likely to be based on relatively recent experiences providing a degree of confidence in their inputs.

The design of question 7 deliberately used the concepts from the aforementioned CIPD (2009) survey report, Performance Management in Action. Gilmore and Williams (2007) highlighted the 'managerialist and prescriptive' nature of CIPD texts and research and the Performance Management in Action survey is an example of this approach. My adaptation of their survey content is to focus attention on the perspective of the employee who is the recipient of the performance management process rather than the manager. This enabled a helpful comparison with the opinions and views expressed through the qualitative interviews (see chapters 4 and 5). The CIPD survey received 507 responses from their membership of HR professionals. There are approximately 135,000 members in the CIPD with the majority holding a level of professional membership attained through examination.

Figure 6.3 shows the data collected from this survey and that of the CIPD's survey. There are two additional items in the survey, which, at the time when creating it I felt were interesting and pertinent for this research: "building rapport" and "measuring an individual's contribution to the business."

Overall, there is broad agreement on what is included in performance management. However, there are also some differences between these results and those of the CIPD survey.
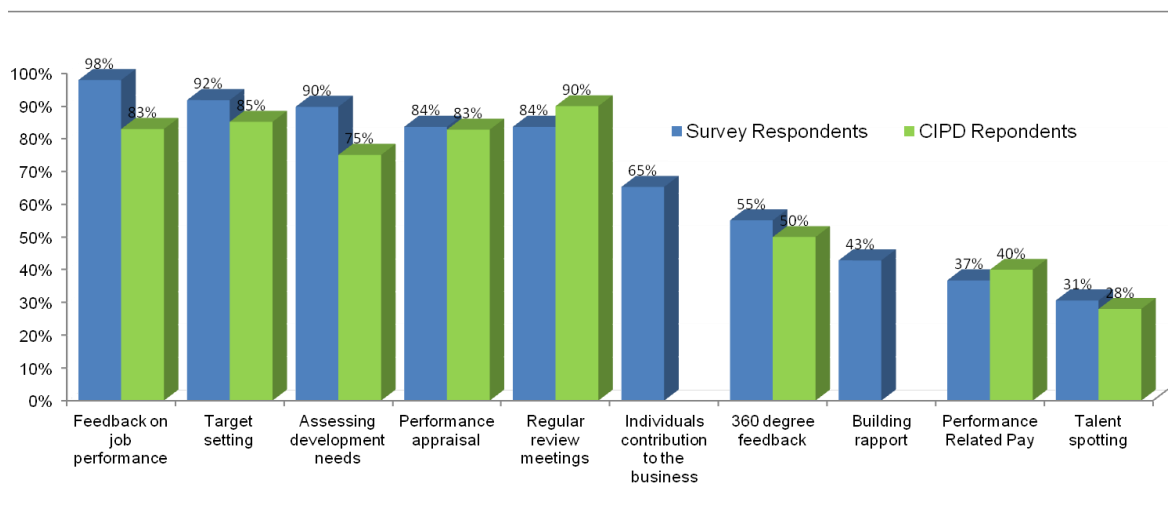

Figure 6-3: Respondents understanding of the term "Performance Management"

In 6 out of the 8 variables, the respondents to this survey gave higher recognition in comparison to those of the CIPD survey. These differences may have occurred for a variety of reasons and probably relate to different perceptions, experience and knowledge by respondents. Employees from non-HR areas possibly view feedback on job performance, target setting and assessment of development needs as an intrinsic part of the regular review meeting and, therefore, rate them more highly than the review meeting itself. Whereas, HR professionals are perhaps more concerned that a regular review meeting policy is in place and that managers are compliant, rather than evaluating its achievements. Research by Hirsh, et al (2008) report line managers are critical of HR when their presence is felt by virtue of 'hiding behind policies and procedures' and acting as the 'faceless policeman'.

The differences that relate to assessing development needs may be attributed to the respondents' understanding of 'development'. For some this may include new projects, secondments, job opportunities et al, whilst others may consider training either on or off the job as development. The concept of development has changed over time, which is highlighted by Gibb (2011). He proposes the concept of development can include the areas mentioned

here and is primarily concerned with a person's growth in order to perform additional and more complex roles or to close an identified performance gap. He also contends that traditionally the word 'development' in an organisational context tended to focus on the development of managers or those identified as having this potential. In organisations today, development and, therefore, growth is seen as something that applies to all employees Gibb (2011). Development needs are associated with a gap in performance in terms of existing capabilities and required capabilities Stewart, (2010) with employees in more recent times encouraged to, identify their own development needs as part of the performance management, self-assessment process (Armstrong 2010).

In addition, respondents also highlighted some additional areas which they felt should form part of performance management and these were recorded in 'other' on the survey.

"An opportunity to address any issues early"

"Capability and incapability procedures

"Career development, identifying person's strengths and developing them further"

These comments are similar to those expressed by managers during the interviews as issues that clearly need addressing during performance management conversations. However, the first two of these comments could be considered as forming part of a 'regular review meeting', when 'receiving feedback on job performance', is part of the conversation. These conversations are explored by Plachy and Plachy (1988) and Armstrong (2010) who explain the individual and manager discuss and compare current work performance with targets and then agree any adjustments. As these authors highlight these conversations take place through normal work routines and daily contact. If these first two issues are not addressed early this can lead to disciplinary situations, although this is important it is not explored further as it is outside the scope of this research. The last comment is recognised by both surveys as a component of performance management.

What actually happens in performance management?

Question 8 investigated what actually happens in performance management in respondent's organisations. Again, the results can be compared to those of the CIPD survey results and have been incorporated in figure 6.4.
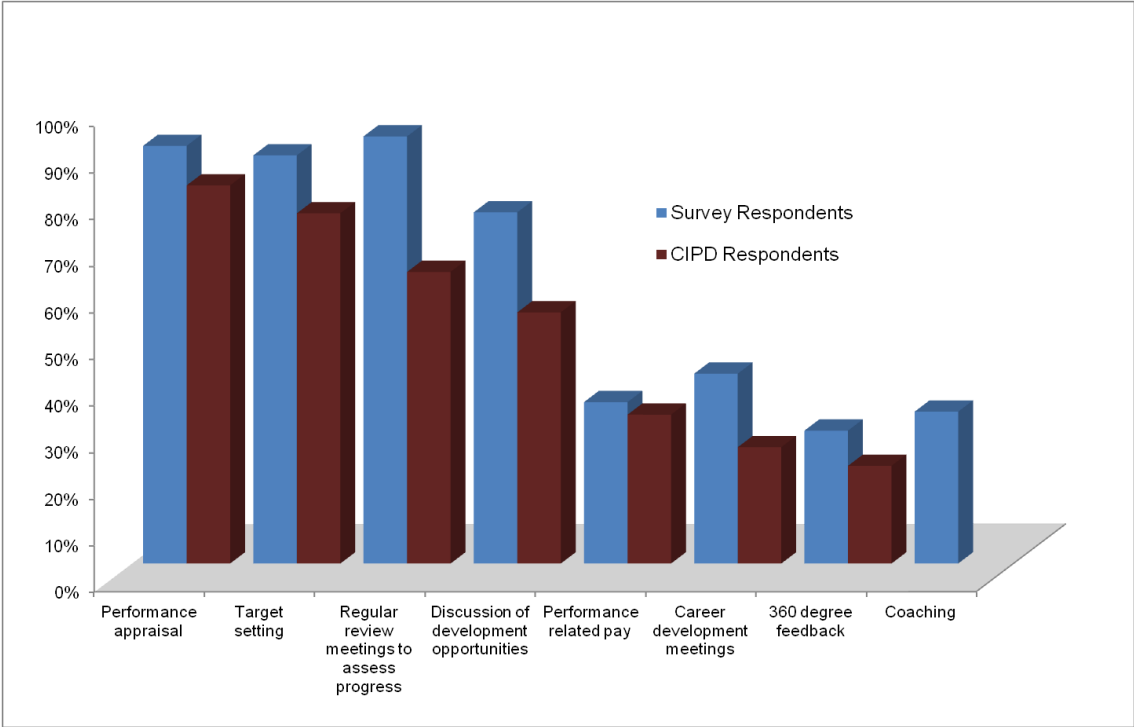

Figure 6-4: Respondents view of Performance Management in their organisation

The CIPD survey result shows only 62.7% of their respondents believed that regular review meetings were part of the Performance Management system whereas the survey result is much higher at 92%. Perhaps this can be attributed to individuals recognising more readily when they are in a conversation about their performance, albeit not in the formal appraisal. Perhaps managers carry out regular reviews but the HR function (CIPD respondent) does not recognise them as forming part of the formal performance management process. However, the result for this question suggests there is a conflict with CIPD respondents' answer to the previous question.

In all cases, survey respondents in the current study indicate more instances of each variable in their organisations. The differences here could, therefore be attributed to the respondent organisations perhaps because of size, where the performance management system may be less sophisticated or

developed. There is a clear difference between 'discussion of development opportunities', with the survey producing 76% and the CIPD respondents 52%, similarly with regular review meetings there is a marked difference. These results tend to suggest CIPD respondents may come from a broader range of organisations some with less sophisticated performance management systems. I included an additional item in my survey 'coaching' given its importance to this research. Of the organisations, responding 33% of them include coaching in performance management. It is interesting the CIPD include coaching in the Learning and Development survey but not the one concerning performance management. This possibly suggests they are only seeing coaching being used in a learning environment rather than one, which includes performance management.

Who benefits from performance management?

The following table demonstrates how respondents perceive the beneficiaries of performance management. The score for individuals of 39% suggests there is scope for improving individuals' experience of performance management. According to CIPM respondents, in 49%, of cases the organisation benefits most from performance management. As the organisation comprises a range of different stakeholders some of whom are probably gaining a benefit whilst other stakeholders who make up the totality of the organisation may not gain any benefit. For example, in some organisations, some workers may be excluded from the performance management process, as they are managed on a collective basis through Trade Union representation.

Who benefits from Performance Management	CIPM survey %	CIPD survey %
Individuals	39	44
The organisation	49	16
Line Managers	4	18
HR	2	8
Senior Management	0	10
Other (in this don't know)	1	6

Table 6-1: Who benefits from Performance Management?

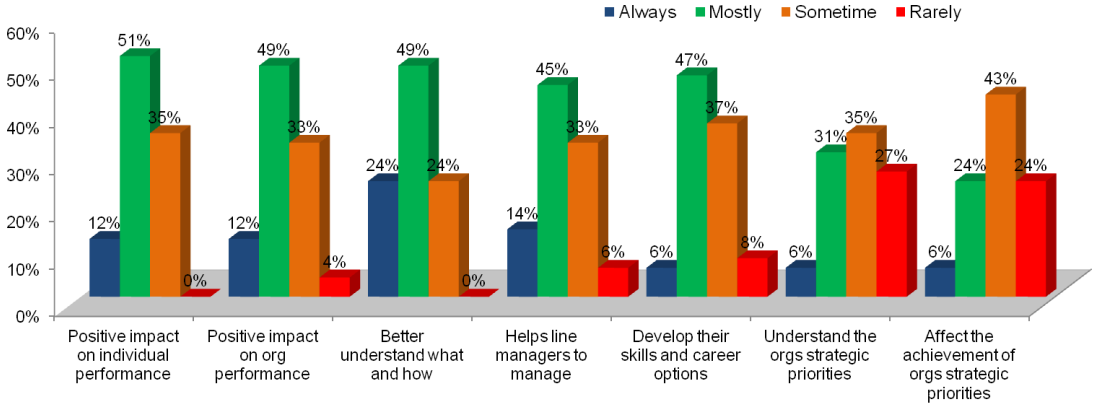# What is Performance Management capable of achieving?

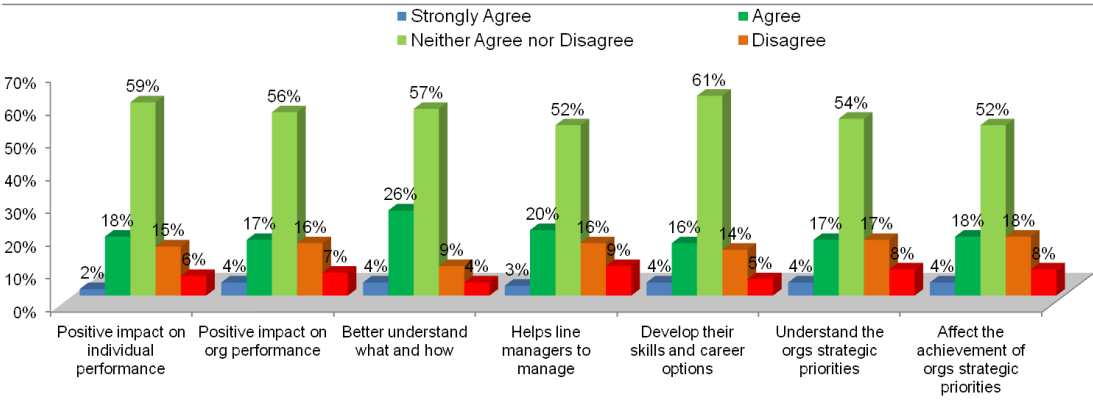**Figure 6-5: What is performance management capable of achieving?**

**Figure 6-6: Performance management assumptions.
Adapted from (CIPD 2009)**

This question asks for views on what the performance management process is capable of achieving. It is based on the CIPD survey. The wording of the variables and scale is different between this survey and that of the CIPD. It was not possible for respondents in my survey to take the middle position, whereas the CIPD survey provided respondents with 'Neither agree or disagree' and the results indicate this was a preference for a significant number of respondents. These results are quite concerning as they suggest that performance management does not have a significant impact on people's performance at work. As the enactment of performance management is, ultimately a conversation between the employee and the manager either, on a day-to-day basis or more formally, this result should be of concern. From the CIPD's result over 250 people were ambivalent about

the impact performance management has on the performance of individuals and ultimately the organisation. Unfortunately, the CIPD results are broadly similar across all the categories. This controversy is acknowledged in the CIPD report. This is one of the key areas of disparity with the findings presented in chapter 4 where line managers indicate that performance management conversations do have a positive impact on individual performance at work. The following manager quote is relevant here:

M2: I give them an extensive list of what they have done. I think people appreciate that they have almost a kind of yearly report or yearly assessment of their performance. That totally raises the motivation and the performance for next year."

Similarly, in the CIPD survey only 30% of respondents agree that performance management enables individuals to improve their understanding of what they need to do and how to do it. In the study's survey, this figure stands at 25%. Again, a high number of respondents, 57% chose to neither agree nor disagree. These results are also quite concerning; a suggested reason is provided when the results from question 11 are reviewed.

The results in figures 6.4 and 6.5 suggest the need for change in the way performance management is carried out. As the literature demonstrates the theoretical proposition of, performance management, is that employees fully understand what they need to do and how to do it. Implicit within this is the need to define job performance, establish objectives, understand how well people have performed, provide feedback on that performance and evaluate the need for further development, these aspects of performance management are explored by Latham, Sulsky and Macdonald (2007) and Pulakos, Mueller-Hanson and O'Leary (2008). In addition, through these features of performance management, as highlighted by Armstrong and Ward (2005) this management process has the potential to improve organisational performance and enable the achievement of cultural change.

Management behaviour during appraisals

Question 11 was not influenced by previous CIPD research. It was however, influenced by Kahn (1993) and Cascio and Aguinis's (2011) work on coaching and performance management manager behaviours. It cannot, therefore be compared with other secondary research from a quantitative perspective.
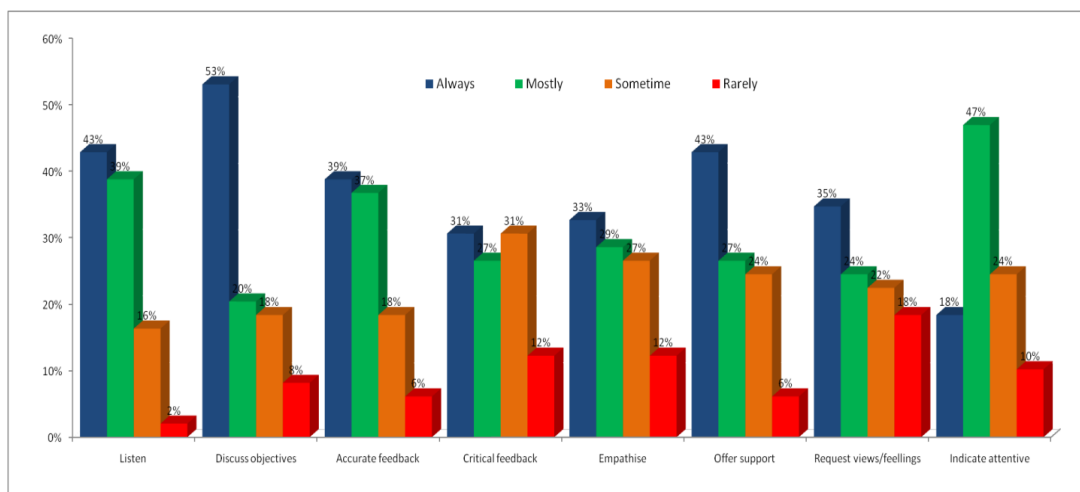

Figure 6-7: Participants views on manager behaviour during appraisal

Respondents were asked to consider the last appraisal when answering this question. Again, respondents were not given the option of choosing a middle option and the results indicate there is considerable room for improvement by the managers of these respondents. From a benchmarking perspective, organisations that use employee survey data to inform people management improvements indicate anything less than a score of 75% requires improvement (data provided by respondent organisation). In summing, the 'always' and 'mostly' scores, from question 11 and comparing them with a 75% benchmark the following are identified as areas where improvement is needed.

Variables from survey   "Give critical feedback when necessary"

"Ask questions to establish your views/feelings"

"Empathise with your situation"

"Use non-verbal gestures to indicate attentiveness"

"Offer support as needed"

The above variables are adapted from the work of Kahn (1993), Cascio, and Aguinis (2011), whose work identifies the key behaviours needed for carrying out effective appraisals.

In addition, if the 'sometimes' and 'rarely' scores are summed, the result suggests the respondents are experiencing performance management conversations that require improvements across all these areas and this potentially indicates dissatisfaction with the quality of the conversation for these employees.
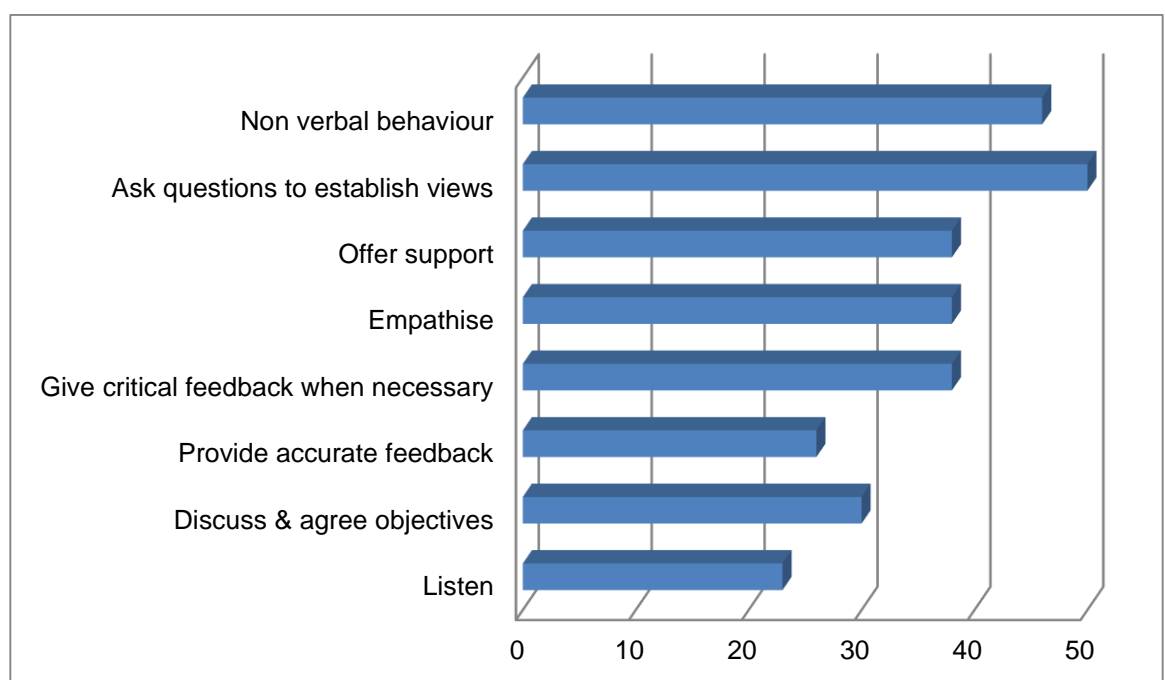

Figure 6-8: Behaviours and skills requiring improvement

Figure 6.8 identifies that some managers need to improve these behaviours and skills when carrying out performance management appraisals.

This concludes the section on performance management. The remaining questions, numbers 12 to 19 relate to respondent knowledge and experience of coaching.

What is coaching?

Question 13 gave respondents four definitions of coaching and asked them to select their preference as shown as figure 6.9.
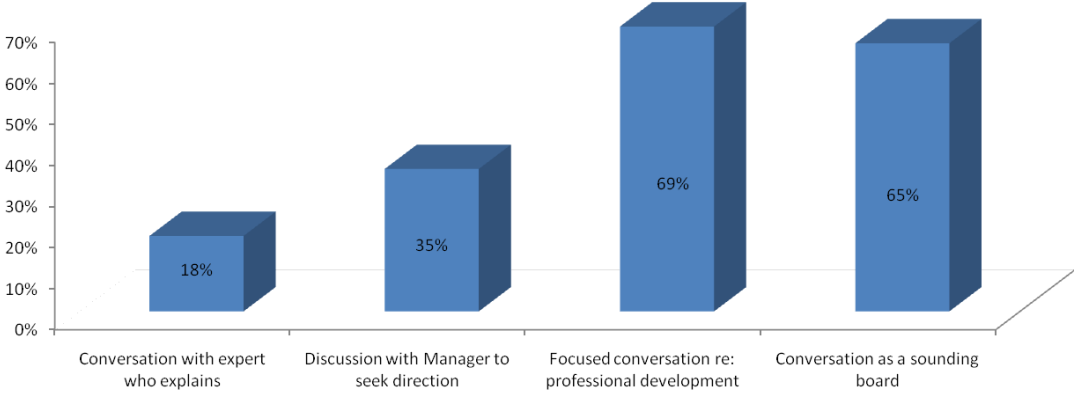
Figure 6-9: How is coaching defined?

These results suggest respondents' understanding of coaching within a business context ranges from the 'instructional'/directive perception vs the 'non-directive', although according to Parsloe and Wray (2000) these boundaries tend to be flexible. These results will inevitably be affected by the type of coaching these respondents have experienced and this may include examples where the coach is a 'guide' as endorsed by (Cavanagh, 2006).

From a performance management perspective, 67.4% of respondents have experience of coaching in a performance management context. This result suggests respondents should be able to evaluate the impact coaching has on performance related conversations including its benefits and behaviours used by managers during these conversations. The results for question 15 reflect these levels of experience as respondents were asked to rate different aspects of coaching in respect of enabling performance improvement during appraisal conversations.
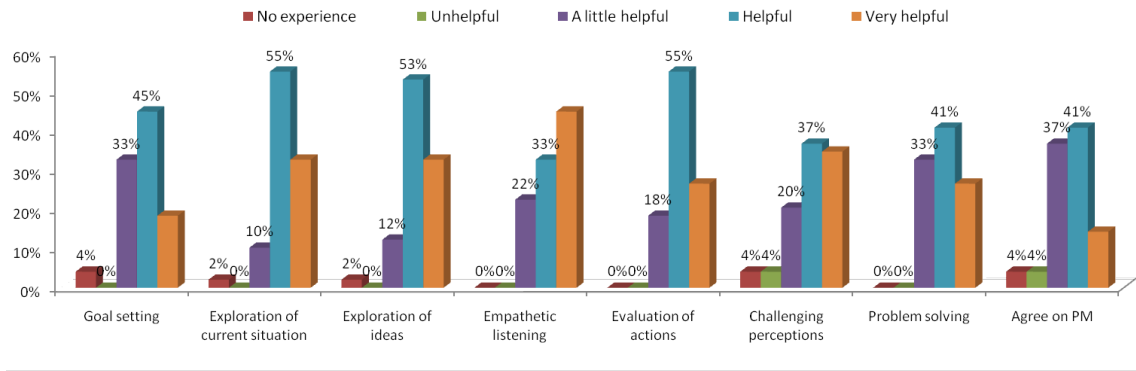
Figure 6-10: How does coaching help the appraisal conversation?

Question 15 results align closely with the qualitative views expressed later in the chapter from the CIPM survey, see pages 135 and 136.

Respondents were also asked to indicate if coaching had helped them to do their job better and 84.5% indicated this to be the case. They were also asked if coaching had been useful for discussing aspects of their job where issues were causing concern and again this received a positive response of 66.6%. These two questions also gave respondents the opportunity to provide a qualitative explanation of why coaching had been beneficial.
`

These qualitative inputs were coded in line with a grounded theory approach. See appendix 6 for the actual coding. The following highlights the significance of these views in relation to the research objective using the following selective concepts. Employees views of coaching in a performance management context. This concept has been developed from respondent inputs and will cover; what they perceive are the benefits of coaching in a performance management context, the coaching process from the employee's perspective, why employees recommend coaching in a performance management context and what they perceive managers' development needs to be in this context.

Employees views of coaching during performance management conversations

> R12 *"It is a way of working together to agree targets and suggest areas that can be worked on. It is non-threatening and positive and therefore, is more likely to have an impact."*

The above statement, which refers to question 16 and 17, suggests coaching enables the working together aspect of the manager and employee relationship and, therefore, in developing this relationship the agreement on targets is more likely. Where the conversation is non-threatening and positive these two characteristics of quality dialogue lead to the employee's acceptance of required actions. Goal-setting theory (Locke and Latham, 1990, 2002) clearly documents the requirements for goals that lead to high performance by the individual. These requirements include that the goal should have sufficient challenge and difficulty in order for improved task performance to occur and that the person is committed to achieving the goal. In addition, Hunt and Weintraub (2011) suggest a number of additional guidelines for the manager as coach when agreeing goals with employees. For the purpose of this study: "developed in a participatory fashion" is most relevant and is endorsed by this respondent's input. The meaning I take from this comment is that the manager and employee were working out together on developing a solution to the issue. Where managers do use coaching in a goal-setting conversation they are more likely to gain the commitment of employees and provided goals are challenging they are more likely to be achieved.

> R13 *"It helps to think things through and explore another perspective."*

> R9 *"The coaching I received challenged my thought process – thus enabling me to do my job rather than just asking for the answer forgetting and asking again – it's about encourage self to think solutions".*

> *R23* *"Helped me reflect on differing opinions of the status quo concerning my approach and, therefore, has helped me reflect on case work and think   more broadly regarding solutions and route to solutions."*

> *R27* *"It had me consider other aspects and viewpoints from outside of my department and to look at the wider organisational impact."*

In these four respondent quotations, the manager coach is enabling the employee to consider scenarios more broadly. Through appropriate questioning and other coaching behaviour, job performance and any concerns can be explored so that ultimately the individual can appreciate situations differently. As suggested by Ladyshewsky (2010) the manager as coach approach does not use authority to improve work outcomes but does allow employees to discover for themselves how their actions at work can improve. It also suggests the change and/or development is sustainable. The issue of sustainability was raised by managers in chapter 5, see page 101, as a key benefit of using coaching in performance related conversations.

Another respondent's input highlighted the benefit for them of building confidence and reassurance and how coaching has created a safe environment in which some key business issues have been resolved.

> *R31* *"Builds confidence and provides reassurance, helps determine boundaries i.e. which actions are achievable and which are realistic, opportunity to take political temperature of organisation in a 'safe' environment."*

This comment suggests coaching is enabling an improved understanding of the organisational culture in terms of how situations and issues are dealt with and perhaps what works and what does not. The manager coach in this example may have been particularly insightful, politically astute and/or very experienced. From the individual's perspective, the development of confidence should result in the person being able to handle similar situations again without the need to consult with the manager coach.

Coaching is also influencing several areas that relate to manager coaching behaviours; engaging in more meaningful conversations, approachability, listening, challenging thinking, encouraging reflection and overall facilitating individuals to have more meaningful conversations with their manager. These are illustrated in the quotations below:

R35 *"It has provided an opportunity for meaningful conversations."*

R36 *"Particularly when new to a role, feeling able to approach a manager coach without fear of ridicule or feeling unsure, that you will be listened to and receive direction."*

R6 *"The process helped me reflect and challenge my thinking."*

Respondents were also asked if they would recommend managers adopt a 'coaching' approach during performance management conversations. Both the following figures indicate a positive response.
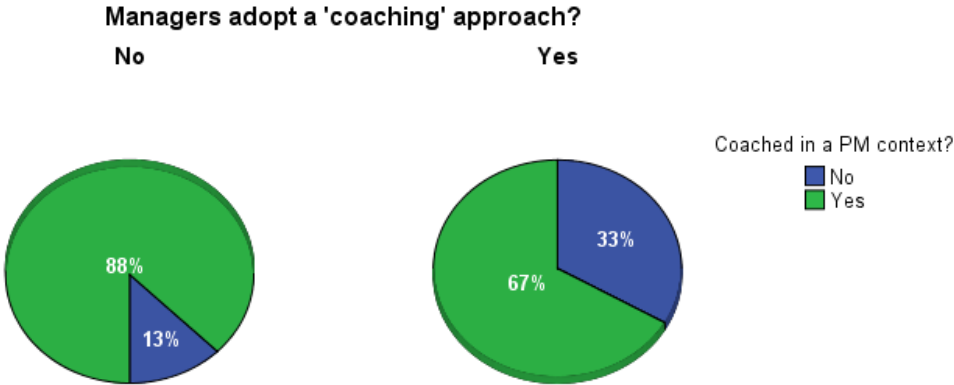

Figure 6-11: Do managers adopt a coaching approach?

The above figure illustrates why participants believe coaching in a performance management context is a positive experience. The quotations illustrate this finding more conclusively through participants' beliefs that coaching is beneficial to performance management conversations:

R8 *"It is the most effective in achieving the objectives and outcomes of performance management."*

R10 *"It becomes more of a two-way conversation that reduces ambiguity.*

R12 *"It helps forge a more trusting relationship (if the employee is open to "listening") with your manager and allows you to formulate a more autonomous approach rather than purely being directed."*

R41 *"This should encourage a dialogue and an element of guidance."*

R27 *"It would encourage managers to question more and provide feedback on aspects that individuals wish to resolve or consider."*

R6 *"When used as part of a tool-kit – rather than as the "answer" all the time – it enables individuals to develop themselves and helps managers adapt/adopt to create an environment that enables people to maximise their contribution to a business."*

R19 *"It helps widen thought process."*

R45 *"It helps individuals to improve and get better results for the organisation."*

R1 *"It helps people reflect and see the issue (realise the problem) for themselves and encourages greater empowerment."*

As it was not possible to probe these responses or seek further clarification, I have aligned some of these responses with the answers to question 15 in order to demonstrate congruence between comments and ratings.

Area of coaching	Respondent rated as Very helpful or helpful	Respondent's Comment in relation to area of coaching
Goal setting	✓	R8: "It is the most effective in achieving the objectives and outcomes of performance management".
Exploration of current situation	✓	R19: "It helps widen thought process".
Empathetic listening	✓	R42: "The ability to be able to confide in someone regarding concerns, and listened to empathetically, is a great help".
Evaluation of possible actions	✓	R27: It enabled me to consider alternative perspectives and consider responses and potential outcomes".
Challenging perceptions	✓	R9: "The coaching I received challenged my thought process – thus enabling me to do my job rather than just asking for the answer forgetting and asking again – it's about encourage self to think solutions".
Problem Solving	✓	R8: "Again, sometimes a wider or different view is necessary; solutions may have been thought of; discussion of other's previous experience is often helpful."

Table 6-2: Congruence between ratings and comments

Other additional comments included the following:

R27 *"I believe that coaching is an important element of performance management, if it is to be effective managers need to be trained in terms of skills."*

R45   *"If it is carried out well it can leave you empowered and ready to tackle anything. Only use experienced people for coaching so don't have   any bad experience to reflect on."*

The issues highlighted here in respect of the development of manager coaches will be explored in the next chapter: discussion and conclusions.

Summary of chapter findings

Input for this chapter came from employees working in a range of industrial, commercial and professional sectors. All respondents had sufficient work experience and knowledge of both performance management and coaching for their inputs to be considered valid contributions. These inputs have been collated and analysed in order to draw the following conclusions.

These findings suggest performance management is effectively understood by all respondents and they mainly share a common understanding of what performance management should include and how performance management should be enacted. However, these results also suggest that although they have a good understanding of performance management this does not necessarily translate to their understanding of its benefits and impact. Respondents do not conclusively understand the impact performance management can and should have on organisational outcomes or the achievement of strategic priorities. This suggests there is a need for more communication and knowledge sharing about performance management in an organisation. These results also highlight, from a practitioner perspective, the need for improvements in the execution of behaviours associated with performance management.

Respondents clearly indicate their level of understanding, when evaluating the potential benefit of coaching in enabling improvements in performance. This was demonstrated in their responses to questions 15, 16 and 17. The qualitative responses particularly, highlighted the benefits and impact of coaching in several areas of people management, including performance and the reasons why it is considered effective. Respondents indicate conclusively that there is a value in using coaching in a performance management context. From their perspective, coaching is an enabling process. The conversation becomes two-way, a more trusting relationship develops, the contribution to the business is maximised, it expands the thinking and problem-solving process, reflection is enhanced, it encourages empowerment and reduces ambiguity. These views concur with those of Aguinis et al (2011), Grattan and Ghoshall (2002) and Lee (2005) who all highlight the importance of the quality of the conversation for improving performance management. The following table draws together the key

findings from employees in respect of their expectations of appraisal conversations, and the use of coaching within these interactions.

Employees expectations of Managers when conducting performance management appraisal conversations	Employee views on how coaching can contribute	How these views on coaching were expressed
Build rapport	Goal setting	"Working together to agree targets".
Discuss and agree objectives	Exploring situations and ideas	"Helps to think things through and explore other perspectives".
Engage in empathic listening	Evaluating actions	"Helped me reflect and challenge my thinking". "Helped me reflect on differing opinions".
Provide accurate feedback	Problem Solving	"Think more broadly regarding solutions".
Give critical feedback when necessary	Agreeing on performance management outcomes	"Reduced ambiguity". "Maximises contribution to the business".
Offer support		"Brings the best out in people".
Use questioning to establish views		"Encourages managers to question more and provide feedback".
Use non verbal behaviour to indicate attentiveness		

Table 6-3: Performance Management Appraisal Conversations and Coaching – Employee Views

Employees have expressed their views clearly. They indicate that the use of coaching within appraisal conversations can engender improvements for these interactions. However, the survey results suggest employee expectations of appraisal conversations are not being satisfied throughout this population. This finding will be addressed in the next chapter.

Chapter 7 discusses all findings from chapters 4 to 6 and subsequently reaches some overall conclusions for this grounded theory study.

Chapter 7: Conclusion

Introduction

The main purpose of the study, was to establish if the use of coaching in appraisal conversations can help to overcome some of the challenges previously identified by Deming (1986), Coens and Jenkins (2000) and Buchner (2007) as well as the anecdotal evidence from my experience as a HR professional, line manager and coach. This evidence led to my belief that improvements to the appraisal conversation were possible by using the behaviours, tools and techniques associated with coaching.

The study used a grounded theory design to gather data from HR, line managers and employees in order to generate a theory about coaching for performance appraisals. Data collection comprised semi-structured interviews and qualitative surveys within the grounded theory framework. In this final chapter, the intention is to discuss the most significant findings from the three preceding data analysis chapters and then go on to identify the contributions to knowledge the research has delivered in the area of coaching and performance management. These contributions will be discussed by drawing on the findings, analysis and literature. They will highlight the implications for professional practice and future research opportunities. I will also consider the total research experience from the perspective of my own learning.

This study was designed to use grounded theory with the philosophical basis of pragmatism. This paradigm when combined with the grounded theory approach enabled me to shed light on people's lived realities in relation to appraisal. As a pragmatist, I see knowledge, explained by Bryant (2009) as provisional and not something, that is set in concrete. It should be judged and based on how useful it is for participants at a point in time. The objectives focused on developing new perspectives on the manager as coach, which it was hoped, could ultimately influence policy, procedures and practice within the fields of coaching and performance management. The theoretical contributions from this study contribute to our understanding of the manager as coach and performance management knowledge base and,

therefore, the integration of these two areas. This new knowledge may positively affect an employee's discretionary behaviour.

The aim of the study was:

To explore how the use of coaching in appraisal conversations can improve performance at work.

Out of this aim, I generated four objectives, three have been achieved in the preceding chapters and I will address the fourth here.

> Generate a theoretical model, which makes an original contribution to academic and practitioner knowledge in the fields of performance management and the role of the manager as coach.

The above objective was satisfied through a combination of semi-structured interviews and questionnaires. The first questionnaire yielded responses from employees. The results were used to create a framework for the interview questions that were used with line managers and HR professionals. The second questionnaire was not conceived in the original research design and was developed following the data analysis of interviews with line managers. The introduction of another data gathering technique in this study illustrates the grounded theory principle in action. The purpose of the new questionnaire was to establish manager's views on coaching behaviours, as they were unable to respond to questions covering this area during the interview. This suggested a lack of self-awareness. The findings were discussed in chapter 5.

Contributions to Knowledge

The following discussion focuses on where this study has contributed to knowledge, specifically in connection with the manager as coach in appraisal conversations. This discussion will adopt a multi dimensional approach by outlining both supportive and limiting factors for the application of the manager as coach concept within a performance management framework. These dimensions are illustrated in the model, figure 7-1. This is achieved by integrating the findings from three perspectives: employees, line managers

and HR professionals. These inputs illuminate the study's contributions to knowledge and professional practice in performance management and coaching.

The results from the study suggest the phenomenon of the manager as coach within a performance management context is becoming more prominent across a range of sectors: retail, engineering and the public sector. Within these environments, some managers are using coaching to improve the conversations they have with employees concerning performance. These conversations may occur during the annual appraisal or in regular performance reviews. In comparison with existing empirical research which suggests the annual performance appraisal is a challenging process in terms of effectiveness, (Deming, 1986), (Coens and Jenkins, 2000) and can result in general dissatisfaction for all parties (Buchner, 2007), these results offer a different proposition. The study shows that employees and managers value the coaching approach in appraisal conversation. This may be somewhat controversial, depending on the perspective on employee relations: unitarist or pluralist Fox (1966). As the majority of this research was based in the private sector the opinions of management participants are more likely to be unitarist (Fox 1966), whereas some elements of the input from those in the public sector denote a more pluralist perspective.

The importance of the line manager in conversations about performance has also been highlighted by Boxall and Purcell (2011 and Purcell (2003) who identify the lack of empirical work in this area of performance management. As managers in the study indicated, employees are more likely to 'go the extra mile', when they are operating as manager coaches, in a performance management context. An alternative way of looking at 'going the extra mile' is to relate this to discretionary behaviour which was identified by Purcell et al (2003) as a necessary ingredient for organisational performance improvement provided the necessary HRM practices are in place. This concept was part of Purcell's research (2003) which aimed to 'show the way in which HR practices – or what the CIPD term 'people management' – impact on performance' Purcell et al (2003 p ix). One of the outcomes from the Purcell et al (2003 p ix) study recognised that line managers are vital for ensuring these HR practices are implemented. These practices included

those that would most likely be associated with performance management appraisals, training and development and career opportunity Purcell et al (2003 p ix). The results from this study indicate that when managers operate as coaches, the response from employees is more likely to result in behaviour that could be explained as discretionary, meaning they operate beyond their standard contract requirements.

A clear finding from all participants: employees, managers and HR professionals was the desire for a quality conversation when discussing performance. The concept of the quality conversation in the performance management context has also been advocated by Lee (2005), Aguinis (2011) and Gratton and Ghoshall (2002). However, one of the key differences from this study is the use of coaching behaviours to facilitate the conversation within the annual appraisal. Conversely, the above writers suggest 'appraisals are dead'. This study's findings suggest the appraisal is being revitalised through a quality conversation or as one participant termed it 'a great conversation'. The quality conversation from this study reflects the use of coaching in the performance management environment using behaviours associated with coaching. These behaviours were identified by both employees and line managers and these reflect the work of Hunt and Weintraub (2011). Both sets of participants have signified that manager coaches should be using a particular set of behaviours and these included goal setting, empathetic listening, problem solving and challenging perceptions. However, the input from employees also identified areas where some managers behaviours reflects the concerns raised by Deming (1986). These issues were identified and discussed in Chapter 6.

The key behaviours for the manager coach should indicate to both the HR and coaching professionals areas for development in coaching and/or training for managers. This may not require more content rather an alternative approach or perspective with the same content. From the training perspective, managers recognise the importance of their training and see the value of becoming more self aware and this has helped them to appreciate the value of the conversation when reviewing performance. In terms of coaching tools, managers are selective in their usage of tools and predominantly their preference is for the renowned GROW model (Alexander

(1996) in Whitmore (2006 pp 62-64). Employees value the use of questioning, empathetic listening, feedback, goal setting and challenges posed by managers in the coaching and performance management environment.

A further finding, arising from all respondents, suggested a change in management style is taking place from 'command and control' to 'empowerment'. In addition, coaches also highlighted as individual empowerment grows through coaching this can help to facilitate a change in organisational culture. Similarly, from their own perspective coaches have recognised that coaching is enabling a change in organisational culture as they adopt a management style which encourages empowerment rather than one which suggests 'command and control' Jarvis et al (2004). Empowerment encourages employee involvement and increased engagement. From the employees perspective, this is evidenced through their increased involvement, by working together with managers, in developing solutions and approaches on the 'how' aspect of their jobs. These employees find this approach more motivating, encouraging and helps them to forge trusting relationships with managers. Managers on the other hand see their change in style delivering positive and sustainable results that ultimately influence organisational improvement. Both groups recognise that transformation has materialised as managers operate using a coaching style. On the other hand, employees acknowledge they need to be prepared to listen and take an active role in the process. From a management perspective, it is also vital to recognise that managers can still be called upon to adopt the controlling and commanding 'hat'. These occasions might relate to the following circumstances, when 'telling' employees is most appropriate or when selecting individuals for redundancy and in a disciplinary situation, the latter two being outside the scope of this study.

The effect of coaching demonstrates a range of benefits for both managers and employees. Through increased involvement, managers highlight the tendency for employees to develop creative solutions in the performance improvement process. Employees value managers using a coaching approach from a number of perspectives. Firstly, it enables them to consider alternative approaches by challenging their thought processes. Secondly, it

leads to changes in culture, in respect of perceived fairness through more involvement and increased respect. These issues are highlighted by employees because of increased involvement in appraisals, which involve a more open and honest conversation. These findings suggest a more ethical approach, as advocated by Winstanley and Smith (1996)

In addition, some findings provided insights, at an individual level into the condition of the employment relationship. All respondents identified that, individual manager/ employee relationships are improving and this was attributed to the use of coaching either in the annual appraisal or during other conversations. Managers are more able to develop and identify those individuals with talent, which is a concept that has gained significant attention recently as shortages of highly talented individuals, affect the labour market. From a knowledge worker perspective it is recognised that talented individuals, often referred to as 'intellectual capital' (Simmons and Iles, 2012), value autonomy which is achievable through coaching. Managers also acknowledge the links between individual performance improvement and organisational performance improvement including sustainability.

Performance Management

From a purely performance management perspective a number of key findings from the study illustrate some of the changes taking place in this arena of people management. I will discuss the changing perspective by managers regarding performance management with some relevant contrasts with the existing literature.

The findings suggest managers are adopting a more positive approach when providing performance feedback whether this is in the appraisal or regular review meeting. Wherever possible, managers in this study, appear to be providing feedback on effectively a 'just in time', basis and they recognise the value of its provision and its effect on the individual receiving it. In many instances, employees are identifying the feedback for themselves, as managers adopt a coaching style of management. It was also found, that extensive feedback is being provided, so individuals fully understand the basis for performance decisions and possibly rankings but not in all cases.

As was seen in Chapter 2 there is an overview of critiques regarding appraisal in terms of timeliness and relevance of feedback, objective setting, assessing employees performance and overall the view from some authors is that it is the task most managers dread (Redman 2006) and (Coens and Jenkins, 2009).

This study suggests effective performance management requires the input and involvement of employees and this view is endorsed by employees and managers. In some instances, involvement may be achieved with self-assessment tools or in other cases through the discussion that takes place in appraisal conversations enabled by the manager as coach concept. As suggested earlier, this is endorsed by Fletcher (2007) as he indicates the person with the most insight about himself or herself is the individual. However, this may be the case when considering job knowledge and skills but possibly less so in the area of interpersonal behaviour. According to Luft and Ingham (1955), this may be dependent on an individual's interpersonal awareness or self-awareness. Where self-awareness is low, then inputs from others may be required, when in a coaching culture, the manager and increasingly through multi-source feedback systems.

As the study shows, a number of business issues are currently affecting the organisations that may exert some influence and encouragement on managers to adopt a more positive and twenty first century approach to performance management. Without exception, the businesses involved in this study claim they are experiencing challenges in terms of retaining talented employees, ensuring the ongoing development of existing employees even though opportunities for advancement within the hierarchy are not available and skills training in the light of constant technological change. The research suggests managers willingly accept their responsibilities in respect of people management, and recognise that it is therefore incumbent upon them to appraise and train individuals effectively in order to manage these business context issues. These findings suggest the line manager is 'bringing [HR] policies to life' (Purcell, 2003 p x). Policies are brought to life by line managers when they implement them, when they enact them and when they provide appropriate leadership to employees (Purcell, et al 2003).

The findings from managers and employees concerning the integration of manager as coach and performance indicate new areas of knowledge within the theory associated with the manager as coach. These views are endorsed by all parties associated with this study: employees, managers and HR professionals. Where the manager uses coaching, in a performance management context, the conversation takes on a new dimension of quality. Such quality conversations are leading to employees engaging in problem solving and the identification of solutions that are proving to be sustainable over the long term. These solutions may include changes for the individual: training, other types of development and changes in the way they perform their job. It is owing to the contribution of coaching that enables these changes within the performance management environment.

To complete the achievement of objective four, the following theoretical model has been developed to represent the use of coaching in performance management conversations.
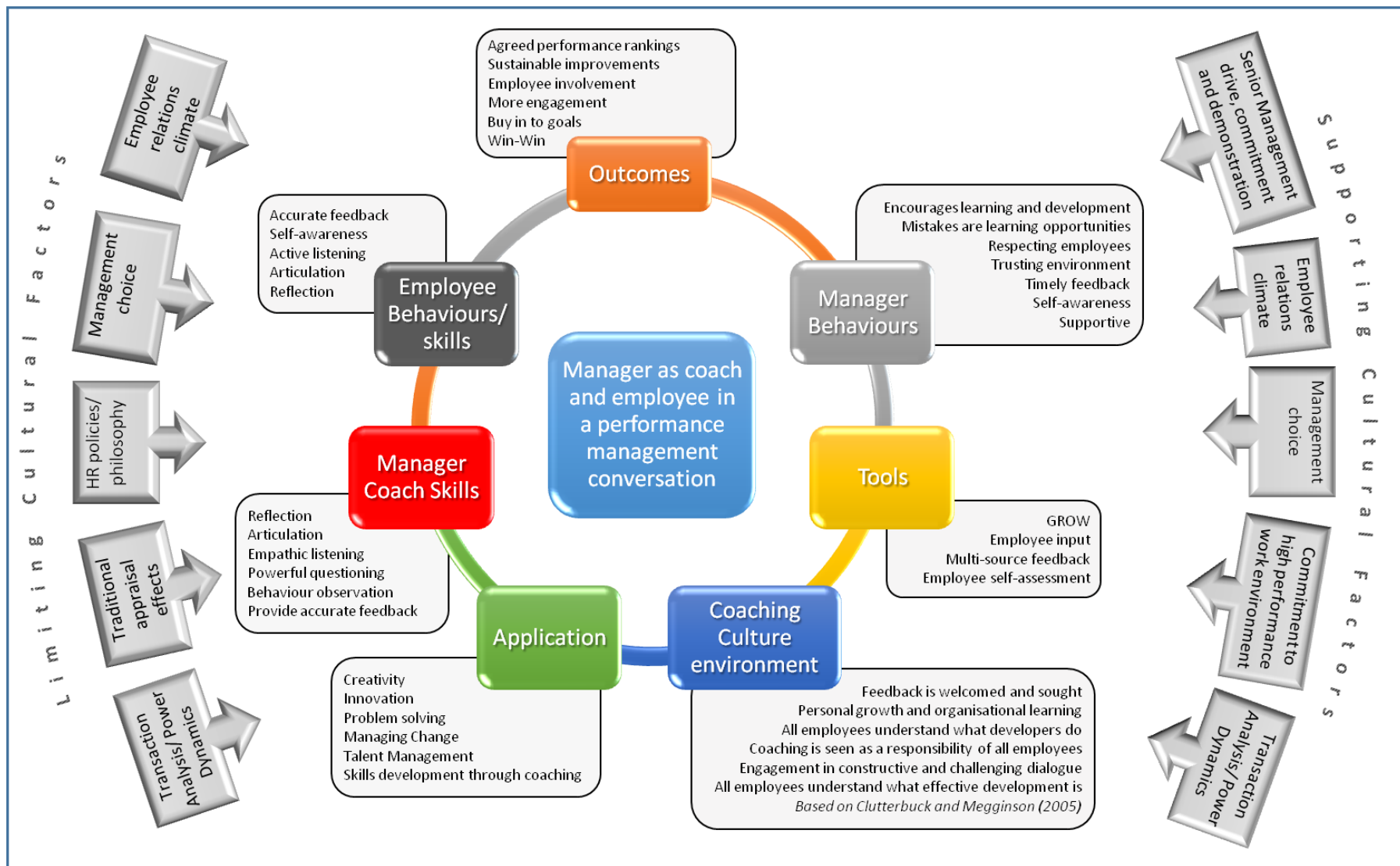
Figure 7-1: A model of the manager as coach in performance management conversations

In the model, the manager and employee are engaging in conversation about performance. Both parties will use some of the same skills and behaviours in order to understand their individual perspectives, make agreements and exchange views. The tools identified in the model may also be used to facilitate the conversation and those identified could be supplemented with others for example, Myers Briggs. These tools and skills/behaviours can be applied to the scenarios identified in the application box. The overall result from the conversation is likely to be one or more of the identified outcomes.

This model represents inputs and views from all research participants and reflects the behavioural and skill requirements for both managers and employees when participating in appraisal conversations that utilise a coaching philosophy. The model details the key behavioural and skill requirements of the manager as coach as provided by the research participants. In addition, these can also be endorsed from the literature, Hunt and Weintraub (2011), Cox (2012), Jarvis et al (2006) and Ellinger et al (2010). Similarly, for the model to be effective employees also require some of the same skills for example, active listening, articulation and reflection. In using these skills, the employee and manager will use their performance related conversation to discuss the applications that could lead to one or more of the outcomes. In addition to conversation, the manager may deploy some tools associated with coaching and/or managing performance. For example, the use of GROW (Alexander (1996) in Whitmore (2006 pp 62-64), popular with research participants as it helps them to focus during the coaching conversation.

In addition, it is also recognised this model can only become operational where the organisational culture and the employee relations climate are conducive and receptive to the manager as coach concept. When considering organisational culture and climate the recognition factors from Clutterbuck and Megginson (2005) are pertinent and acknowledged as potentially challenging for some organisational participants. For example, employees may resist participation and similarly managers may choose not to implement. Certain elements of the model focus on the use of coaching skills/behaviours, powerful questioning and empathic listening, which the manager in a coaching capacity can use at any stage of the conversation.

The model also illustrates the proposition of, "I'm OK, you're OK" (Berne 1968) in relation to transactional analysis and is shown as an outcome, whereby the conversation ends with the employee and the manager feeling the interaction has delivered a win-win for them both.

The model also acknowledges that appraisal cannot operate in isolation and is part of the organisation's performance management process. The wide range of outcomes and applications identified in the model are influenced by the limiting cultural factors and supporting forces. In organisations where the limiting cultural factors are prevalent, the manager as coach concept, in any context, is unlikely to be on the agenda. The restraining force, 'Traditional Appraisal Effects' encapsulates the views of Levinson (1976), Deming (1986) and more recently (Fisher and Sempik (2009). Whereas, organisations where the supporting forces are prevalent can harness them to enable its introduction and implementation. Where organisations recognise the value of implementing the manager as coach concept then there will be a need to ameliorate the limiting cultural factors so they become supporting ones.

Implications for the Coaching and HR profession

Employees were clear, that where managers are engaged in coaching they should receive training in 'manager as coach' skills and behaviours. This suggests that the content of a training programme should not adhere to the standard offering for training in coaching. Some of this content could conceivably be valuable, together with the need to focus on the organisational context, in which these skills will be applied and specifically appraisal conversations. In addition, in line with the findings from this study, a detailed and thorough evaluation of the tools manager coaches require is necessary as the findings suggest some tools are more useful than others are. Again, the context for their application will also be important. In terms of training, and some of the specific skills, for both the employee and the manager, namely, articulation, listening, clarifying, reflecting and questioning the development of these will require an experiential, Kolb (1984) approach. In addition, these experiences should be based on both empirical and practitioner based evidence. Until more recently, there has been a gap in the literature for practitioners and professionals in being able to dissect and totally understand these skills. The work of Cox (2012) bridges this gap,

which suggests its content could provide the theoretical framework for this type of training.

The adoption of this model does require an organisational culture, which is conducive for the manager as coach concept as depicted by, (Clutterbuck and Megginson, 2005). However, Anderson (n.d.) recognised several issues pertinent to implementation and these cannot be ignored. These include; managers are frequently beset by work overload, have insufficient time and multiple and competing priorities all of which could inhibit the adoption of this model.

It is also recommended that where the concept of manager as coach is implemented this should include the requirement for manager coaches to participate in coaching supervision sessions. Supervision for manager coaches may be developed in a similar manner to that provided to other coaches. Coaching supervision is there to enable the ongoing development of the coach, review effectiveness and to participate in a process of joint reflection in order to evaluate current practice and experience Hawkins and Smith (2006). The supervisor is there to help the individual understand their experience of coaching, work through any issues with them and work on continuing their professional development as a coach. Similarly and closely related to this, is the issue of evaluation of, the manager as coach concept. Evaluation would be concerned with, whether or not individuals and the organisation are deriving benefits from this investment. It was found in some participating organisations that key performance indicators are being used to evaluate the manager as coach concept and where organisations use this particular performance measurement system this could be beneficial. It is difficult to derive a direct return on investment sum owing to the challenge of establishing absolute cause and effect. However, in most organisations this type of analysis will probably be required. It became apparent from analysis of the questionnaire that employee respondents do not appear to understand the organisational benefits of performance management and specifically, appraisal conversations. This is something that could also be addressed through the use of key performance indicators and also appropriate education and training.

In organisations that encourage the development of the manager as coach the HR function could consider the implications of this on existing policies and procedures and take appropriate action to ensure they are aligned with practice and organisational culture. In order for a change in practice at the middle management and operational level to be effective there should be evidence of senior management commitment and buy in to a change. As with other change initiatives, they should ideally commence with the leadership team in order to establish the required standard and expectation. It is therefore important where there is an intent to develop managers as coaches this is demonstrated at all levels in the organisation. This was the case in some of the organisations in this study. The effect of this will be increases in employee empowerment and involvement. The implication for practitioners is the need to evaluate the development of a coaching culture with, for example, the criteria by Clutterbuck (2003) and in terms of management style evaluation (Ellinger, 1979). The CIPD report, The Coaching Climate (September 2011) reported that 30% of their survey respondents indicated stories and testimony being used as a means of evaluating the benefits of coaching, 30% on KPIs and only 6% on return on investment activities. The use of stories and testimony in the appraisal environment may not be well received by either employees or managers owing to the potential ethical issues involved.

This study also found the requirement for organisations to ensure their line managers develop improved people skills and reflects earlier research on the skills base of UK managers (Mangham and Silver, 1986, Constable and McCormick 1987, Handy 1987). However, the research also found that some of organisations are beginning to address this issue by implementing management training and coaching interventions. In some organisations this was the first time they had invested in this type of training.

Interestingly, another finding deserves mention in terms of actions for all professionals as the research suggests some managers are not recognising when they could use their coaching skills to assist with employee behaviour change. An example is the process of providing feedback in a timely manner for example, prior to formal assessments relating to performance ranking and ratings, and achievement of goals. In this instance, the manager realises in

advance of the appraisal conversation the individual's performance is below the expectation. Managers could use coaching to ensure performance feedback is available which may result in employees' performance changing before any measurement issues occur. This finding suggests managers are not always recognising when to use coaching and further research in this area could be useful for the employee and the manager.

Further Research

The literature review identified an empirical gap concerning coaching genres for the manager as coach. Some literature evaluation and propositions have been articulated by Ellinger et al (2010), however it is suggested this could prove to be an informative and worthwhile piece of research. Further research on these coaching genres and their use by manager coaches could provide new insights in the field of coaching.

As the incidence of manager coaches increases, research evaluating its effectiveness and quality would also help to fill a current gap in the literature. From a professional perspective, it is important to establish and maintain standards for managers as coaches and supervision will enable this process. Equally, empirical research can be useful in developing robust theories, models and facilitate sharing and development of the knowledge base.

As the findings indicate, although managers have been trained to use a number of coaching tools and techniques (see chapter 5), only a minimum number of them are being implemented following training. It would be useful to understand why this is the case and modify practice accordingly.

A further area of research associated with the manager as coach concept relates to management style changes and how they may be affected by the changing nature of the workforce; using generational differences in terms of generic values that have been attributable to these birth years (Alston and Mujtaba, 2009).

Critical reflection on the research process

As a HR professional and lecturer, I approached this research subject in possession of significant theoretical and practitioner knowledge and perceptions of performance management in the private and public sectors. This suggests it is probably impossible to totally disengage myself and become the neutral data gatherer. King and Horrocks (2010) explain how giving consideration to our personal beliefs, interests and experience may have affected the research. This can manifest in numerous ways for example, the recruitment of research participants, the wording of questions for both interviews and questionnaires, the way an interviewer reacts to participants through body language and the general nuances that occur in everyday speech. Therefore, all these findings may be subject to an aspect of personal bias from all research participants including the interviewer. From the beginning of this research journey, my main concern was whether I was remaining true to the philosophical position of pragmatism of following the grounded theory methodology. However, it is re-assuring when Charmaz (2006) explains the grounded theory researcher is not singular in terms of epistemology or data collection methods. Similarly, Bryant (2004, p.27) suggests that 'the ultimate criterion of good research is that it makes a difference including the generation of theoretical insights and conceptual innovations'. I believe this study has achieved that criterion which is depicted in the conceptual model.

The outcomes of this research are influenced by the participants: employees, line managers and HR professionals. Most of the participants in this research came from a professional background and this may influence their perception of appraisal conversations, the role of managers and the degree of influence they can have within their respective workplaces. However, the research was also conducted with line managers from a retail environment who were working with employees who would not officially sit within the professional category even though they may operate professionally. In fact, this was the environment where the manager as coach concept was most well developed resembling Clutterbuck's (2003) definition of a coaching culture. There was also a high degree of consistency in responses between each of the managers interviewed in this environment.

Therefore, the findings within this research are context specific as the participating organisations are strategically committed to developing people and are more likely to make available the resources required for the level of investment needed to develop a culture of coaching.

The findings demonstrate a definite contribution to the theory of the manager as coach when conducting performance appraisals. This contribution provides a new illumination, one that was hoped for but not assumed. This was particularly the case in respect of coaching by line managers, in order for appraisal conversations to be 'great conversations' (Research participant 2012). I was pleasantly surprised by the enthusiasm and commitment towards this approach from all participants, managers and employees.

Chapter 8:   References

Abraham, S. E., Karns, L. A., Shaw, K. and Mena, M. A. (2001). Managerial competencies and the managerial performance appraisal process. Journal of Management Development 20 (10) pp. 842-852

Aguinis, H., Joo, H. and Gottfredson, R. K. (2011). Why we hate performance management – And Why we should love it. *Science Direct* 54 pp. 503-507.

Alexander, G. (1996).   *Behavioural coaching – the GROW model.* In Whitmore, J. (2006) *Excellence in Coaching* pp 62-64: The Industry Guide. London: Kogan Page.

Alston, B. A. and Mujtaba, B. G. (2009). Performance Management Execution for Effective and Continuous employee Appraisals *Journal of Business and Economics Research* 7 (9), pp. 25-34.

Anderson, V. (n.d.). The Line Manager as Coach: As assessment of coaching characteristics reported by line managers. *University of Portsmouth.*

Armstrong, M. (2009). *Performance Management: Key Strategies and Practical Guidelines.* 3rd Ed. Kogan Page: London.

Armstrong, M. (2009). *Handbook of Performance Management An Evidence-based Guide to Delivering High Performance.* 4th Ed. Kogan Page: London.

Armstrong, K and Ward, A. (2005). What makes for Effective Performance Management? London: *The Work Foundation*

Armstrong, M and Baron, A (2004). Managing Performance: Performance Management in Action. London: Chartered Institute of Personnel and Development

Association for Coaching (2004). UK Executive Coaching Report. Association for Coaching.

Bach, S. (2005). *Managing Human Resources Personnel Management in Transition.* 4th Ed. Oxford: Blackwell Publishing

Bandura, A. (1986). *Social Boundaries of Thought and Action.* Englewood Cliffs, New Jersey: Prentice Hall.

Bandura, A. (1977). *Social Learning Theory,* Englewood Cliffs, New Jersey: Prentice-Hall.

Barlow, G. (1989). Deficiencies and the perpetuation of Power: Latent functions in Management Appraisal. *Journal of Management Studies* 25 (5), pp. 499-516*.*

Bates, R. A. and Holton, E. F. (1995). Computerised performance monitoring: a review of human resource issues. Winter, *Human Resource Management Review,* pp. 267-88.

Berne, E. (2010). Games People Play. London: Penguin.

Boswell, W.R. and Boudreau, J. W. (2002). Separating the developmental and evaluative performance appraisal uses. Journal of Business and Psychology 16 (3), pp. 391-412.

Bowles, M. L., Coates, G. (1993). Image and Substance: The Management of Performance as Rhetoric or Reality? *Personnel Review* 22 (2), pp. 3-21.

Boxall, P. and Purcell, J. (2011). *Strategy and Human Resource Managemen*t. (3rd Edition). Basingstoke: Palgrave Macmillan

Bratton, J. and Gold, J. (2012). *Human Resource Management Theory and Practice.* 5th Ed. Basingstoke: Palgrave Macmillan

Brown, D. (2011).   Performance Management – can it ever work? Summer. *Manager*

Bruce, V. (1995) *The role of the face in face-to-face communication: Implications for video telephony, in S.J. Emmott (ed) Information Superhighways: Multi-media Users and Futures.* London: Academic Press.

Bowers, B. J. (1988). Grounded Theory. In: Sarter B (Ed.) *Paths to Knowledge, Innovative Research Methods for Nursing.* New York: National League for Nurses.

Bryant, A (2009). Grounded Theory and Pragmatism: The Curious Case of Anselm Strauss 10 (3), Forum: *Qualitative Social Research*

Bryant, A, (2002). Re-grounding grounded theory. *Journal of Information Technology Theory and Application.*

Bryant, A & Charmaz, K (2007). Grounded theory in historical perspective: An epistemological account. In Antony Bryant & Kathy Charmaz (Eds.), The Sage handbook of grounded theory. London: Sage.

Bryman, A. and Bell, E. (2007). *Business Research Methods.* 2nd Ed. Oxford: Oxford University Press.

Buchner, T. W. (2007). Performance Management Theory: A Look from the Performer's Perspective with Implications for HRD' *Human Resource Development International* 10 (1), pp. 59-73.

Buckley, R. and Caple, J. (2007). *The Theory and Practice of Training* (5th edition) London: Kogan Page

Burke, R. J. and Eddy, Ng (2006). The changing nature of work and organizations: Implications for human resource management. *Human Resource Management Review* 16 pp. 86-94.

Cameron, S. and Price, D. (2009). *Business Research Methods A Practical Approach.* London: Chartered Institute of Personnel and Development.

Carroll, S. J. and Schneier, C. E. (1982). *Performance and Review Systems: The Identification, Measurement, Development of Performance in Organisations.* Dallas; Scott, Foresman and Company.

Carver, C. S., and Scheier, M. F. (1998). *On the Self-Regulation of behaviour.* New York: Cambridge University Press.

Cascio, W. F. and Aguinis, H. (2011). *Applied Psychology in Human Resource Management.* 7th ed. New Jersey: Pearson.

Cavanagh, M. (2006). Coaching from a systemic perspective: A complex adaptive approach in Stober, D. and Grant. E*vidence Based Coaching Handbook.* New York: Wiley.

Chartered Institute of Personnel and Development (2003) 'Understanding the People and Performance Link: Unlocking the black box.' Chartered Institute of Personnel and Development: London

Chartered Institute of Personnel and Development (2007). Coaching in Organisations – a Research Insight. London: Chartered Institute of Personnel and Development

Chartered Institute of Personnel and Development. (2006) Coaching Supervision: Maximising the Potential of Coaching. London: Chartered Institute of Personnel and Development

IPD (2005). Performance Management Survey Report. Chartered Institute of Personnel and Development: London

Cavanagh, M. and Grant, A. M. (2010). The Solution-focused Approach to Coaching. In: Cox, E., Bachkirova, T. and Clutterbuck, D. (2010). *The Complete Handbook of Coaching.* London: Sage.

Charmaz, K. (2006). *Constructing Grounded Theory.* London: Sage.

Chiu, W., Thompson, D., Mak, W. and Lo, K. (1999). Re-thinking training needs analysis: a proposed framework for literature review. *Personnel Review* 28 (1/2), pp. 77-90.

Clegg, S and Bailey, J. R. (2007*). The Sage International Encyclopaedia of organisation Studies.* California; Sage

Cleveland, J. N., Murphy, K. R. and Williams, R. E. (1989). Multiple Uses of Performance Appraisal: Pevalance and Correlates. Journal of Applied Psychology 74 (1), pp. 130-135.

Clutterbuck, D. (2003). Creating a Coaching Culture. *The Coaching and Mentoring Network.*

Coens, T. and Jenkins, J. (2009). *Abolishing Performance Appraisals: Why They Backfire and what to do instead.* San-Francisco: Berrett-Koehler

Collis, J. and Hussey, R. (2009*). Business Research a Practical Guide For Undergraduate and Postgraduate Students.* 3rd Ed. Basingstoke: Palgrave Macmillan.

Constable, J. and McCormick, R. (1987). The Making of British Managers. *BIM/CBI*: London.

Corbin, J. and Strauss, A. (2008). *Basics of Qualitative Research* 3rd edition. London: Sage.

Cox, E., Bachkirova, T. and Clutterbuck, D. (eds.) (2010). *The Complete Handbook of Coaching.* London: Sage

Cox, E. (2013). *Coaching Understood.* Sage Publications, London.

Creswell, J. W. (2009). *Research Design Qualitative, Quantitative and Mixed Method Approaches.* London: Sage.

Crosby, P. C. (1995). *Quality without Tears New York*: Basingstoke: McGraw-Hill.

Danford, A., Richardson, M., Stewart, P., Tailby, S., and Upchurch, M. (2008). 'Partnership, high performance work systems and quality of working life. *New Technology, Work and Employment* 23 (3).

Davis, A. and Scully, J. (2008). *Strategic Human Resource Management.* London: Chartered Institute of Personnel and Development.

Delery, J. and Dotty, H. (1996). Modes of theorising in strategic human resource management: tests of universalistic, contingency and configurational performance predictions. Academy of Management Journal 39, (4), pp. 802-35.

Deming, W E. (1986). *Out of the Crisis* Cambridge MA Massachusetts Institute of Technology Centre for Advanced Engineering Studies

DeNisi, A.S. and Kluger, A.N. (2000). Feedback effectiveness: can 360 degree feedback be improved? *Academy of Management Executive* 14 (1), pp. 129-39.

Easterby-Smith, M. and Thorpe, R. and Jackson, R., P. (2005). *Management Research.* (3rd Edition). Sage Publications, London.

Elias. S. (2008). Fifty years of influence in the workplace. *Journal of Management History* 14 (3), pp. 267-283.

Elllinger, A., Beattie, R., Hamlin, R. (2010). The 'Manager as Coach'. In: In: Cox, E., Bachkirova, T. and Clutterbuck, D. (2010). *The Complete Handbook of Coaching.* London: Sage.

Ellinger, A. D., Ellinger, A. E. and Keller, S. B. (2003). Supervisory Coaching Behaviour, Employee Satisfaction and Warehouse Employee Performance: A Dyadic Perspective in the Distribution Industry *Human Resource Development Quarterley* 14 (4).

Elmuti, D., Kathawala, Y. and Wayland, R. (1992). Traditional Performance Appraisal Systems: The Deming Challenge. *Management Decision* 30 (8), pp 42-48

Eriksson, P. and Kovalainen, A. (2008). Qualitative Methods in Business Research. London: Sage.

Evered, R. D. and Selman, J. C. (1989). Coaching and the Art of Management *Organizational Dynamics*.18 (2), pp. 16-32.

Flaherty, J. (1999). Coaching, Evoking Excellence in others. Burlington, MA: Butterworth Heinemann.

Fielding, N. (1994). Varieties of research interviews. *Nurse Researcher* 1 (3), pp. 4-13

Fisher, C. and Sempik A (2009). *The strategic managing of Human Resources*, Harlow: Prentice-Hall.

Fletcher, C. (1993). The Effects of Performance Review in Appraisal: Evidence and Implications. *Journal of Management Development* 5 (3), pp. 3-12.

Fletcher, C. (2001). Performance Appraisal and Management: The Developing Research Agenda 74 pp. 473-487.

Foddy, W. (1993). *Constructing Questions for Interviews and Questionnaires*. Cambridge University Press, Cambridge

Fox, A. (1966). Industrial Sociology and Industrial Relations, London: HMSO

Fourniers, F.F. (1987). *Coaching for improved work performance.* Kansas: Liberty Hall Press

Fletcher. C. and Williams. R (1992). *Performance Appraisal and Career Development.* 2nd ed. Cheltenham: Stanley Thornes

French, J.R.P. and Raven, B. H. (1959). The bases of social power. In: Buchanan, D. A. and Huczynski, A. A. (2010). Organisational Behaviour. Harlow: Pearson.

Furnham. A (1996) Starved of feedback, The Independent, 5 December, p 12.

Gasson, S. (2004). Rigor in Grounded Theory research: An interpretive perspective on generating theory from qualitative field studies. In: Michael E. Whitman, Amy B. Woszczynski, (Eds.) *The handbook of information systems research*, Idea Group Inc.

Gibb, S. (2008). *Human Resource Development Process Practices and Perspectives.* 2nd Edition., Basingstoke: Palgrave Macmillan

Gioia, D. A. & Longenecker, C. (1994). Delving into the dark side: The politics of executive appraisal. *Organizational Dynamics 22*, pp. 47-58.

Glaze T (1989). Cadbury's dictionary of competence, *Personnel Management*, July

Glaser, B. G., and Strauss, A. L. (1967). *The discovery of grounded theory*. Chicago: Aldine

Gilmore, S. and Williams, S. (2007). Conceptualising the "personnel professional": a critical analysis of the Chartered Institute of Personnel and Development's professional qualification. *Personnel Review* 36 (3), pp. 398-414.

Graham, Steven, John F. Wedman, and Barbara Garvin-Kester. (1994). Manager coaching skills: what makes a good coach? *Performance Improvement Quarterly* 7 (2)(1994): 81-94.

Grant, A. M. (2006). Solution-focused coaching. In: Whitmore, J. (2006). *Excellence in Coaching*: The Industry Guide. London: Kogan Page.

Grant, A. M. (2010). *It Takes Time: A Stages of Change Perspective on the Adoption of Workplace Coaching Skills*. Journal of Change Management. 10 (1), pp. 61-77.

Gratton, L. and Ghoshal, S. (2002). Improving the Quality of Conversations. Organisational Dynamics 31 (3), pp. 209-223.

Grint, K. (1993) What's wrong with performance appraisals: a critique and a suggestion. Human Resource Management Journal 3 (3), pp. 61-77.

Guba, G and Lincoln, Y S (1994). Competing paradigms in qualitative research. In N K Denzin and Y Lincoln (eds) *Handbook of qualitative research*. Thousand Oaks, CA: Sage.

Guest, D. E. (2011). Human Resource Management and Performance: Still searching for some answers. Human Resource Management Journal 21 (1), pp. 3-13.

Guirdham, M. (2002). *Interactive behaviour at work.* Harlow: Pearson.

Hahn, C. (2008). *Doing Qualitative Research Using Your Computer: A Practical Guide.* London: Sage.

Haines, V. Y. and St-Onge, S., (2012). Performance Management Effectiveness: practices or context? *The International Journal of Human Resource Management* 23 (6), pp 1158-1175.

Hamlin, R. G., Ellinger, A. D. and Beattie, R. S. (2006). Coaching at the Heart of Managerial Effectiveness: A Cross-Cultural Study of Managerial Behaviours. *Human Resource Development International* 9 (3), pp. 305-331.

Hannabuss, S. (1988). Encountering Others at Work – A transactional analysis approach to training. March/April pp. 5-9. *Industrial and Commercial Training*

Hannah, C. (2004). Improving intermediate skills through workplace coaching: A case study within the UK rail industry. *International Journal of Evidence Based Coaching and Mentoring* 2 (1).

Handy, C. (1987). The Making of Managers. NEDO London

Harrington, H. J. (1998). Performance improvement: Was W. Edwards Deming wrong? *The TQM Magazine* 10 (4), pp. 230-237.

Harrison, R. (2005*). Learning and Development.* London: CIPD

Hawkins, P. and Smith, N. (2006). *Coaching, Mentoring and Organisational Consultancy: supervision and development.* Maidenhead: Open University Press.

Hirsh, W. Cater, A. Gifford, J. Strebler, M. Baldwin S. (2008). What Customers Want from HR. *Institute for Employment Studies Report* 453

Humphrey, B. and Stokes, J. (2000). The 21st Century Supervisor. *HR Magazine* May

Hunt, M., J. and Weintraub, R., J. (2011). *The Coaching Manager Developing Top Talent In Business.* 2nd Ed. London: Sage.

Huselid, M. A. (1995). The Impact of Human Resource Management Practices on Turnover, Productivity and Corporate Financial Performance, Academy of Management Journal 38 (3), pp. 635-672.

Jarvis, J. and Lane, A., D. and Fillery-Travis, A.(2004). *The Case for Coaching Making Evidence-based Decisions of Coachin*g. London: Chartered Institute of Personnel and Development.

Joo, B. K. (2012). Multiple Faces of Coaching: Manager-as-coach, Executive Coaching and Formal Mentoring. *Organization Development Journal* 30 (1), pp. 19-38.

Kahn, W.A. (1993). Caring for caregivers: Patterns of organisational care giving. *Administrative Science Quarterly* 38 p. 546.

Kaplan, R. S. and Norton, D.P. (1992). The balanced scorecard –measures that drive performance. *Harvard Business Review,* January/February, pp. 71-79.

Kenealy, G. J. J. (2012) Grounded theory: a theory building approach. In: Symon. G. and Cassell. C. (2012). London: Sage.

Kelliher, C. and Anderson, D (2010). Human Relations. The Tavistock Institute 63 (1), pp. 83-106.

King, N. and Horrocks, C. (2010). *Interviews in Qualitative Research.* London: Sage.

Kirkpatrick, D. L. (2006*). Improving Employee Performance Through Appraisal and Coaching.* New York: AMACOM.

Kluger A. N. and DeNisi, A (1996). *The Effects of Feedback Interventions on Performance: A Historical Review, a Meta-Analysis, and a Preliminary Feedback Intervention Theory.*   Psychological Bulletin 119 (2), pp 254-284.

Kraut, A. J., Pedigo, P. R., McKenna, D. D. and Dunnette, M. D. (1989). The Role of the Manager: What's Really Important in Different Management Jobs. *Academy of Management Executive* 3 (4) pp 286-293

Ladyshewsky, R. K. (2010). The manager as coach as a driver of organisational development. Leadership and Organisation Development Journal 31 (4).

Latham, G., Sulsky, L. M. and Macdonald (2007). Performance Management in Boxall, P., Purcell, J. and Wright, P. (eds) *Oxford Handbook of Human Resource Management.* Oxford: Oxford University Press

Lee, C D. (2005). Rethinking the goals of your performance management system. *Employment Relations Today* 32 (3) pp. 53-60.

Leopold, J. and Harris, L. (2009). The Strategic Managing of Human Resources. (2nd Edition). Harlow: Pearson Education Limited.

Levinson, H (1976). Appraisal of *what* performance? *Harvard Business Review* July-August pp 30-46

Lewis, P., Thornhill, A. and Saunders, M. (2003). *Employee Relations, understanding the employment relationship.* Harlow: Prentice Hall.

Locke, K. (2001). *Grounded Theory in Management Research.* London: Sage.

Locke, E. A. and Latham, G P (1990). Work Motivation and satisfaction: light at the end of the runnel. *Psychological Science* 1 (4), pp. 240-46.

Locke, E. A. and Latham, G P (2002). New Directions in Goal-Setting Theory. *American Psychologist* 57 pp. 705-17.

London M. (2003). Job Feedback. London: Lawrence Erlbaum Associates

London, M, Mone, E. M. and Scott, J. C. (2004). Performance Management and Assessment: Methods for Improved Rater Accuracy and Employee Goal Setting. *Human Resource Management* 43 (4), pp 319-336.

Longenecker, C. (1997). Why managerial performance appraisals are ineffective: causes and lessons. *Career Development International* 2 (5), pp. 212-218.

Longenecker, C.O. (2010). Coaching for better results: key practices of high performance leaders. *Industrial and Commercial Training* 42 (1), pp 32-40.

Luft, J. and Ingham, H. (1955). The Johari window, a graphic model of interpersonal awareness. Proceedings of the western training laboratory in-group development. Los Angeles: UCLA

Lyons, E. and Coyle, A. (2007). *Analysing Qualitative Sate in Psychology.* Sage Publications, London.

Mangham, I. and Silver, M. (1986). Management Training: Context and practice. London: ESRC/DTI.

Marchington, M. and Wilkinson, A. (2005). *Human resource management at work: people management and development.* 3rd ed. London: Chartered Institute of Personnel and Development.

McAfee, R. B. and Champagne, P. J. (1993). Performance Management, A Strategy for Improving Employee Performance and Productivity. *Journal of Managerial Psychology* 8 (5), pp. 24-32.

McGregor, D. (1957). An Uneasy Look at Performance Appraisal. May/June *Harvard Business Review*

McLean, G. N., Yang, Baiyin, Y., Kuo, M-H.C., Tolbert, A. S. and Larkin, C. (2005). Development and Initial Validation of an Instrument Measuring Managerial Coaching Skills. *Human Resource Development Quarterly* 16 (2).

Miles, M. B. and Huberman, A. M. (1994). Qualitative data analysis: A source book of new methods. Thousand Oaks: Sage.

Millmore, M., Lewis, P., Saunders, M., Thornhill, A. and Morrow, T. ((2007). *Strategic Human Resource Management, Contemporary Issues.* Harlow: Prentice Hall.

Millward, L. (2005). *Understanding Occupational and Organizational Psychology.* London: Sage.

Mobley, S. (1999). Judge Not: How Coaches Create Healthy Organisations. *The Journal for Quality and Participation* July/August

Morgan, G. (1994). *Images of Organisation* San Francisco: Sage

Morse, J. J. and Wager, F. R. (1978). Measuring the Process of Managerial Effectiveness. *Academy of Management Journal* 21 (1), pp 23-35.

Morse, J.M. (1994). *Critical Issues in Qualitative Research.* Thousand Oaks: Sage.

Morse, J. M. (2007). Sampling in Grounded Theory. In: Bryant, A and Charmaz, K. (2007). *The Sage Handbook of Grounded Theory.* London: Sage. pp. 235.

Myers, D., M. (2009). *Qualitative Research in Business & Management.* London: Sage.

Murphy, K. R., Cleveland, J. N. (1995). *Understanding Performance Appraisal.* California: Sage.

Murphy, K. R., Cleveland, J. N., Skattebo, A. L., and Kinney, T. B. (2004). Raters Who Pursue Different Goals Give Different Ratings. Journal of Applied Psychology 89 (1), pp.158-164.

Neale, F. (1991). *The Performance Management Handbook.* London: Institute of Personnel and Development.

Neenan, M. (2006). Cognitive Behavioural Coaching. In: Whitmore, J. (2006). *Excellence in Coaching* pp 62-64: The Industry Guide. London: Kogan Page.

Newton, T. and Naper R. (2010). Transactional Analysis and Coaching. In: Cox, E., Bachkirova, T. and Clutterbuck, D. (eds.) (2010). *The Complete Handbook of Coaching.* London: Sage

Orth, C. D. (1990). The Manager's Role as Coach and Mentor. *Organizational Dynamics* 20 (9) pp 66-73.

Orth, C.D., Wilkinson, H.E., and Benfari, R.D.C. (1987). The manager's role as coach and mentor. *Organisational Dynamics* 15 (4), pp. 66-74*.*

Parsloe, E. (2009). Coaching in the Organisation. *OCM Coaching and Mentor Journal*

Parsloe, E. and Leedham, M. (2009). Coaching and Mentoring: Practical Conversations to Improve Learning 2nd ed. London: Kogan Page

Parsloe, E. and Wray, M. (2000*). Coaching and Mentoring.* London: Kogan Page.

Passmore, J. (2007). Excellence in Coaching The Industry Guide. London: Kogan Page.

Patton, M. Q. (1990). *Qualitative Evaluation and Research Methods.* 2nd ed. Newbury Park: Sage.

Pettijohn, L. S., Parker, S., Pettijohn, C.E. and Kent, J,.L. (2001) *Performance appraisals: usage, criteria and observations. Journal of Management Development* 20 (9), pp. 754-71.

Pettinger, R. (2002). *Mastering Employee Development.* Basingstoke: Palgrave-MacMillan

Pfeffer, J. (1994). Competitive Advantage through People. Boston: Harvard Business School Press.

Pfeffer, J. (1998). The Human Equation: Building profits by putting people first. Boston: Harvard Business School Press.

Pierce, C. S. (1958). Collected Papers. Cambridge, MA: Harvard University Press.

Pilbeam, S. and Corbridge M. (2011). *People Resourcing and Talent Planning: 5th* Edition. London: Prentice Hall

Phillips, J. J. (1996).   *Accountability in Human Resource Management*. Houston, TX: Gulf Publishing.

Plachy R. and Plachy S. (1998). *Performance Management: Getting Results from Your Performance Planning and Appraisal System.* New York: AMACOM.

Posthuma, R.A. and Campion, M.A. (2008) Twenty best practices for just employee performance reviews. *Compensation and Benefits Review.* 40 (1), January/February. Pp. 47-55.

Pulakos, E.D., Mueller-Hanson, R.A. and O'Leary, R.S. (2008). Performance management in the United States, In Varma. A. Budhwar, P.S. and DeNisi,

A. Performance Management Systems a Global Perspective. Abingdon: Routledge

Purcell, J., Kinnie, N., Hutchinson, S., Rayton, B and Swart, J. (2003). *Understanding the People and Performance Link: Unlocking the black box.* London: CIPD.

Purcell, J. and Hutchinson, S. (2007). Front-line managers as agents in the HRM-performance causal chain: theory, analysis and evidence. *Human Resource Management Journal* 17 (1) pp 3-20.

Purcell, J., Kinnie, N., Hutchinson, S., Rayton, B and Swart, J. (2009). *People Management and Performance.* London: Routledge.

Race, P (2001). *The Lecturer's Toolkit* 2nd ed. London: Routledge Farmer

Redman, T. and Wilkinson A. (2006). *Contemporary Human Resource Management.* 2nd ed. Harlow: Prentice-Hall.

Redman, T. and Mathews, B. P. (1995). 'Do Corporate Turkeys vote for Christmas?' Managers' attitudes towards upward Appraisal. *Personnel Review* 24 (7), pp. 13-24.

Redman, T., Snape, E. and McElwee, G. (1993). Appraising Employee Performance. *Education and Training* 35 (2), pp. 2-10.

Rees, W. D. and Porter, C. (2003). Appraisal pitfalls and the training implications – part 1. *Industrial and Commercial Training* 35 (7), pp. 280-284.

Rose, K. (1994). Unstructured and semi-structured interviewing. *Nurse Researcher.* 1 (3), pp. 23-32.

Rubin, J.J. Rubin, I.S. (1995). *Qualitative Interviewing: The Art of Hearing Data.* Newbury Park: Sage.

Salancik, G. R. and Pfeffer, J. (1977). Who gets power – and how they hold on to it: a strategic contingency model of power? *Organisational dynamics*, 5 (3), pp. 2-21.

Sarantakos, S. (2005). *Social Research* (3rd edition). Basingstoke: Palgrave Macmillan.

Saunders, M. N. K. (2012). Choosing Research Participants. In: Symon, G. and Cassell, C. (2012). *Qualitative Organisational Research: Core Methods and Current Challenges.* London: Sage.

Saunders, M., Lewis, P. and Thornhill, A. (2007). *Research Methods for Business Studies.* (4th edition). Harlow: Prentice Hall.

Shani, A. B. (Rami) & Pasmore, W. A. (1985). Organization inquiry: Towards a new model of the action research process. In D. D. Warrick (Ed.) Contemporary organization development: Current thinking and applications. Chichester: Wiley-Blackwell.

Shein, E. H. (1997). *Organisational Culture and Leadership*: San Francisco: Wiley

Sieber, S (1998). Learning, Knowledge and Interaction: Towards a New Approach to the Learning Intensive Organisation, Research Paper 361 IESE.

Silverman, D. (2010). *Doing Qualitative Research.* London: Sage.

Silverman, M. (2003). Supporting Workplace Learning: A Background Paper for IES Research Network Members, Brighton: *Institute of Employment Studies*

Simmons, J. and Illes, P. (2001). Performance Appraisals in Knowledge-Based Organisations: Implications for Management Education. *The International Journal of Management Education* 2 (1), pp. 3-10.

Sparrow, P. and Hiltrop, J-M. (1994*). European Human Resource Management in Transition.* Harlow: Prentice Hall.

Stewart, I. (1989). Transactional analysis: image and reality 1 (2), pp. 21-24 *Employee Counselling Today*.

Stewart, J. and Rigg, C. (2011). *Learning and Talent Development*. , London: CIPD

Stiles, P, Gratton, Truss L., Hope-Hailey, J. and McGovern, P (1997). Performance management and the psychological contract. *Human Resource Management Journa*l 1, pp. 57-66.

Stober, R., D. and Grant, M., A. (2006). *Evidence Based Coaching Handbook*. John Wiley and Sons, Inc., Hoboken, New Jersey.

Strauss, A. L. (1987). *Qualitative analysis for social scientists.* New York: Cambridge University Press.

Strebler, M., Bevan, and Robertson, D (2001). Performance Review: Balancing objectives and content. Brighton *: Institute of Employment Studies*,

Symon, G. and Cassell, C. (2012). (Qualitative Organisational Research). London: Sage Publications.

Tamkin, P. (2004). Management Capability and Performance, Brighton: *Institute of Employment Studies.*

Tashakkori, A., and Teddlie, C. (1998). *Mixed methodology: Combining qualitative and quantitative approaches*. Thousand Oaks: Sage.

Taylor, F.W. (1911). *Principles of Scientific Management*. New York: Harper

Taylor, S. (2010). *Resourcing and Talent Management*. (5th Edition) London: CIPD

Torrington D. and Hall, L. (1998). *Human Resource Management*. 4th edition. Essex: FT Prentice- Hall.

Townely, B. (1993). Performance appraisal and the emergence of management. *Journal of Management Studies* 30 (2), pp. 221.38.

Tziner, A., Joanis, C. and Murphy, K. R. (2000). A Comparison of Three Methods of Performance Appraisal With Regard to Goal Properties, Goal Perception and Ratee Satisfaction. *Journal of Applied Psychology* 51 (3), pp. 479-503.

Uhl-Bien, M., Graen, G. and Scandura, L. (2000). Indicators of leader-member exchange for strategic human resource management systems. *Research in Personnel and Human Resources Management.* 18, pp 137-85.

Ulrich, D. (2009). *HR Transformation: Building HR from the outside in.* USA: McGrawHill.

VandeWalle, D. and Cummings, L. L. (1997). A Test of the influence of goal orientation on the feedback seeking process. *Journal of Applied Psychology.* 82 (3), pp. 390-400

Walters, M. (1995). Developing organisational measures. In: Walters, M. *The Performance Management Handbook.* London: Institute of Personnel and Development.

Watkins, K. E., Ellinger, A. D. and Valentine, T. (1999). Understanding Support for Innovation in a Large-Scale Change Effort: The Manager-as-Instructor Approach. *Human Resource Development Quarterly.* 10 (1)

Wheeler, L. (2011). How does the adoption of coaching behaviours by line managers contribute to the achievement of organisational goals? *International Journal of Evidence Based Coaching and Mentoring* 9 (1).

Whybrow, A. and Henderson, V. (2007). Concepts to support the integration and sustainability of coaching initiatives within organisations. In: Palmer, S. and Whybrown A. (2007). *Handbook of Coaching Psychology.* East Sussex: Routledge.

Winstanley, D. and Stuart-Smith, K. (1996). Policing performance: the ethics of Performance Management. *Personnel Review* 25 (6), pp. 66-84.

Woods, A., S. and West, A., M. (2010). *The Psychology of Work and Organizations.* Andover: South-Western Cengage Learning.

Yin, K., R. (2009). *Case Study Research Design and Methods*. (4th Edition). London: Sage Publications,

http://nurseresearcher.rcnpublishing.co.uk/archive/article-data-collecting-in-grounded-theory-some-practical-issues

http://www.telegraph.co.uk/finance/newsbysector/transport/9166214/Oil-tanker-boss-holds-firm-amid-risk-of-strike-by-drivers.html# accessed 14/9/2012

Appendix 1. Questions for interviews with HR professionals

Thank you for agreeing to participate in this research. I will then go on to cover the following:

- Explain the purpose of the research
    - what it is, its different stages?
    - what I you do with the information gathered?
    - explain how long the interview will take
    - explain that there are no right or wrong answers
    - ask for permission to record the interview, rather than assuming it to be a given

1. Perhaps we could start with you telling me what the organisation does?
2. What challenges do you perceive managers face in managing employees here?
3. How are employees appraised?
4. What do you consider are the good practices managers use when appraising staff?
5. Are there any areas for improvement, if so, can you explain how you believe they would provide improvements to the existing process?
6. Do you feel the policy/procedure and practice are totally aligned? If not, what differences exist?
7. Where there are differences in practice what can you tell me about them?
8. What is the effect of these differences and on whom or what?
9. What does the performance management process include here?
10. I'd now like to consider the use of coaching in your organisation. In what way has the organisation used coaching?
11. Which groups of employees have been trained to coach?
12. When do managers use coaching?
13. How effective is coaching?
14. How could conversations between managers and individuals about performance be improved?
15. In what way would you consider the techniques of coaching to be helpful?
16. Is coaching seen as a useful tool here in enabling conversations about performance?
17. If so, do they use this approach during their conversations about performance?
18. In what way do you think coaching could help these conversations?

Appendix 2. Questions for interviews with line managers

Thank you for agreeing to participate in this research. I will then go on to cover the following:

- Explain the purpose of the research
    - what it is, its different stages?
    - what I you do with the information gathered?
    - explain how long the interview will take
    - explain that there are no right or wrong answers
    - ask for permission to record the interview, rather than assuming it to be a given

1. Please explain the type of work that your team are involved in.
2. What are the key people challenges in your team?
3. How are they supported in achieving these challenges?
4. I understand you carry out performance related conversations with members of your team. What are the benefits of these conversations?
5. Generally, how frequently do these conversations take place?
6. Can you give me an example of a challenge and a positive outcome from these conversations?
7. What kind of preparation do you usually carry out before one of these conversations?
8. How could these conversations be improved?
9. I understand you have received training in coaching and that you have also been coached. Firstly, could you tell me how this has impacted you in terms of managing team members?
10. Reflecting back on your coaching training and having received coaching are there any other aspects of coaching that you could use when discussing performance with employees? If so, what might these be?
11. How could your manager improve the way in which he or she carries out conversations about your performance?

Appendix 3. Questionnaire for survey of employees

Coaching in Performance Management

* 1) Dear Research Participant

Thank you for agreeing to take part in this research which forms part of my Doctorate in Coaching and Mentoring study. You have been selected as a participant because of your experience as an employee who has been appraised and has some knowledge of coaching.

The questionnaire is quite short and should not take you more than 15 mins to complete.

Your answers will be treated anonymously and in strict confidence. Please provide an answer to all questions.

Would you like to proceed?

◯ Yes ◯ No

About you

* 2) Gender?

◯ Male ◯ Female

* 3) How many years have you worked for your current organisation?

◯ 1 to 5 years

◯ 5 to 10 years

◯ 10 to 20 years

◯ More than 20 years

*4) In which sector of industry do you work?

◯ Manufacturing

◯ Education

◯ Financial service

◯ Retail

◯ Information Technology

◯ Public sector

◯ Other. Please specify.

* 5) How many years have you been in employment?

◯ 1 to 5 years

◯ 5 to 10 years

◯ 10 to 20 years

◯ More than 20 years

* 6) Have you been appraised during the last 12 to 15 months?

◯ Yes ◯ No

Your experience of appraisal as part of a performance management process

This section asks questions relating to your understanding and experience of appraisal and performance management.

*7) What do you understand by the term performance management? *(Please select all that apply)*

☐ Receiving feedback on job performance

☐ Performance appraisal

☐ Performance Related Pay

☐ Building rapport between the employee and the manager

☐ Target setting

☐ Assessing development needs

☐ 360 degree feedback

☐ Regular review meetings

☐ Measuring an individual's contribution to the business

☐ Talent spotting

☐ Other. Please specify.

*8) What does performance management include in your organisation? *(Please select all that apply)*

☐ Performance appraisal

☐ Target setting

☐ Regular review meetings to assess progress

☐ Discussion of development opportunities

☐ Performance related pay

☐ Career development meetings

173

☐ 360 degree feedback

☐ Coaching

☐   Other. Please specify.

*9) Who benefits most from the performance management process?

○ Individuals

○ Line managers

○ HR department

○ Senior Management

○ The organisation

○ Other. Please specify.

*10) In your organisation, to what extent is the performance management process capable of achieving the following?

	Always 1	Mostly 2	Sometimes 3	Rarely 4
Positive impact on individual performance	○	○	○	○
Positive impact on organisational performance	○	○	○	○
Enables individuals to better understand what they should be doing and how to do it.	○	○	○	○
Helps line managers' to manage people effectively	○	○	○	○
Helps individuals develop their skills and career options.	○	○	○	○
Helps people understand the organisation's strategic priorities.	○	○	○	○
Helps individuals understand how their behaviour and actions affect the achievement of the organisation's strategic priorities.	○	○	○	○

*11) Thinking about your last appraisal, to what extent did your manager:

	Always 1	Mostly 2	Sometimes 3	Rarely 4
Listen	○	○	○	○
Discuss and agree objectives	○	○	○	○
Provide accurate feedback	○	○	○	○
Give critical feedback when necessary	○	○	○	○
Empathise with your situation	○	○	○	○
Offer support as needed	○	○	○	○
Ask questions to establish your views/feelings	○	○	○	○
Use non-verbal gestures to indicate attentiveness	○	○	○	○

Your experience of being coached and coaching

The following questions ask for your experience and opinions of either being coached or coaching.

*12) In your opinion, what is coaching?

(Please select all that apply)

☐ A conversation between you and an expert who explains how you should handle a task, issue or topic?

☐ A discussion with my Manager to seek direction about handling a task, issue or topic?

☐ A focused conversation with a manager trusted professional or coach on issues relating to professional development?

☐ A conversation with a Manager trusted professional or coach as a sounding board for my thoughts that may lead me to take action?

☐ Other. Please provide details.

*13) Have you experienced being coached in a performance management context?

○ Yes ○ No

*14) To what extent has coaching been helpful in enabling improvements in the following areas of the performance appraisal conversation.

	Very helpful 1	Helpful 2	A little helpful 3	Unhelpful 4	No experience 5
Goal setting	○	○	○	○	○
Exploration of current situation	○	○	○	○	○
Exploration of ideas	○	○	○	○	○
Empathetic listening	○	○	○	○	○
Evaluation of possible actions	○	○	○	○	○
Challenging perceptions	○	○	○	○	○
Problem solving	○	○	○	○	○
Reaching agreement on performance rating	○	○	○	○	○

*15) Has coaching helped you to do your job better?

○　　　Yes　　　　　○　　　　No

Because:

*16) Has coaching been useful for discussing aspects of your job where issues were causing concerns?

○ Yes ○ No

Because:

*17) Would you recommend that managers adopt a 'coaching' approach during performance management conversations?

○ Yes ○ No

Because:

Thank You, Your participation is appreciated.

18) Would you like to receive a summary of the research findings?
(If so please provide an email address below.)

Appendix 4. Consent Form (blank)

OXFORD BROOKES UNIVERSITY

CONSENT FORM

Full title of Project: How can coaching contribute to improving individuals' performance at work?

Researcher: Michele Towell, PhD Student at Oxford Brookes University. Contact email: 09047917@brookes.ac.uk

Please initial box

1.   I confirm that I have read and understand the information sheet for the above study and have had the opportunity to ask questions. ☐

2.   I understand that my participation is voluntary and that I am free to withdraw at any time, without giving reason. ☐

3.   I agree to take part in the above study. ☐

Please tick box

	Yes	No

Include the following statements, if appropriate, *or delete this section from the consent form*:

		Yes	No
4.	I agree to the interview being audio recorded	☐	☐
5.	I agree to the use of anonymised quotes in publications	☐	☐
6.	I agree that my data gathered in this study may be stored (after it has been anonymised) in a specialist data centre and may be used for future research.	☐	☐

_____   _____   _____
Name of Participant   Date   Signature

_____   _____   _____
Name of Researcher   Date   Signature

Appendix 5. Participant Information Sheet

OXFORD
BROOKES
UNIVERSITY

Participant Information Sheet

This research is being conducted by Michele Towell, research
Student, Doctorate in Coaching and Mentoring.

Contact: michele.towell@peoplefutures.co.uk

Study title

Coaching in appraisal conversations and improvements in performance at work?

Purpose of the research and background

To review and analyse existing research on coaching in organisations, performance
management and managers as coaches. The study will also consider performance
management processes as used in private sector organisations and their success in
enabling performance improvements. Fundamentally, the research aims to generate a
theoretical model which makes an original contribution to the performance management
knowledge base and also contributes to professional knowledge by researching the use of
coaching in appraisal conversations.

To date there has been little research integrating the process of coaching with that of
performance management.

Participant Invite

You are being invited to take part in this research study. Before you decide whether or not to
take part, it is important for you to understand why the research is being done and what it will
involve. Please take time to read the following information carefully.

What is the purpose of the study?

The purpose of this study is to develop theory and increase understanding of the role of
coaching within performance management conversations.

The participant part of this research (your part) will involve you either in an interview lasting
for no longer than 45 minutes or the completion of a questionnaire that will take up to 15
minutes to complete.

Why have I been invited to participate?

You were chosen to take part in this study because you are a member of a professional body
either CIPD, ILM or CEng or you have appropriate management experience or a coach
believed you might be interested in helping to enhance understanding in this area of
management. This is because you are either:

- A HR professional with a professional interest in coaching and/or performance
  management.
- A line manager, who is responsible for appraising and/or coaching employees.
- Or you are an employee and have personal experience of being appraised and/or
  coached.

The total number of participants will be:

6 HR professionals
12 line managers who have experience of coaching and appraising staff
And
40 subordinates who have experience of coaching and appraisal

Do I have to take part?

It is entirely up to you to decide whether or not to take part. If you do decide to take part you will be given this information sheet to keep and be asked to sign a consent form. If you decide to take part you are still free to withdraw at any time and without giving a reason.

What will happen to me if I take part?

The interviews will either take place in an office environment or a public place.

If you a HR professional or a line manager you will be invited to participate in a semi-structured interview in an office environment, in a public place for example hotel lobby or over the telephone. The interviews will last for a period of 45 minutes. You will be able to choose the location.

If you are completing the questionnaire this will take up to 15 minutes and you will do this electronically by accessing SmartSurvey.

What are the possible benefits of taking part?

The benefits are that you will contribute towards the development of a new theory associated with coaching and performance management. There may not be any direct benefits for you personally or for your organisation.

Will what I say in this study be kept confidential/data protection?

All information collected about any individual who takes part in this study will be kept strictly confidential (subject to legal limitations). Confidentiality/privacy will be ensured in the collection, storage and publication of research material by de-identifying the participants. However, as the sample size is small there may be implications for anonymity but this will be protected through limited access to data by the researcher and the effective and secure storage of data. The data will be stored in a secure repository. Data generated by the study will be retained in accordance with the University's policy on Academic Integrity. The data generated in the course of the research will be kept securely in paper or electronic form for a period of ten years after the completion of the research project.

Any laptops or memory sticks used in field research will be securely code encrypted so that they comply with the Data Protection act in the UK and will be secured in a secure place. All data will be transferred to Oxford Brookes University for safe storage for 10 years after the conclusion of this research.

There are likely to be 58 research participants.

What should I do if I want to take part?

If you do wish to take part in this study please contact the researcher on the email address below.

The researcher considers there are no risks to participants in this study.

What will happen to the results of the research study?

The results of the research will form part of my thesis for the Doctorate of Coaching and Mentoring. The thesis will be available from Oxford Brookes library. A summary of the research findings will be available on request.

My supervisory team consists of:

Dr Elaine Cox, Director Doctorate in Coaching and Mentoring Programme Oxford Brookes University. BA (Hons), MA, PhD. PGCHE. Currently supervising 8 enrolled research degree candidates as Director of Studies

Currently supervising 3 enrolled research degree candidates as Second Supervisor. Previously supervised to completion 2 PhD candidates as Director of Studies, 2 professional doctorate students as Director of Studies and 1 professional doctorate student as Second Supervisor.

Who is organising and funding the research?

I am self-funded. I am conducting the research as a part-time student at the Business School, Wheatley Campus of Oxford Brookes University.

Who has reviewed the study?

This research has been approved by the University Research Ethics Committee, Oxford Brookes University.

Contact for Further Information

The Research Student for this project is Michele Towell and can be contacted on michele.towell@peoplefutures.co.uk or 09047917@brookes.ac.uk.

 If you have any concerns about the way in which the study has been conducted, they should contact the Chair of the University Research Ethics Committee on ethics@brookes.ac.uk.

Thank you very much for taking the time to read this information sheet.

Date

12 January 2011 (v4)

Appendix 6. Coding: Open, Axial and Selective (from transcripts)

Explore whether the use of coaching by managers in appraisal conversations can improve performance at work.

To achieve the above aim the following objectives have been set:

1. Critically review and analyse literature on coaching in organisations, performance management and managers as coaches.
2. Review secondary sources on the success of performance management processes in private sector organisations.
3. Investigate the effect coaching has on the quality of performance management outcomes.
4. Generate a theoretical model which makes an original contribution to knowledge..

Open Codes	Axial coding	Selective Concepts
Appraisals – key features 1. Alignment with strategic objectives 2. Goal setting 3. Objectives 4. Targets 5. Buy-in to goals 6. Ownership of goals	Alignment with strategic objectives = Goal setting + Objectives + Targets = Individual targets = Axial code: Buying in to goals and therefore goal ownership	Establishing, agreeing and owning goals.
1. No surprises 2. Honesty about where they are compared with where they need to be. 3. Establish relationship 4. Encouragement 5. Fairness 6. Consistency 7. Transparency 8. Trust 9. Regular feedback 10. Regular and focused feedback leads to higher motivation 11. Questioning	No surprises + honesty……..+establish relationship + encouragement +fairness + consistency + transparency +regular feedback = Axial code: Creating a positive appraisal environment	Essential features of effective appraisals

Open Codes	Axial coding	Selective Concepts
12. Appraisee preparation 13. Measuring performance 14. One to ones 15. Challenge 16. Asking questions 17. Evidence 18. Win-win situation 19. Praise 20. Identify strengths 21. Thanks 22. Applies to "what and how" 23. Things that have been done well and not so well 24. Thinks through how to say something 25. I need to prepare my feedback sandwich more 26. Appraisals should be "great conversations". (HR)	Questioning + asking questions + measuring performance + challenge + objectivity + praise + identify strengths + thanks + "what and how" + evidence + done well and not so well + thinks through how to say something + prepare my feedback sandwich more + performance management distributions + appraisals should be great conversations = Axial code: Appraisal conversation ingredients or elements	
27. Performance management distributions Objectivity 28. Evidence 29. Measuring performance 30. Skills 31. Knowledge 32. Building capability 33. Behaviours 34. Technical abilities 35. Skills for tomorrow (HR) 36. Up to date with technology 37. Team development	PM distributions + objectivity + evidence + measuring performance + Matching work output needs with staff aspirations = Axial code: Challenges of appraisal conversations Skills + knowledge + behaviour + technical abilities + skills for tomorrow (HR) + up to date technology + team development = Axial code: Building capability	

Open Codes	Axial coding	Selective Concepts
1. Contracting	Contracting + = Axial code: Contracting	**Managers as coaches**
2. Listening 3. Guide and enable 4. Getting the right form of questions 5. Establishing root cause of issues. 6. Work out what makes people tick in order to get the best out of them 7. Talking about options 8. Using employees' ideas who are doing the job 9. Everyone is different	Listening + guide and enable + working out what makes people tick + establishing the root cause + getting the right form of questions + talking about options + using employees' ideas who are doing the job + Everyone is different = Axial code: The process of the coaching conversation	
10. Employees identify solutions themselves (M4pg 11) 11. Delivers improved performance 12. Definite impact on business 13. Coaching is supportive of innovation and creativity (HR) 14. Discretionary behaviour 15. Getting the most talent from the people we have available 16. We are more involved with people now	Employees identify solutions themselves + discretionary behaviour + delivers improved performance + definite impact on business + coaching is supportive of innovation and creativity (HR) + coaching delivers positive impact from appraisals + understanding why something has gone wrong + getting the most talent from the people we have available + we are more involved with people now + Important to communicate clearly what people need to do differently + Moving	

Open Codes	Axial coding	Selective Concepts
17. Understanding why something has gone wrong 18. Coaching delivers positive impact from appraisals	people out of their comfort zone = Axial code: Outcomes from coaching conversations in appraisal situations	
1. Behavioural coaching takes more time 2. Coaching other managers staff helps you to understand issues of some of your own team might have 3. What kind of behaviour we are looking for 4. Performance distribution scores impact on a managers ability to coach 5. Coaching is part of the manager's tool kit 6. Encouraging managers to use coaching in conversations about performance. 7. Adopt a coaching style in the first instance. 8. Sometimes it is necessary to use directive coaching or tell. (HR)	An individual's manager shouldn't coach on every topic (M4 pg 25) + There are some issues people just don't want to share with their manager + The manager could be the cause of the problem + time associated with coaching (HR).	

Open Codes	Axial coding	Selective Concepts
9. Moved us away from the tell approach (HR) 1. An individual's manager shouldn't coach on every topic (M4 pg 25) 2. There are some issues people just don't want to share with their manager 3. The manager could be the cause of the problem. 4. Time associated with coaching (HR		
1. Quality of products and services 2. Customer service 3. Timescales 4. Time 5. Product development and innovation 6. Need to be more nimble (HR) 7. Need to be more customer centric (HR) therefore change in mindset required. 8. Need to hold people more	Quality of products and services + Customer service + Timescales + Product development and innovation + planning for tomorrow (HR) + Need to be more nimble (HR) + Need to be more customer centric = Axial code: Product or service issues Need to hold people more accountable for their job + Ownership of issues by employees + Change + Organisations are addressing who has the potential to be part of the next generation of leaders. Career development and progression	**Current Business challenges faced by organisations who participated in this research**

Open Codes	Axial coding	Selective Concepts
accountable for their job. 9. Ownership of issues by employees 10. Change	particularly in respect of global organisations Above in relation to engineers = Axial code: People related issues	
Issues associated with this research: 1. Opportunities for mentoring other people in the organisation 2. Opportunities for rotation 3. Stuck employees 4. Different approaches to preparation for appraisals; some very detailed others much less 5. Working on having talent pipelines.		
Performance Management: 1. Ongoing process (HR) 2. Not something the manager does to you. (HR) 3. Employees are expected to assess their own performance (HR) 4. Starts from the their first day (HR) 5. Not how managers perceive it (Issue for HR then)	Ongoing process (HR) + Not something the manager does to you. (HR) + Employees are expected to assess their own performance (HR) + Starts from the their first day (HR) + Not how managers perceive it (Issue for HR than) + Organisational expectations not always outlined to new employees in sufficient detail (HR) + Some organisations trying to establish how well the appraisal is done as well as counting those that are donedonene	**HR's perception of Performance Management and managers' ability to manage**

Open Codes	Axial coding	Selective Concepts
6. Organisational expectations not always outlined to new employees in sufficient detail. (HR) 7. Some organisations trying to establish how well the appraisal is done as well as counting those that are done. Done through employee surveys. 8. Frustrating when managers don't get to know their team members. (HR) 9. Evidence of career development frameworks in place. Competency based. 10. Lack of feedback provided by managers on behaviours in some organisations. 11. Lack of support in some organisations by managers for employees and their development.	through employee surveys Evidence of career development frameworks in place + Competency based + Individuals promoted to management aren't necessarily those with people skills + Where performance issues are raised follow up doesn't always happen + Lack of feedback provided by managers on behaviours in some organisations + lack of support in some organisations by managers for employees and their development. Axial code: Perceived improvements for performance management in organisations from a HR perspective	

Appendix 7. Coding: Open, Axial and Selective (from questionnaire)

The following data comes from the qualitative questions in the questionnaire.

Explore how the use of coaching by managers in appraisal conversations can improve performance at work.

To achieve the above aim the following objectives have been set:

5. Critically review and analyse literature on coaching in organisations, performance management and managers as coaches.
6. Review secondary sources on the success of performance management processes in the private sector organisations.
7. Investigate the effect coaching has on the quality of performance management outcomes.
8. Generate a theoretical model which makes an original contribution to knowledge..

Open Codes	Axial coding	Selective Concepts
Job benefits from coaching: 1. Working together to agree targets 2. Suggest areas that be worked on 3. Coaching is non threatening and positive and therefore I am more likely to improve 4. Helps to think things through and explore other perspectives. 5. Challenges thought process 6. Encouraging self to think about solutions. 7. It clarifies agreed courses of action 8. Helped me reflect on differing opinions 9. Think more broadly regarding solutions	**Job benefits of coaching**= Non threatening + positive + more likely to improve + helps to think things through + challenges thought process + + clarifies agreed courses of action + builds confidence + provides reassurance + safe environment + meaningful conversations + listened to + develop a more rounded or holistic view of role/life + rectify areas for development concerning my performance + someone to confide in + helped with professional development	Employees views of coaching during PM conversations: Benefits Process Why recommended What's need to make it effective

10. Consider other aspects and view points
11. Look at wider organisational impact
12. Builds confidence and provides reassurance
13. Helps determine boundaries
14. Opportunity to take political temperature of organisation in a safe environment
15. Meaningful conversations
16. Listened to
17. Gives direction
18. Enhance effectiveness
19. Helped me reflect and challenge my thinking
20. Develop a more rounded or holistic view of my role within my life
21. Explore different avenues and alternatives
22. Provides a sounding board
23. Rectify areas for development concerning my performance
24. Able to confide
25. Listened to empathetically
26. Helped with professional development
 	
Positive about coaching in PM
  1. I strongly believe in it.
  2. Better than asking for the answer, forgetting and asking again.
  3. Most effective in achieving the
	Axial code: Outcomes of coaching during performance management conversations.
	
	Process of coaching= encouraging self to think about solutions + explore other perspective + consider other aspects and viewpoints + helps to determine boundaries +political environment + empathetic listening + enhances effectiveness + helps reflection + challenge thinking + explore different avenue + sounding board +
	
	Axial code: Impact of coaching on 'self' concept
	
	Why is coaching recommended during PM conversations?= Strong belief + better than telling + enables achievement of objectives + enables employee thinking process + improves motivation + two-way conversation + reduces ambiguity + encourages a dialogue + brings the best out of people + encourages managers to question more and provide	

objectives and outcomes of performance management 4. Enables employee to think the process through 5. Employee doesn't becomes demoralised if they get it wrong but actually motivated as they are encouraged to think 6. Two-way conversation 7. Reduced ambiguity 8. Encourages a dialogue 9. Brings the best out in people 10. Encourages managers to question more and provide feedback 11. Enables self-development 12. Maximises contribution to the business 13. Helps widen through process 14. Helps individual to improve and get better results for the organisation.	feedback + enables self-development + maximises contribution + improved results for the organisation + helps individuals to improve + empowers employees + ready to tackle anything **Axial code:** Reasons for supporting the use of coaching in PM conversations	
Additional input: 1. Coaching is an important element of performance management, if it is to be effective managers need to be trained in terms of skills 2. If carried out well it can leave you empowered and ready to tackle anything.	**Axial code:** Factors of implementation: Training for managers	

190

Appendix 8. Questionnaire to Managers on coaching behaviours

Dear Research Participant

You kindly participated in a semi-structured interview with me earlier this year concerning my Doctoral research "To explore whether the use of coaching by managers in appraisal conversations can improve performance and work".

I am in the data analysis phase and have decided to follow up, the interviews, with a short questionnaire about the behaviours managers may use during performance management conversations. I would very much appreciate you completing this short questionnaire so I can enhance my data analysis. Its completion should not take more than 10 minutes.   For the purpose of completing the questionnaire please consider any performance related conversations, for example, one to ones, performance appraisal (you may call them something else, but that does not matter here) and even chance conversations you may have about performance. In this latter circumstance, the individual employee may instigate the conversation.

The content of the questionnaire is attributable to Hunt and Weintraub (2011) whose research is focused on The Coaching Manager.

Management Behaviours Please indicate how often you use the following behaviours by **ticking** the most appropriate column. ✓	Frequently use	Occasionally	Rarely use	Never use
I encourage direct reports to give me honest feedback				
I take time to reflect upon the best course of action rather than jumping to conclusions				
I encourage others I work with to reflect on their work				
I handle myself in a calm manner when things become hectic				
I encourage the ongoing learning and development of others				
I take time to develop my own skills and abilities through continuous learning				
I give timely feedback that helps others understand their own work performance				
I view mistakes as learning opportunities when appropriate				
I use questions to help others think through an issue or a problem rather than immediately telling others what I think is the right solution				
I encourage others to share new ideas regarding work, even if they are contrary to my own				
I share information with others in a timely fashion				

Management Behaviours Please indicate how often you use the following behaviours by ticking the most appropriate column.	Frequently use	Occasionally use	Rarely use	Never use
I communicate my management philosophy and expectations with those around me.				
I impart a clear vision of what successful work performance should look like.				
I have an open-door policy – when others need assistance they know I will set aside time to address their concerns.				
I respect the confidential nature of my discussions with others when appropriate.				
I schedule a future time to meet with others when I am not immediately available to meet their needs.				
I do not interrupt others when they are speaking.				
I pay attention to the manner in which others are speaking as well as their words (using cues such as body language, tone of voice, etc).				
I stop what I am doing and pay attention when someone is speaking.				
I restate others' words to ensure that I have a proper understanding of what they are trying to say.				
I help people feel comfortable discussing issues with me by acting in a non-judgement manner.				
I recognise the people I interact with as unique individuals who have different needs and goals.				
I create an environment in which people want to make decisions related to their own development.				
I support people when they have dealings with others outside our team, when needed.				
I look for competent, self-motivated candidates for open positions, particularly those who have a desire to grow with the organisation.				
I follow through on my commitments.				

If you would like to add any contextual information on why you **never** use 1 or more of the above behaviours then please do so.

If you would like to indicate which of the behaviours are most important for you then please do so.

Appendix 9. Consent Forms