

Handbook of Human Resource Development

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Editors

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FOREWORD

Since facing the room full of HRD researchers at Georgia State University in 1993 to negotiate the formation of the Academy of Human Resource Development, I don't believe I've had as exhilarating an experience as watching this *Handbook of HRD* take form and blossom. We are discovering fresh and zealous voices as HRD advocates. Who would have believed that, in a few short years, we would be talking about both the profession and the discipline of HRD? We are on the verge of something big, something extraordinary, and something that is fulfilling a vision I and many others have had for the field.

Identifying the topics that represent both the profession and the discipline of HRD and selecting authors for those topics is a daunting task. But here we have a more than satisfactory result. We must applaud the sterling efforts of Neal Chalofsky, Tonette Rocco, and Lane Morris for tackling this project, and pay tribute to each of the dedicated authors for allocating the time and their personal talents to bringing the *Handbook of HRD* to fruition.

Most would agree that the majority of those who were part of the initial body forming the Academy were minimally educated in something newly called human resource development. As Neal has so aptly pointed out, Leonard Nadler coined the term only in the 1970s, and the first conference on the academic preparation of practitioners of training and development occurred in the late 1980s. We limped along the path to clearer identification during the 1990s and learned a lot about the body of knowledge that is

being summarized in this handbook somewhat tangentially. For example, I remember standing before the great pyramids in Cairo, Egypt, and staring into the sunlight with Ron Jacobs after making some presentations at a conference there and learning about HRD; I remember urging Mike Marquardt to write a book on HRD, which he did brilliantly, teaching me about HRD; I recall interacting with Karen Watkins about the difference between performance and learning while visiting the University of Georgia and discovering more about HRD. Many readers of this handbook learned about developing people in the same indirect ways and enhanced their understanding of HRD in the process.

The *Handbook of HRD* is divided into eight sections, with no more than six chapters in each section, for a total of forty topics that encompass an amazing range of issues from foundations of the discipline of HRD to perspectives on HRD to developing expertise and spirituality to managing HRD, and to innovative applications in the field. Issues such as certification and accreditation are also addressed. Reading each of these topics carefully will reveal the nuances that exist in the profession and discipline of HRD.

Although other handbooks about HRD and many of the inherent topics are available, this handbook is written from the perspective of HRD scholars who are attempting to make sense of the varied dimensions of the field. Here, in a single source, is a treatment of various topics and issues about which academicians and some practitioners are ruminating on a daily basis. Every chapter opens a vista from which to view a nagging question from both a traditional perspective and a new and innovative perspective, so that both newcomers and veterans of HRD have an opportunity to learn more about the field's many aspects.

In a sense, the chapters in this handbook have been wrung out of the scholarly livelihoods and the professional experiences of the authors, providing us with both routine and provocative insights. Some of the scholars represented in the handbook may seem less familiar to some readers, but the youthful pattern of authors shows the immense strides our field has taken in developing talented representatives of the discipline.

As our handbook authors will agree, it is critical to recognize that the credibility and effectiveness of our profession/discipline of HRD depend on how well the people in HRD departments implement policies and practices that develop both the talents of individuals employed by the organization and their resources as working members of the organization.

I am pleased with my association with members of the discipline and profession of human resource development, but especially with members of the Academy of Human Resource Development (AHRD). With them, and all others who might probe the depths of this handbook, I encourage you to review, absorb, digest, and ruminate on what has been written here. It can do you nothing but good, and may even boost your image of the field and expand

your knowledge. Explore the full range of topics and begin your own adventure into the field of human resource development.

August 2014

R. Wayne Pace
Founding President
Academy of Human Resource Development (AHRD)
St. George, Utah



ABOUT THE EDITORS

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PREFACE

Several years ago the three of us were an ad hoc group tasked by Lane Morris, who was the director of the Program Excellence Network (PEN) of the Academy of HRD (AHRD), to develop projects that PEN could undertake that would benefit the academic program directors and their colleagues. We kicked around several ideas, but the one that seemed to stand out was a handbook that would represent the present and future of our field. So we proposed it at the next PEN meeting in 2011, and the members approved our going forward and developing a proposal for a publisher.

We wanted a handbook that comprehensively and authoritatively covered the concepts, theory, research, and applications of the field of HRD. Historically, the two most well-known handbooks in the field have been ASTD's *Training and Development Handbook* series (now titled the *Handbook for Workplace Learning Professionals*) and the *Handbook for Human Resource Development* edited by Len Nadler. Both publications were and still are geared toward a practitioner audience, as are others that are in the professional marketplace. This handbook is for academics, scholar-practitioners, and graduate students, who are more focused on research, theory, and cutting-edge applications.

We knew from the beginning that it could not cover every topic we and/or everybody else would want in a handbook, so we decided to first solicit proposals from potential chapter authors. Once we had those in hand, we then asked certain individuals to author chapters that we felt were critical for this first edition.

We framed the sections around the chapters. We are very proud of the diversity of authors, in terms of level of experience and expertise, international representation, and demographic diversity. Some names you will immediately recognize, and some you may not. But all the authors are knowledgeable about the topics they addressed. We asked authors to use the following guidelines to craft their chapters:

- What is the state of HRD in terms of both a profession and a field of study and research, from a national and international perspective?
- How is HRD described in terms of philosophy, values, and critical perspectives?
- What are the foundational knowledge, theory, and research related to the study of the discipline?
- What are the important issues (now and in the future) in terms of the profession, research, philosophy, and policy?
- What are the key touchstone perspectives framing current debate in the field?
- What should the foci be for the future of the HRD profession and discipline?

OVERVIEW OF THE SECTIONS

Neal leads off with an introduction that looks back at the development of the HRD field from his “lived” personal perspective.

- Foundations of the Discipline of HRD is the first section and covers the theories and concepts that have most influenced (and still influence) the discipline and profession of HRD.
- Issues and Perspectives on HRD is concerned with some of the more controversial and provocative issues in the field.
- Developing the Workforce speaks to the fundamental purpose of this field: to develop the human resources of organizations.
- Managing the Workforce deals with issues concerning the diversity within most organizations these days.
- HRD in the Organization covers areas of responsibility and expertise that fall under HRD.
- Managing HRD is about the issues concerning the management of the HRD function in organizations.

- Innovative Applications includes some of the more “cutting-edge” concepts and interventions of the field.
- Future Directions is the last section and focuses on issues that will shape the further development of HRD as a profession and discipline.

ACKNOWLEDGMENTS

We are very excited that not only did PEN sponsor this project, but that the Academy board of directors agreed to endorse the handbook. As an official publication of the Academy, our hope is that the board will authorize a new edition periodically. Whether one or more of us remain as editors, we would expect that certain chapters will remain in the handbook because they are critical to understanding where we have come from, and other chapters will be new to reflect who we are at that point in time and where we are going.

We would like to thank our editor at Jossey-Bass, Matthew Davis, as well as Ryan Noll, Dawn Kilgore, and the rest of the Jossey-Bass staff for their support. We would also like to thank Joe Follman and Anne Lackritz, two GW graduate research assistants, who helped us with collecting and organizing material at either end of the authoring process. We, of course, greatly appreciate the contributions and support we received from all the authors and co-authors. They represent the best of the profession and the discipline of HRD.

For the three of us, this was a “labor of love” for the field of HRD, and for the Academy of HRD. Each of us has played different roles in the Academy, each of us represents somewhat different academic programs, and each of us has taken a somewhat different path and is at a different stage in our career. But we all care deeply about this profession and discipline that is called HRD. And we hope that you, the reader, gain as much from reading this handbook as we did from editing it.

Neal Chalofsky,
Tonette Rocco,
and Lane Morris

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INTRODUCTION: THE PROFESSION AND THE DISCIPLINE

This introduction is about the progression of human resource development (HRD) from a field of practice to its current status as a profession and a discipline. Because I have “lived” this progression since 1970, this will be a very personal view of how this field has developed. Given that this piece reflects my historical perspective of the field, the references are ones that impacted the evolving flow of events at that time.

HRD, like other applied fields, has developed a unique body of knowledge suited to its purpose through three methods:

1. Experiences gained from coping with problems of practice lead to the formulation of principles or generalizations, which becomes known as best practice.
2. Thoughtful best practice is researched and analyzed, and becomes concepts and theories.
3. Knowledge that has been developed by other disciplines is borrowed and reformulated for use in the field. (Jensen, 1964)

HRD began as a very practical field. Like adult education, HRD’s primary objective was to help people cope effectively with some unsatisfactory state

of affairs or problem of everyday life” (Jensen, 1964, p. 106). Jacobs (1990) echoed this theme when he stated that:

“HRD is both an area of professional practice and an emerging interdisciplinary body of academic knowledge. The interrelatedness of these two aspects makes HRD similar to most other applied professions, most of which have emerged to meet some important social or organizational need. After the practice is established, the need arises to formalize the knowledge gained in practice into some logical structure. Such activity helps legitimize the profession and increases the reliability of practice.” (p. 66)

The first U.S.-based graduate program that I know of began operations at George Washington University (GW) in 1958. It was designed for federal government trainers and was a master’s program in employee development. In 1970, when Nadler published his seminal text, *Developing Human Resources*, he also changed the name of the program at GW to human resource development (HRD). There is a question as to whether he actually originated the term, but he definitely introduced it to the U.S.-based training and development field, and I believe GW was the first graduate program to use the title.

In 1975, I joined the American Society for Training and Development’s (ASTD) national Professional Development Committee, and in 1979, as chair of the committee, I convened the first meeting of HRD-related academic programs to discuss the possibility of establishing an organization of such programs. Several years later the HRD Professors’ Network was established with Fred Otte as its first director, which in 1993 separated from ASTD and became the Academy of HRD (AHRD). AHRD is a global organization that represents the scholarly community of academics, graduate students, and reflective practitioners in the field.

HRD: FROM PRACTICE TO PROFESSION TO DISCIPLINE

The practice of the profession is the day-to-day set of learning-related activities that are conducted in any one organizational setting (refer to Figure I.1). As was mentioned above, these practices are periodically thoughtfully analyzed, and what seems to be effective in a variety of settings becomes “best practice.” These best practices are then presented at professional association conferences and in professional journals, or are provided by consultants to organizations. Professionals go to local professional association meetings to learn best practice, and some enroll in graduate certificate and degree programs to become more competent; more knowledgeable; and more professional. Thoughtful best practice is also published in magazines, practitioner journals, and books. Applied research is conducted by consultants on best practice in the field, and empirical research is conducted on issues and problems in the field by

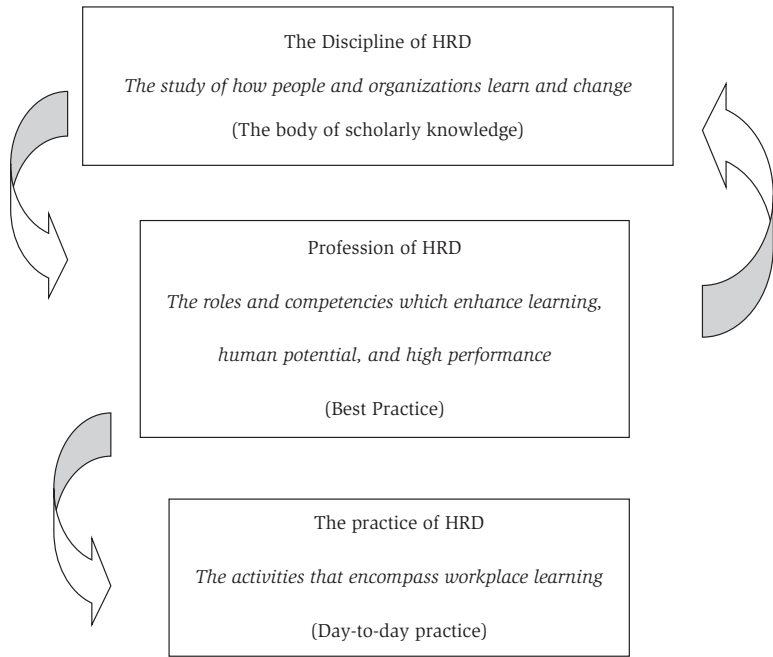


Figure I.1 The Evolution of the HRD Field

academics and graduate students, and they also are published in journals and presented at conferences. All of this can eventually evolve into concepts and theories that are the basis for articles and books that enrich the body of scholarly knowledge in the field.

The study of this scholarly knowledge within a certain domain is known as a *discipline*. The theories and concepts informing and influencing the discipline are more expansive than the knowledge base influencing a profession. The professional knowledge base is related to the specific roles that should be performed in organizations and the specific competencies required to perform these roles, based on benchmarking and best practice. The scholarly body of knowledge informs the profession, and best practice (hopefully) informs day-to-day practice. Reflective best practice can also be incorporated into the body of knowledge as new theories and concepts.

EVOLUTION OF THE PROFESSION

This handbook is about the profession and discipline of HRD and does not include activities that would be considered day-to-day practice, yet the history of the profession and its evolution into a discipline start with a field that had

no body of knowledge and had no academic programs. It was totally a field of practice.

There are other resources (Craig, 1996; Nadler & Nadler, 1990) that one can read for a detailed historical treatment of HRD. I wanted to depict the growth of the field as a natural maturing process that responded to the changing needs of organizations and society, rather than a list of names, places, and dates.

The first major analysis of the emerging profession appeared in an article by Lippitt and Nadler (1967). The authors identified three roles (*identified in italics*) of the training director, which were presented in the order in which they emerged in practice. The earliest formal training activities were conducted during World War II by teachers who had been recruited out of their classrooms and technical specialists from industry to be *instructors* to the unskilled workforce. The first training methodology was developed during these years, JIT, job instruction training (show, tell, do, and check). Many trainers who stayed in business, industry, and government during the war found themselves slowly assuming *administrative* responsibilities as training directors. The American Society for Training Directors (later to become the American Society for Training and Development or ASTD) was established in 1945. Eventually, as expertise developed in the areas of organizational behavior, group dynamics, and management theory, training directors began to call on outside consultants to help *solve organizational problems* that did not respond to training solutions. Nadler (1970) later noted the expansion of the role of instructor from a provider of skills and knowledge to one of a specialist in the whole process of training design and delivery by renaming the role *learning specialist*. He also renamed the organization problem solver role as *consultant* to acknowledge the focus of the role as being more a provider of expertise and advice. In the same book, Nadler (1970) also presented a definition of HRD as “a series of organized activities conducted within a specified time and designed to produce behavioral change” (p. 3). This definition fit with the design, development, and problem-solving process represented by the three roles.

In the 1970s a new role emerged from practice: *career development specialist*. This role has had a more distinctive evolution than that of the other three (Chalofsky, 1989). Professional counselors traditionally provided career guidance and counseling in schools, as members of recruiting firms, and in private practice. Concurrently, industrial psychologists were designing programs to select high potential employees and provide them with training and development, as well as plan for their career progression. Their goal was to ensure a steady supply of managers and executives for their growing organizations. At the same time, employees needing advice on how to move up the organizational career ladder turned to the best internal source, the HRD specialist, for that information. Eventually, organizations wanting to provide career counseling for

their employees realized that clinically trained professionals should provide that service, yet it was “housed” under the HRD function because of the developmental aspect of the activity. Unfortunately, the in-house activity virtually disappeared after the downsizing phenomenon of the 1990s.

In 1987, an ASTD task force chaired by Pat McLagan developed a list of roles and competencies for the HRD professional and defined HRD from a functional perspective, based on the prevailing activities housed in major corporations at the time. They considered HRD to encompass training and development, organization development, and career development (McLagan, 1989).

Another view of the evolution of HRD within the industrialized countries is from a need-based perspective. The growth of the economies of industrialized countries in the 1950s and 1960s resulted in skill shortages that led to the demand for systematic skill training, such as the *Instructional Systems Development* model developed in the United States. In the 1960s, group dynamics and human relations training were predominant because of the influence of the work of the National Training Laboratory (NTL) and Tavistock in the UK. In the 1970s, there was a dramatic increase in the amount and scope of supervisory and management development, and an emphasis on training needs assessment and evaluation. These last two activities provided data that learning was not effectively transitioning from the classroom to the job. This led in part to new approaches, such as self-directed learning on the individual level and transfer of learning and program evaluation at the organization level.

HRD as a profession has matured to the point that it has attained a seat at the executive table in many organizations through the title of “chief learning officer.” But it also seems that what the functions and individuals do under that title isn’t any more consistent than it has ever been. Meanwhile, the state of research and theory building has been evolving to a point of having a direct impact on the growth of the body of knowledge in our field. Not only has research and theory-building added depth to the lines of inquiry, but it has also increased the scope of what is considered to be in the domain of our discipline. It has become more difficult to determine when other disciplines are influencing us and when we have begun to influence other fields.

HRD AS A DISCIPLINE

What Is a Discipline?

A discipline, as defined by the *American Heritage Dictionary*, is a branch of knowledge or teaching. A discipline embraces a body of knowledge and an understanding of how that knowledge is put to use. Members (academics, students, and professionals) are part of a group that shares a sense of identity

with the subject matter of the discipline. Members gather and share knowledge in meetings that support the discipline. In academic institutions the discipline is represented as a field of study.

King and Brownell (1966) have identified ten characteristics of a discipline, which they describe as an academic curriculum. One characteristic of *a discipline is a community*: “. . . the corps of human beings with a common intellectual commitment who make a contribution to human thought and human affairs” (p. 68). Surely, AHRD constitutes a community of human beings with a common intellectual commitment, leading the human resource development profession through research. King and Brownell talk about scholars who are specialists engaged in “. . . the spirit of inquiry applied to defined domains of human concern” (p. 68). Learning, performance, and human change, among others, are certainly defined domains of human concerns.

The scholarly literature and presentations at AHRD have in the past reflected three different perspectives that can be characterized as *learning*, *performance*, and *humanistic*. The debate among these different perspectives has at times been heated but has done little to move the discipline forward in terms of a philosophy or purpose. It is, as Ruona and Lynham (1999) pointed out:

“. . . a conversation having us—that is, . . . a conversation that is ongoing and becomes the prominent focus such that little else actually happens except the having of the conversation. Very few new thoughts are generated, positions are defended, tradition weighs heavy, and very little progress is made in understanding and creating new meaning.” (p. 215)

In 2000, a small group of HRD scholars and practitioners at the Academy of HRD conference began to analyze the tension and gulf between these perspectives. Our goal was to clarify the fundamental values about what HRD should be and to explore if and how these values could be woven together.

To fully appreciate the diversity of views that existed at that time about the purposes of the discipline, a brief sketch of three fundamental philosophical perspectives of HRD is presented.

The Performance Perspective. Holton (2000) defined performance as accomplishing units of mission-related outcomes or outputs. A performance system is any system organized to accomplish a mission or purpose. It is important to note that Holton and others used the term “performance system” instead of organization. Performance systems are simply purposeful systems that have a specified mission. All organizations are performance systems, but some performance systems are not an organization. For example, a community could become a performance system if it adopts a mission. Thus, the performance paradigm holds that the purpose of HRD is to advance the mission of the performance system that sponsors the HRD efforts by improving the capabilities

of individuals working in the system and improving the systems in which they perform their work.

Holton (2000) outlined eleven core theoretical assumptions of this perspective:

1. Performance systems must perform to survive and prosper, and individuals who work within them must perform if they wish to advance their careers and maintain employment or membership.
2. The ultimate purpose of HRD is to improve performance of the system in which it is embedded and which provides the resources to support it.
3. The primary outcome of HRD is not just learning, but also performance.
4. Human potential in organizations must be nurtured, respected, and developed.
5. HRD must enhance current performance and build capacity for future performance effectiveness in order to create sustainable high performance.
6. HRD professionals have an ethical and moral obligation to ensure that attaining organizational performance goals is not abusive to individual employees.
7. Training/learning activities cannot be separated from other parts of the performance system and are best bundled with other performance improvement interventions.
8. Effective performance and performance systems are rewarding to the individual and to the organization.
9. Whole systems performance improvement seeks to enhance the value of learning in an organization.
10. HRD must partner with functional departments to achieve performance goals.
11. The transfer of learning into job performance is of primary importance.

In addition, the performance perspective does not see performance as governed by behaviorism; demand that outcomes of HRD interventions be predetermined before the interventions begin; ignore individual learning and growth; have to be abusive to employees; or have to be short-term focused.

The performance perspective pushes HRD to grapple with two basic questions: Could HRD sponsored by a performance system survive if it *did not* result in improved performance for the system? Second, will it thrive if it does not contribute in a substantial way to the mission of the organization? Like all components of any system or organization, HRD must enhance the organization's effectiveness. The challenge is to consider *how* performance should be incorporated in HRD theory and practice, not whether it should be.

The performance perspective maintains that HRD will only be perceived as having strategic value to the organization if it has the capability to connect the unique value of employee expertise with the strategic goals of the organization (Torraco & Swanson, 1995). Performance advocates have seen little chance that HRD will gain power and influence in organizations by ignoring the core performance outcomes that organizations wish to achieve. By being *both* human and performance advocates, HRD stands to gain the most influence in the organizational system. If the field of HRD focuses only on learning or individuals, then it is likely to end up marginalized as a staff support group.

The Learning Perspective. Underlying the learning perspective is the fundamental belief that learning should be a primary focus of HRD, and organizations that adopt such a focus will have a more satisfied and productive workforce and will be more effective. This perspective focuses on change through learning and sees HRD as “the field of study and practice responsible for fostering long-term, work-related learning capacity at the individual, group, and organizational levels in organizations” (Watkins, 1989, p. 427). HRD is thus primarily concerned with “increasing the learning capacity of individuals, groups, collectives, and organizations through the development and application of learning-based interventions for purpose of optimizing human and organizational growth and effectiveness” (Chalofsky, 1992, p. 179). Two fundamental focal points of the learning perspective are adult learning theory and the research and development around the concepts of the learning organization and organizational learning.

Adult learning is represented by a complex of theories, models, ideas, and principles, perhaps the most popular of which is embodied in a set of six core adult learning principles that Knowles (1990) labeled *andragogy*. Although it is generally agreed that adult learning plays an important role in HRD, there is a continuum of beliefs about how adult learning should be conceptualized. On one hand, some advocate that the real value of adult learning lies in its ability to contribute to individual development (Dirkx, 1996). Individual development, in turn, is framed to include not simply the accumulation of knowledge or skills, but the development of cognitive schemes and ways of thinking that can enlighten and transform personal experience (Barrie & Pace, 1998). In fact, in one of Knowles’ (1975) lesser-known works, *Self-Directed Learning*, he called for a definition of competency that included not only knowledge and skill, but also understanding, attitudes, and values.

This view emphasizes the intrinsic value of learning over its instrumentality, does not limit adult learning in HRD to organizational contexts, and believes that the decisions about when and what learning occurs should reside primarily with individual learners (Hiemstra & Sisco, 1990). At the other extreme, there are those who posit that the worth of workplace adult

learning can only be judged by the extent to which it contributes to the performance goals of the sponsoring organization (Swanson & Arnold, 1996). This view emphasizes organizational needs over those of the individual and believes that, when individual and organizational needs are not wholly congruent, organizational needs take precedence. Van der Krogt (1998, p. 162) discussed this tension as “learning systems as a tool for management” versus “learning systems as a tool of personal development.”

As implied in Watkins’ and my definition cited above, there is also a need to move to a broader, more transformative definition of workplace learning that allows for learning to be a critical part of organizational culture (Watkins & Marsick, 1993). Senge (1990) defined a learning organization as an organization that is continuously expanding its capacity to create its future and change in response to new realities. Learning is the driver of this capability, and HRD is responsible for “facilitating or monitoring all types of learning in the workplace, including formal, informal, and incidental learning” (Watkins & Marsick, 1993, p. 118). Learning organizations are ones that have woven a continuous and enhanced capacity to learn, adapt, and change into their culture. Here values, policies, practices, systems, and structures are oriented toward supporting and accelerating the learning of all employees. This learning results in continuous performance improvement in areas such as work processes, products and services, the structure and function of individual jobs, teamwork, and effective management practices. Learning organizations view learning holistically and seek to develop individuals as competent, well-informed, critical thinking adult learners who are continuously seeking to grow and be high performing (Bierema, 1997). Holistic, transformative learning leads to personal growth (intellectually, psychologically, spirituality, and morally), which then leads to high performance, workplace meaning and satisfaction, and organizational effectiveness.

Humanistic Perspective. This concept is multidimensional, transformational, and expressed through one’s ability to find meaning in everyday life and the capacity to create a meaningful world (Chalofsky, 2000; Neck & Milliman, 1994). Humanism emphasizes inner growth that is realized through the interaction of self, context, and life experiences. The growth can become transformational in that it empowers individuals to take an active and creative role in shaping the world.

This perspective emphasizes a holistic approach to human development and the development of organizations that is reflected in two fundamental elements. First, it recognizes the need to develop the whole person (Dirkx, 1996). It is concerned not only with individual cognitive development, but also emotional, moral, ethical, creative, and relational development. It is focused on development that will enable individuals to realize their full potential in a

meaningful way and is concerned with issues surrounding meaning of work, how individuals experience work, and how they make meaning out of that experience. Dirkx and Deems (1996), for example, called for an ecological approach to work, one that “bridge[s] the gulf between the psychological and the organizational, to see the needs of the individual and the workplace as a continuum, to understand the ‘inner life’ as intimately and deeply connected to and embedded within an outer life” (p. 276). Rousseau and Arthur (1999) have argued that organizations have a duty to contribute to both individual work expertise and quality of life. Because of HRD’s expertise and humanistic value set, they are more than capable of addressing both competence and quality of life issues, both of which are critical for organizational success.

Second, this perspective sees work as having a transcendent element that goes beyond individual and organizational boundaries. This view is grounded in the notion of interconnectedness, a systems perspective that sees the world as a complex of parts braided together into a unified whole (Capra, 1996). Humanistic spirituality is concerned with making meaning of one’s reality and finding significance in that meaning. It is a function of all life experience, including work, and has been described as “a reaffirmation of self [that is] characterized by a contextual awareness of oneself as one journeys inward to discover the self” (Chalofsky, 2000, p. 97).

The implication is that HRD values should extend beyond issues of work goals, tasks, structure, productivity, or performance to a concern for the health and humanness of our organizations, society, and the world as a whole (Hatcher, 2000; Hawley, 1993). Hatcher and Brooks (2000), for example, noted a number of emerging economic systems and psychological theories that encourage us to “take responsibility for the world beyond our organization, and recognize that with each interaction we have and each action we take, we are co-constructing a new organization” (p. 9). This perspective also has reflected a developing discourse in the critical HRD literature surrounding issues of social responsibility (Hatcher, 1998; 2000; Hatcher & Brooks, 2000), although how the expression of these values can be managed in an organizational context has not yet been resolved. Some suggest that, as architects of organizational performance systems and facilitators of human learning and development, HRD should embody these values and express them in organizations through a legitimate “check and balance” role (McAndrew, 2000), or through development of strategies that reflect societal and ecosystem needs (Hatcher, 1998, 2000).

Once the pre-conference group started to share what was common among the three perspectives, we were able to articulate a new statement of purpose for HRD that we believed articulated the synergy of the learning, performance, and humanistic viewpoints: *The purpose of HRD is to enhance learning, human potential, and high performance in work-related systems* (Bates, Hatcher, Holton, & Chalofsky, 2001). Note that this is *not* a definition.

It speaks to the purpose of why we exist in the workplace. Harter et al. (2002) talked about an approach to how HRD can function that would include designing more meaningful and democratic forms of working, managing, and learning, which could lead to enhanced employee engagement and business performance. If we accept that HRD is practiced within capitalist economies in most industrialized countries, then should not the philosophy, the purpose of HRD, be to influence capitalism to be as humane as possible? If we believe that organizations need to be socially responsible, and stakeholders increasingly want organizations to be sustainable, don't we in HRD need to be fully cognizant that our focus is on the human resources, the people who, through holistic learning and development (growth), can achieve both high potential and improved performance.

Perspectives from Other Disciplines

It is important to recognize that there are other professions/disciplines that view HRD from a different perspective than those mentioned above, especially when they believe HRD is and/or should be a part of their domain.

Human Resource Manager. The perspective from management and organization theory (business school/MBA) is that HRD is only one part of a larger arena concerned with helping organizations be more productive by managing their human resources (HRM) more effectively. Managing human resources involves an integration of activities that have to do with hiring, compensating, appraising, rewarding, *and* developing. Unfortunately, given all the activities for which HRM is responsible; when organizations get into economic difficulties, HRD has been the first function to be cut or eliminated. In the 1980s, many organizational HRD functions broke away from under HR and established separate HRD/OD functions. More recently, they have recombined as HR has taken on a more progressive focus around such concepts as talent management and work/life programs.

Developer of Human Capital. The human capital approach is one in which individuals are viewed as part of the capital resources of a company who must be trained in order to increase the worth of this capital resource to maintain a competitive advantage (Watkins, 1989). It is a derivative of economic theory and refers to "the productive capabilities of human beings that are acquired at some cost and that command a price in the labor market because they are useful in producing goods and services" (Parnes, 1986, p. 1). A worker's skills and abilities are a form of capital because they influence the worker's productivity for the organization as well as the worker's opportunities for higher wages, greater economic security, and increased employment

prospects (Watkins, 1989). Carnevale et al. (1990), an economist and former executive vice president of ASTD, stated:

The employer's ultimate goal in providing workplace learning opportunities is to improve the company's competitive advantage. Employers are therefore driven to identify and use learning approaches that rarely stray from the day-to-day reality of the workplace and are linked to both the individuals on the job, and, ultimately, the employer's bottom line. (pp. 28–29)

Human capital theory provides a strong business justification for HRD. It supports human resource accounting and cost-benefit approaches to demonstrate the value of HRD programs to employees' productivity and an organization's effectiveness. Critics of human capital theory point to the belief that people gain considerably more from training than simply an enhanced economic value. Intrinsic job satisfaction, enhanced life skills, and the increased capacity to function effectively as members of a community are all alternative benefits derived from HRD. It is also very difficult to measure all the possible benefits from HRD, identify all the costs, and show a direct cause-effect relationship in terms of proving economic value. Yet it is a perspective that helps build HRD's credibility by providing a long-term, bottom-line orientation.

Adult Learning Specialist. Professionally, many adult education specialists view HRD as a specialty area within their field. In fact, a majority of HRD and allied academic graduate programs emerged from and/or are “housed” in adult education or vocational education programs. Beder, back in 1989, in a chapter on the purposes and philosophies of adult education in the *Handbook of Adult and Continuing Education*, stated that one of the major purposes of adult education was to promote productivity in the workplace.

The key concept/theory that ties adult education and HRD together is adult learning. While most HRD professionals agree that adult learning theory is probably the single most important aspect of our (interdisciplinary) body of knowledge, they tend to perceive adult education as primarily practiced in the community arena. And for years, adult education professionals were either unaware of HRD's contributions or looked down at training as the unsophisticated poor “cousin” they would rather not acknowledge as being part of the adult education field. Adult education was seen as being concerned with personal growth and societal change, not about productivity and profit. These views have changed, and there is more of a consensus that adult education and HRD are related fields that operate in somewhat different settings.

Performance Improver. If the adult educators, as humanists, see HRD as too oriented toward productivity, then the performance technologists and

industrial/organizational (I/O) psychologists probably see HRD as too concerned with human relations and personal growth. Training (I/O psychologists do not seem to acknowledge the term “HRD” in their literature) has to do with providing individuals with opportunities to enter the job market with needed skills to perform in new functions, and to be promoted into new situations (Goldstein, 1989). The training process was defined as the systematic acquisition of knowledge, skills, rules, concepts, or attitudes that result in improved performance in the work environment. “Instructional systems design,” a highly structured and behaviorally oriented instructional technology model, is the primary approach to training. While training was and will always be a significant part of HRD, it is by no means the totality of what we do. Performance improvement specialists have in recent years acknowledged this, as evidenced by the sessions at most of the major professional association conferences, but the emphasis at the day-to-day practice level is still primarily on observable behavioral change that contributes to performance, rather than on learning for job satisfaction and career growth.

THE FOUNDATIONAL DISCIPLINES FOR THE STUDY OF HRD

Several of the disciplines noted above have provided the seminal theories and concepts that form the foundation for the body of knowledge of HRD. HRD is a multidisciplinary field that has been shaped by the interplay of seminal theories and concepts from other social and behavioral science disciplines and continues to be informed by research and practice in these and other disciplines. They include:

- *Sociology*: theories and concepts related to groups, teams, and organizations as social systems;
- *Anthropology*: theories and concepts related to the study of culture, values, norms, and other aspects of how organized groups of human beings live and work together;
- *Psychology*: theories and concepts related to individual and group motivation and behavior;
- *Management*: theories and concepts relating to such aspects as leadership, strategy, organization structure, and the design of work processes;
- *Education*: theories and concepts related to learning and instructional design and delivery;
- *Economics*: theories and concepts related to human capital and the development of employees as value added to the organization;

- *Physical sciences*: theories and concepts related to organizational (open) systems and complexity theory; and
- *Philosophy*: theories and concepts related to individual and organizational ethics, morality, and values.

So What Is HRD, Really?

While we know what forces, concepts, theories, and other disciplines have shaped our field, we still do not have a generally accepted definition of the field. Lee (2001) has made the plea for not defining HRD, because the act of defining itself is mechanistic/scientific. Instead, she has argued that we should seek to establish what HRD should become as it evolves. Streumer and Kommers (2002) have argued that, since we do not have an agreed on definition of HRD, it is questionable whether HRD as a discipline even exists. They state that it may be more accurate to just “define HRD as a multidisciplinary field of study and practice, which has not attained the status of a discipline” (p. 4). Lee, and Streumer and Kommers, may be reflecting a Euro-centered critical perspective of HRD as a discipline based on the traditional view of the hard sciences as the only “real” disciplines. Yet there are almost three hundred academic programs in the United States alone whose students study a body of knowledge and practice called HRD.

We do seem to acknowledge and agree that organizations need to be adaptable, humanistic, and ethical. Leadership should be transformational, yet situational. Structure and work processes should be designed to meet both employees’ and customers’ needs. Organizations should be sustainable and socially responsible. And students must understand the complexities of organizations and their impact at the individual, group, collective, systemic, societal, and global levels.

The contents of this handbook will, we hope, shed some light on what this profession and discipline are all about. Unfortunately, we could not include every aspect of this field in one text, at least one that most academics, students, and scholar-practitioners could afford. But we do believe this handbook covers a decent representation of the field, written by experts in their respective subject areas. And we believe what it contains is worthwhile and beneficial to you, the reader.

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PART I



FOUNDATIONS OF THE DISCIPLINE OF HRD



Psychological Foundations of HRD

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Psychology is one of the major theoretical foundations for HRD (Chalofsky, 2007; McGuire & Cseh, 2006). HRD research undergirded by psychological theory has been instrumental in exploring and testing the links between learning, performance, and change and many other variables (e.g., affect, job satisfaction, mentoring, motivation, turnover, profit) in organizations at individual, team/group, and organizational levels (e.g., Ferguson & Reio, 2010). HRD research into organizational behaviors, including employee motivation, is strongly supported by psychological theory. Exciting new research supported by psychological theories has also extended our understandings of gender, ethnic, and cultural similarities and differences in the workplace, allowing for increased sensitivity to issues of diversity and inclusion. The research, in turn, has informed more expert HRD practice in training and development, career development, and organization development activities. The focus of this chapter will be to explore the psychological foundations of HRD and its association with the major research and practice issues and trends in the field.

Innovation, based on the creative development of new products or processes, requires attendant change in workplace procedures and the training of workers to manage these procedures (Stubblefield & Keane, 1994). Thus, the more organizations invest in research and development to generate innovation and growth, the more they need to invest in training and development to maintain it. Recognizing that HRD is an applied, interdisciplinary field, theories from a number of disciplines have lent themselves to guiding better HRD research and practice to support such activity (Chalofsky, 2007).

Swanson (1995, 2001) proposed that the theoretical foundations of HRD could be best represented by systems, economic, and psychological theories within an ethical frame. In a Delphi study of HRD subject-matter experts,

McGuire and Cseh (2006) found at least partial corroboration of Swanson's work, as systems and psychological theories were found to be foundational supports in HRD, but not economic theory. Ferguson and Reio (2010) also found economic theory in the form of competitive advantage to be useful for understanding HRD's link to high performance systems. In a more expansive view, Chalofsky (2007) also supported economic theory as being foundational to HRD, along with sociology, anthropology, management, physical science, philosophy, education, and psychology theories.

As "HRD is . . . primarily concerned with people's performance in workplace organizations and how those people can strive to reach their human potential and enhance their performance through learning" (Chalofsky, 2007, p. 437), HRD centers then on the learning and development of individuals, groups/teams, and organizations. This learning and development is enriched through improving learning opportunities and providing processes for learning and development and positive change that serve the purpose of improving performance. Psychological theory provides a key foundation for the field of HRD, as it explains the development of employee mental processes and behaviors (Passmore, 1997).

Acknowledging the contributions of systems and economic theories for informing the HRD field (Ferguson & Reio, 2010; Lynham, Chermack, & Noggle, 2004), the focus of this chapter will be exploring the psychological foundations of HRD. In the following section we will review key psychological theories and their respective links to HRD practice: behavioral, humanistic, Gestalt, and developmental.

FOUNDATIONAL PSYCHOLOGICAL THEORIES AND HRD

Behavioral Psychology and HRD

A main focus of behavioral theory has been the observable change of behavior. Behavioral theory is also known as learning theory, and it remains one of the most widely accepted classes of theories in the field of psychology (Yang, 2004). In this perspective, knowledge and skills are thought to be an accumulation of each individual's personal experiences with his or her environment. The accrued knowledge and skills and learning are useful in turn to inform better performance of daily tasks at home, school, and work. In addition, change in the behavioral tradition is not a reflection of being in a certain stage, as in cognitive development theory; rather, it is steady and incremental. We present the two most studied behavioral theories in the context of HRD: operant conditioning (e.g., Skinner) and social learning (e.g., Bandura) and how they are linked to HRD practice.

Operant Conditioning. Operant conditioning theory regards learning that occurs via rewards or punishment for an individual's behavior (Skinner, 1938). Immediately following a random or accidental behavior (the operant behavior), reinforcement can occur when the behavior is experienced as being satisfying or pleasurable, resulting in strengthening the behavior. There are positive and negative types of reinforcement. Positive reinforcement occurs when a desirable behavior (e.g., mentoring a newcomer without being asked) is accompanied with adding something that would be experienced as satisfying, such as giving the worker public recognition for engaging in this prosocial behavior. In contrast, negative reinforcement occurs when a desirable behavior is accompanied by taking away something that would be experienced as satisfying, such as a manager taking away mandatory Saturday work because of voluntarily serving as a mentor. In both situations, the reinforcement will strengthen the operant behavior, that is, make the voluntary mentoring behavior more likely to recur.

As for punishment, there are two types: presentation and removal. Presentation punishment involves adding something one does not like due to engaging in an undesirable behavior (e.g., incessantly "surfing the web" rather than being attentive in management training class), such as publicly embarrassing the web surfer in class. Removal punishment involves taking away something that one wants because of engaging in an undesirable behavior (like consistently being late to a management development course), for example, temporarily dismissing the individual from the management development program. In both cases, the punishments will likely decrease undesirable behavior by taking away something the individual desires, in this case career development.

Operant conditioning principles are particularly useful for shaping and increasing learning, behavior, and performance. In essence, by controlling the consequences of an employee's behavior, the HRD professional and manager can shape an employee's behavior. In the training classroom, better learning and performance have been associated with taking a behavioral, mastery learning approach (direct instruction is another). Mastery learning entails setting a pre-specified mastery level, such as earning an 80 percent on a learning module quiz, and allowing the learner to repeat the quiz or an equivalent at his or her own pace until mastery has been demonstrated. Such an approach involves setting clear learning objectives, deciding what constitutes acceptable mastery of stated objectives, setting well-defined goals to attain objectives, formative assessment, reinforcement of learning through feedback, and summative evaluation of success in terms of achieving learning and performance objectives (Bloom, 1971). Instructor use of such structured procedures has been shown to increase the likelihood that most learners will achieve a

predetermined mastery level, but less so in fostering higher-order learning related to critical thinking and creativity (Joyce, Weil, & Calhoun, 2004). Outside the classroom and more relevant to the typical day-to-day activities of an employee, consistent sloppy dressing behavior could be shaped by linking sloppy, inappropriate dress to a reinforcement or punishment consequence. One means a manager might try to increase the likelihood of appropriate dress might be offering sincere praise each time the employee dresses as desired (positive reinforcement); another means might be taking away something desirable like free parking privileges for a month (removal punishment).

Social Learning. Social learning theory focuses on how individuals acquire personality characteristics and social skills through observational learning or modeling. Thus, unlike operant conditioning, learning can be vicarious, with no direct instruction or shaping being required. Further, learning is no longer merely an observable change in behavior; one can learn much, but without necessarily demonstrating it. In this type of learning, the learner observes a model performing some kind of desirable behavior (making a compelling presentation) and, from close observation, subsequently learns to perform the behavior as well. The model can be either live or symbolic, that is, observed through various media like movies, books, and the Internet. The observer may or may not imitate the behavior, depending on the interest in the behavior being performed, the competence and status of the model, and gender-appropriateness. The imitators also must pay attention to the behavior being modeled, remember the information, produce the behavior, and have the motivation to perform the behavior themselves in the future. Trainers, for example, by keeping the information being taught interesting, can increase a learner's motivation to imitate the performance being modeled in the classroom context.

Bandura's (1997) socio-cognitive learning theory extends social learning theory in that it also heavily emphasizes one's efficaciousness beliefs. Self-efficacy develops from positive past personal performances related to a task, seeing others similar to themselves experience success, verbal persuasion, and physiological states where, when strong (e.g., enthusiasm), can make it more likely the individual will view his or her capabilities as leading to success. Strong self-efficacy beliefs are powerful contributors to better task performance because highly efficacious individuals are more likely to try performing the task in the first place, set more difficult goals, try harder when doing so, remain resilient in the face of obstacles, and exhibit less anxiety.

In a training setting, it is not unusual to find someone who suffers from low self-efficacy beliefs. For example, when individuals are required to attend a writing course because of poor workplace writing skills, writing self-efficacy may be decidedly low. Applying socio-cognitive learning principles (Bandura, 1997)

to increase the learners' writing self-efficacy beliefs, the trainer can take steps to increase self-efficacy through providing ample opportunities to be successful at writing in the course, ensuring that the learners see others like themselves experiencing success, providing words of encouragement, and reducing anxiety toward writing. Thus, through purposeful design, learner self-efficacy can be enhanced and subsequent writing performance improved.

As for application of social learning principles beyond the classroom, HRD professionals, by remaining mindful of the power of observational learning on enhancing learning and behavior, can assist management, for instance, in designing mentoring programs where protégés can be teamed with mentors who possess competence, high status, and similar appearance model characteristics. Successful mentors are more likely to allow for ample observational learning opportunities through modeling appropriate behaviors supportive of the protégé's psychosocial and career development (Kram, 1983); protégés are more likely to imitate their mentor's behavior if the mentor is perceived to be competent, high status, and similar in appearance. The protégé, in turn, must be attentive to the mentor's modeled behavior, retain it, practice producing the behavior, and remain motivated to produce the same behaviors.

Humanistic Psychology and HRD

Humanistic psychology concerns itself with humans' intrinsic motivation to grow, theorizing that we strive to reach our highest potential. In essence, humans are best considered holistically, where the whole person is more than the sum of his or her parts and the needs and values of human beings take precedence over material things. Humanistic psychology stresses that we must pay attention to the individual's way of seeing the world to understand him or her best, the capacity for change is inherent in the individual, human activity is self-regulatory in nature, and that people are inherently good (Peterson, 2006). Humanistic psychology, then, is not focused on mechanical causes and effects as in the behavioral tradition, but rather toward more elemental questions about existence and meaning and the process of becoming. To be clear, humans are not simply objects in an environment that can be shaped through reward and punishment, but we also have our own values and beliefs that motivate and orient us.

Carl Rogers (1951, 1961, 1969) and Abraham Maslow (1970) are two of the most well-known psychologists within humanistic psychology, with Ryan and Deci (2000; self-determination motivation theory) as more recent representatives. Rogers and Maslow both stressed that individuals are self-actualizing, self-directed beings who strive to make the most of their potential. Self-actualization can be enhanced by creating conditions under which individual potential can unfold. For Maslow, growth toward self-actualization is free

choice and can only progress forward when basic needs for safety, belongingness, and love and respect are met.

Adult learning theory has been strongly influenced by the humanistic tradition (Yang, 2004). Knowles' (1990) theory of andragogy includes Rogers' notions of facilitating learning instead of teaching someone directly, making learning relevant to the learner, and reducing threat to the self in the context of learning. Knowles' work also emphasizes Maslow's (1970) ideas about being free to choose and develop on one's own, feeling safe to being curious and exploratory to support creativity, and the benefit of building upon personally meaningful experiences for the sake of attempting more complex ones. In andragogy, these notions are linked to Knowles' theoretical assumptions regarding adult learning: the need to know, learner self-concept, learner experience, readiness to learn, orientation to learning, and motivation.

In the context of HRD, instructional design models have embraced humanistic psychology quite readily. For example, Wlodkowski's (1993) Time Continuum Model of Motivation, assuming that everyone is motivated to learn and grow, includes Maslow's (1970) needs hierarchy as a means to develop motivational learning for adults. As one of the "beginning activities" of a learning endeavor, the instructor must attend to the learners' needs. For motivated learning to occur, the instructor must employ strategies to address Maslow's physiological, safety, belongingness, and self-esteem needs for their learners. To address the need for self-esteem in one's course, the instructor might implement strategies such as affording opportunities for self-directed learning or appealing to the learners' curiosity, sense of wonder, and need to explore. As another instructional method, experiential learning can be used as a means of creating learning motivation and developing the person as a whole through active engagement in the learning process (Swanson & Holton, 2001).

Positive Psychology and HRD

Positive psychology is a relatively new movement in psychology that emphasizes "positive subjective experiences, positive individual traits, and positive institutions" for the sake of improving quality of life and preventing "the pathologies that arise when life is barren and meaningless" (Seligman & Csikszentmihalyi, 2000, p. 5). Overall, it seeks to describe rather than prescribe what we as humans do.

In a number of important ways, positive psychology overlaps with humanistic psychology (Peterson, 2006). Still, Seligman and Csikszentmihalyi (2000) were careful to distance the field from humanistic psychology, claiming the perceived lack of scientific rigor (e.g., How does one design empirically rigorous research that could validate one's need to grow?) had relegated humanistic psychology to little more than pop psychology. Waterman (2013)

also cautioned that it may not be possible to merge the two fields (even if desired) because of philosophical differences in how to conceptualize human nature and well-being, conduct research related to well-being, and implement therapy.

The theoretical perspectives are similar in that both regard the good about life as being indisputable, yet positive psychology also considers the realities of the bad part of life as well. Both also emphasize creating value in one's life and others' lives, meaningful work, and accomplishing something worthwhile. Further, both highlight that individuals are intrinsically motivated to grow. A major contrast is the kind of evidence used to evaluate the theories (Peterson, 2006). Positive psychology tends to emphasize quasi- and experimental research (Seligman & Csikszentmihalyi, 2000), rather than case studies, phenomenological inquiry, interviews, and surveys (Peterson, 2006). This is unfortunate in that both quantitative and qualitative research can provide considerable evidence to evaluate the utility and validity of a theory (Reio, 2010). A major contribution of positive psychology has been developing better instruments to measure constructs associated with the field, including subjective experiences like well-being (personal and job-related), optimism for the future, flow, life satisfaction, and positive affective states (Diener, 2000; Salovey, Rothman, Detweiler, & Steward, 2000; Turner, Barling, & Zacharatos, 2005); and, forgiveness, creativity, wisdom, and hope at the individual trait level (Simonton, 2000). At the group level, positive psychology concerns an orientation toward being a better citizen: civility, work ethic, altruism, and tolerance (Diener, 2000; Larson, 2000; Simonton, 2000).

Borrowing from positive psychology, HRD professionals might focus on finding ways to focus on the positive aspects of work. By creating a workplace climate where worker engagement might be enhanced (e.g., being in a state of flow while working), job satisfaction, organizational commitment, and job-related well-being could be optimized (Shuck, Reio, & Rocco, 2011; Turner, Barling, & Zacharatos, 2005). In training situations, facilitating making people better at what they value (e.g., making an honest sale to a client), rather than trying to change what they value just to meet organizational priorities (e.g., making a sale at any cost), would be a positive way to promote job-related well-being (Turner et al., 2005). Providing employees opportunities to give something back to society through allowing workers the time for tutoring needy students at the local high school might be another means to improve not only their job-related well-being, but perhaps assist employees in working toward personal meaning in life.

Both humanistic and positive psychology then support investing in and developing employees, because it is not only good for the company, but it is the right thing to do. The "D" in HRD is development. HRD professionals

would seem most attuned to developing the optimal potential and expertise of employees. Indeed, when human beings are nurtured under the right conditions, they can attain a much higher potential, to the short- and long-term benefit of the individual, company, and society.

Gestalt Psychology and HRD

Gestalt psychological theory is a cognitive theory centered on how individuals interpret the stimuli around them. This theory focuses on perception; in fact, Gestalt is the German word for structure or pattern. This theory states that individuals interpret stimuli or experiences as an aggregate of the parts, or the sum of all parts (Zwikaël & Bar-Yoseph, 2004). This theory informs the HRD field on how individuals move from one learning experience to another, as well as how they interact with others depending on their perception. Gestalt psychology provides a framework to understand the whole person, as part of the organizational system, how the person interacts with the whole, which is the organization (Swanson, 2001). Additionally, this theory provides insight to the inputs of individual contributors and work processes within the organization (Swanson, 2001).

Gestalt psychology has contributed to the field of HRD a holistic perspective of learning, such as Lewin's experiential learning and Kolb's experiential learning cycle. It is the sum of the parts (perception, cognition, and behavior) that leads to learning (Ikehara, 1999). Additionally, by focusing on enhancing intrapersonal and interpersonal awareness and acceptance in psychologically healthy individuals, for example, to build trust, this theory has pioneered the study of the impact of feelings and perceptions in group and team interactions.

HRD practitioners need to understand the different elements that impact social behavior in the workplace. Using Gestalt psychology, HRD practitioners can better understand how perceptions and other elements play a role in group and team interactions. Thus, groups cannot be understood as merely a function of the characteristics of their individual members; when individuals come together as a group, a new entity has been created, and it is this new entity as a whole that must be examined.

As a Gestalt/social psychologist, Lewin (1958) proposed field theory as a means to understand and direct organizational change and development. Consisting of three stages (unfreezing, moving, and refreezing), the process of change can proceed productively if workers refrain from relying on previous tried-and-true procedures and accept the inevitability of a new change in procedure (unfreezing), assent to the change in procedure (moving), and make the new procedure change permanent (refreezing). Thus, in the context of employing interventions to facilitate organizational change, Lewin (1958)

noted how behavioral change must first be directed at changing group norms instead of changing the individual. Group pressures to conform tend to dampen individual behavior change. HRD/OD consultants act as change agents who facilitate such change.

Developmental Psychology and HRD

McGuire and Cseh (2006) noted the clear developmental focus of HRD as mirrored in individual, career, and organization development. However, the field of HRD has not yet tapped sufficiently into the benefits that developmental theory can provide. We will concentrate on cognitive and social and emotional development for the purposes of this chapter, as each presents a substantial theoretical and empirical basis for supporting moving the field forward.

Piagetian Theory. Cognitive development theory supports much of what we do to facilitate learning and development, not only in classrooms, but virtually in any place where learning takes place. Piaget's (1952) groundbreaking work supports an understanding that cognitive development is a function of brain maturation, quality physical and social experiences, and equilibration. In this theoretical model, development precedes learning. The stage of development influences how we think, learn, and act. At different stages of development, we have qualitatively different ways of reasoning logically (sensorimotor, pre-operational, concrete operational, and formal operational stages). Further, learners construct their own knowledge through active engagement with their environment; in other words, learners must act on new information in some way to make it personally meaningful. Piaget and colleagues' research supports particular educational practice in that it presents guidance as to when it would be developmentally appropriate to introduce concepts to learners.

Although most adults can think abstractly, they primarily function at a concrete operational level in daily activities, Piaget's third stage of development. The point for an HRD professional is this: align instructional practice with concrete experiences like using familiar examples in a learner's life to explain more complex ideas or employing concrete props and visual aids to demonstrate hierarchical relationships (timelines, dimensional models, and diagrams). For teaching that requires more hypothetical or abstract reasoning (e.g., teaching an abstract concept like "innovation"), allow learners to start with their personal, concrete experiences with the innovation concept and from that point explore hypothetical innovation-related questions through, for example, position papers and debates or group discussions to examine its nature.

Piagetian theory has been extended to include additional stages and phases of development beyond formal operations by a number of theorists (Neo-Piagetians; Arlin, Baltes, Commons, Kegan, Sinnott, and others; see Hoare [2006] for full exploration of these and others' adult developmental views). The thinking is that, as adults, we understand the world differently than an adolescent does. Neo-Piagetian theorizing has been useful in promoting understanding of the complex, situational interplay of learning and development in diverse, uncertain settings that require problem finding, reflective judgment, expertise, and wisdom throughout adulthood.

Sociocultural Theory. Sociocultural theory builds upon Vygotsky's (1978, 1986) pivotal work, which posits that cognitive development cannot be understood without considering the social, cultural, and historical context. Cognitive development then is not so much a function of brain maturation and physical and social experiences, as in Piagetian theory, but more a function of social experiences and learning within certain maturational constraints. In this view, learning precedes development. A more knowledgeable peer or tutor works to scaffold instruction through the learner's zone of proximal development (zone where individual can master a task if provided appropriate help and support), where he or she can learn more quickly and deeply than simply learning through discovery. The contribution of the sociocultural perspective cannot be overemphasized because it was one of the first to highlight the importance of the context of learning and development.

Beyond bringing to light the significance of settings, institutions, and environments, sociocultural theory has made a number of pedagogical contributions. In training classrooms, cooperative learning, peer tutoring, and reciprocal teaching are useful for scaffolding the best learning and development. Sociocultural theory provides a lens to understand why face-to-face and online apprenticeships, internships, mentorships, coaching, on-the-job-training, team/group collaborations, retreats, committees, quality circles, and others work as meaningful ways to learn and develop throughout one's lifespan (Bonk & Kim, 1998). In each case, experts and peers stimulate curiosity, deliver information in manageable amounts, mark critical features of a task, manage learner frustration, model the appropriate way to perform the task, ask questions, and provide feedback—all in the service of assisting learning and performance.

Information Processing Theory (IP). Using the computer as a metaphor for human information processing, IP theory has been instrumental in furthering our understanding of how stimuli are perceived, stored, and accessed through the information processing system. Operating at three levels (sensory, working, and long-term memory), new stimuli are encoded in sensory memory,

where perception will determine what will be held in working memory for additional processing (Atkinson & Shiffrin, 1968). Thoroughly processed information becomes part of long-term memory, a vital source of knowledge for working on current and future problem-solving activities. In this perspective, learning is the result of our active attempts at making sense of the world, rather than simple information acquisition.

For HRD, IP theory provides guidance for instructional design, computerized instruction, and, in turn, learning. For training classroom instruction, learner attention, activation of prior knowledge, and the retrieval context are vital because perception and comprehension depend heavily upon each. Trainers can guide learner attention to relevant aspects of the learning task and present information in such a way as to avoid overloading learners' working memory capacity. Trainers can also activate relevant prior knowledge prior to teaching the new task. Trainers must devise activities, too, that will ensure they will elaborate on the material (e.g., by requiring learners to rephrase the material in their own words, drawing pictures of the materials). Further, trainers would also need to teach learners a variety of organization, contextualization, and mnemonic (systematic procedures for improving memory) strategies about why, when, and where to use the strategies.

A major contribution of IP theory is that it helps to break the learning process into meaningful parts that can assist intervention efforts. Although criticized for depicting cognitive development too simplistically and unrealistically (e.g., computer metaphor), IP theory has been useful for understanding, remembering, and learning among those who are developmentally delayed, learning disabled, suffering from traumatic brain trauma, and lacking attentional focus (ADD). IP theory allows the learning process to be broken into meaningful parts where interventions can be directed best. Piagetian and sociocultural theories have little to add when considering such learners.

SOCIAL AND EMOTIONAL DEVELOPMENT

Attention to social and emotional development tends to be short-shrifted by HRD researchers as compared to cognitive development. This state of affairs is unfortunate in that there is rich, compelling psychological theory, backed by substantial empirical evidence, to guide the field. We will focus on attachment theory and psychosocial theory first and finish by introducing Arnett's (2000) theory of emerging adulthood.

Attachment refers to forming an enduring emotional bond to another (Bowlby, 1988). Bowlby proposed that attachment experiences become internalized into expectations about significant others' reliability in being helpful in handling distress and about oneself as being worthy of love throughout

the lifespan. Hazan and Shaver (1987) extended attachment theory by linking attachment styles to adolescence and adulthood, particularly as it relates to how one manages one's love relationships. Reio, Marcus, and Sanders-Reio (2009) further extended attachment theory by positing and empirically testing the notion that adolescents and adults not only form emotional bonds in affectionate relationships, but also with meaningful others like instructors and even schools. The authors found that instructor and peer relationships were linked positively and powerfully to being securely attached and, ultimately, GED program completion. The upshot of all this is that attachment theory can be a powerful theoretical lens to understanding relationship building and learning-related outcomes (e.g., task performance) among adults. Attending to attachment theory might be another means to think about mentoring in the workplace. One relatively untested notion, for instance, is that a large part of what predicts better mentoring experiences might be the quality of emotional bond developed between the mentor and protégé.

Erikson (1968, 1980) examined how emotional changes are linked to the social and cultural environment and how each interacts to influence one's personal development. Although he posited eight stages of psychosocial development, each associated with a major developmental task, his thinking was foundational in the field of HRD because four of the stages go beyond childhood. For example, generativity is the major developmental task of middle adulthood. These four stages and accompanying developmental tasks concern identity formation during adolescence, intimacy development during young adulthood, generativity development during middle adulthood, and ego integrity development during late adulthood. Positive or negative resolution of each stage has decided repercussions on the individual's self-image and assessment of society. Yet, it remains possible that identity, intimacy, and generativity can form later, as not everyone has the same experiences; that is, there are social and cultural constraints (e.g., identity exploration is not permitted in some cultures) that can delay development. There are gender and ethnic differences as well. Thus, not everyone has the same experiences or quality of experiences that foster optimal development. Overcoming developmental delays is a function of engaging productively in the social and work roles afforded by the social context. Thus, quality social interactions will foster psychosocial development.

Erikson's psychosocial theory has been applied fruitfully, especially in the realm of career activities and development. The theory supports our understanding of successful school-to-work transitions, not only for adolescents, but also for college students and doctoral graduates (Smith & Reio, 2006). Coaching and mentoring are clearly generative activities that are linked not only to positive career outcomes for protégés, but also for the mentors

themselves. Knowledge of Erikson's stages can be a useful tool for planning purposes, because his theory predicts possible development issues associated with the respective stages. These issues can be addressed productively by HRD professionals to lessen the impacts of such issues on the individual and organization. We know, for example, that a satisfied employee is far more likely to be prosocial, productive, and therefore generative. This issue becomes important in the case of organizational downsizings; HRD professionals must work creatively to take reasonable steps to keep the remaining employees satisfied and therefore generative, despite being shell-shocked, through treating the displaced workers with dignity, maintaining open communication, providing career coaching, and the like.

Although beyond the scope of this chapter, HRD professionals also need to be attuned to issues of gender, cultural, ethnic, and sexual identity. Thus, members of minority groups not only have to navigate their identity formation in relation to who they think they are, what they find interesting, and what they really want to do in their lives as it relates to fitting into majority culture, but they also have the extra weight of dealing with identity formation as it relates to fitting into their own situations as members of a minority group. This is one of the frontiers of research in the field of HRD that requires much more investigation, especially as it relates to self-esteem, self-concept, and career development.

Arnett (2000) built on Erikson's work to propose a new theory of emerging adulthood, a theory that has generated tremendous interest in the fields of psychology and education. All the same, emerging adulthood theory remains noticeably absent in the HRD literature. Arnett proposes a new stage of development that essentially extends adolescence well into early adulthood (to twenty-five years of age, and in some cases up to twenty-nine years of age). Restricting his theory to those in industrialized countries, Arnett argues that emerging adulthood is distinct for identity explorations with regard to love, work, and worldviews. Thus, as compared to adolescents, emerging adults have distinct patterns of love (more intimate, serious, longer-lasting), work (more serious and focused on adult role preparation), and worldviews (e.g., more likely to challenge previously held beliefs, challenge authority). What is important for HRD researchers and practitioners is that the identity exploration that emerging adults go through at this time is normative and, for the most part, healthy. Explaining poor employee retention for emerging adults becomes more understandable because of the extensive identity exploration (e.g., exploring different work roles, jobs) taking place during this time (Arnett, 2000). HRD professionals can anticipate this possibility and work with managers to find ways to make work more meaningful and career development activities more visible, within obvious economic realities. It would be

interesting to link emerging adulthood theory with adult educational theory, such as andragogy (Knowles, 1990), to further explore improving adult educational practice.

IMPLICATIONS FOR HRD

Psychology is a vital foundation for the field of HRD and has decided implications for learning, development, and performance at individual, group, and organization levels. The field of psychology provides strong theoretical lenses to guide research and practice in the social and behavioral sciences of which HRD is part. Thus, when considering learning, development, behavior, personality, performance, motivation, affect, culture, group dynamics, resistance to change, and the like, the field of psychology offers a useful theoretical base for informing HRD research practice. In the case of individual learning, for instance, behavioral and developmental theory have made remarkable contributions to our understanding about the nature of learning and how it changes behavior and fosters development in the context of classrooms, the workplace, and even over the adult lifespan. Psychological theory also supports how learning can be measured in psychometrically sound ways, what motivates it best, the relevance of context, technology's possible contribution to supporting learning, and its prospective outcomes, such as task and job performance. This valuable theoretical guidance could be used, for example, by HRD researchers to test new notions about the degree to which technology can augment individual learning in novel contexts (e.g., learning via an iPad for expatriate managers who need training updates, but travel extensively). HRD practitioners could use this new knowledge, in turn, to design better learning opportunities, even for those who cannot attend training regularly because of scheduling conflicts.

Social and emotional developmental psychological theory can be consulted to understand peer relationships within groups, the act of joining groups, attachment to groups or organizations, and forming an identity with a group as a function of one's gender, ethnicity, and cultural backgrounds. Through fostering trust among group members, HRD practitioners might facilitate more positive emotional bonds or attachment to co-workers. On the other hand, Gestalt psychological theory provides additional insights into how to think about and manage group behavioral interactions. Teams and groups should be considered as systems and not as the sum of their separate individuals. Thus, the behavior of a group member is a function of the interaction of his or her personal characteristics (e.g., personality) with environmental factors, such as the other group members and the particular situation. To change the behavior of an individual in a group, HRD practitioners should start at

the group level, where changing the group's behavioral norms can be addressed in line with changing individual behavior.

At the organizational level, Gestalt/social psychological theory is useful for guiding the process of change and handling possible resistance to change in organizational improvement efforts. By making a solid case for individuals to take ownership of the need to change and managing restraining forces that may thwart the change effort, an intervention can move forward to meeting organizational goals. It must be remembered, too, that promoting positive group dynamics is an integral part of managing the change process.

Moreover, the field of psychology offers a solid empirical research tradition, supported by rigorous research designs that not only allow for detecting heretofore untested associations among variables and possible group differences, but also the causal influences of variables introduced through interventions on meaningful organizational outcomes like intrinsic motivation, voluntary turnover, and corporate performance. In a quantitative sense, this empirical research has been supported substantially by the development of validated measures, although much needs to be done to search for gender, ethnic, and cultural invariance to validate them further (Nimon & Reio, 2011). In a qualitative sense, the field of psychology has a long tradition of creating new methods to understand the nature of problem solving (e.g., Piaget's clinical method, Vygotsky's double-stimulation method) and other complex psychological phenomena. Currently, emergent new methods are used to conduct research in novel contexts like the Internet (see Hesse-Biber & Leavy, 2008).

In sum, psychology provides a rich theoretical and empirical base to draw upon for the purpose of thinking about and guiding learning, performance, and change in workplace settings. Psychology has historically focused on studying individual, and to a lesser extent group, learning and performance. Psychological research regarding organizational-level learning and performance is in its ascendancy. Ecological development theory (Bronfenbrenner, 1979) holds some promise, but remains relatively untested in workplace contexts.

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CHAPTER TWO



System Theory and HRD

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Understanding the foundational theories and bodies of knowledge that support the human resource development field continues to draw the attention of many scholars (Yawson, 2013). Most of the discussions constitute more than an interesting intellectual exercise. Indeed, they serve the HRD field in at least two related ways. First, discussions about the various foundational theories and bodies of knowledge help define the boundaries of the field, clarifying for scholars and practitioners alike how to distinguish it from related applied fields such as human resource management. Second, the discussion provides a useful frame of reference to identify HRD research questions and engage in HRD practice. The importance of these two basic points likely ensures that such discussions will continue unabated.

This chapter examines one foundational theory, system theory, and its relationship with the HRD field. System theory has contributed to the understanding of HRD as much or more than any other foundational theory or body of knowledge (Jacobs, 1990; Swanson & Holton, 2009). Principles from system theory are pervasive throughout the HRD field, both explicitly and implicitly. Even so, the contributions of other foundational theories—for instance, adult learning, organization behavior, education, and economics, among others—also remain important, as together they provide a comprehensive understanding of the HRD field.

The literature on system theory as applied to HRD first appeared in the 1980s with this chapter's author contributing to that discussion (Jacobs, 1987; 1989; 1990). The literature on this topic coincided with more fundamental questions being asked about the nature of the then emerging field of human resource development. Because of the continuing importance of system theory and the overwhelming influence of technology in organizations, it seems appropriate now to review what has previously been presented as well as introduce emerging perspectives about the topic.

Specifically, the purposes of this chapter are the following. First, the chapter will discuss system theory and introduce some of its key principles.

Second, the chapter will discuss three major implications of system theory to the HRD field, taken from a system design perspective. Third, the chapter will present how principles from system theory have contributed to the understanding of human resource development. Finally, the chapter will make some concluding comments relevant to considering the relationship between system theory and HRD. That is, for all its contributions, system theory invariably evokes concerns that deserve final comment.

SYSTEM THEORY

Discussions about system theory invariably begin with the usual disclaimer that system theory is not actually a single, formal theory *per se*. Rather, that system theory can be more accurately characterized as constituting a set of models, principles, and laws that apply to all entities, regardless of their kind (von Bertalanffy, 1968). Von Bertalanffy, the generally acknowledged intellectual force on the topic, further likened the understanding and acceptance of general system theory as a shift in scientific paradigm, from a mechanistic focus on individual aspects to a focus on the parts and the whole at the same time. The goal of system theory is to explain things, natural or artificial, as that of systems and the interplay of their respective constituent parts. As a result, system theory has served to integrate various scientific fields, especially those with an applied orientation, through a common set of understandings and language. System theory does not provide the content for any given field of study, but instead provides much of its form and structure. It is for that reason, say, that quantum mechanics can be shown to have certain correspondences with that of human resource development, two totally unrelated fields.

How system theory explains commonalities across disciplines can often be confirmed in a practical sense. For instance, a range of professionals—information technologists, management consultants, salespersons, and engineers—may all refer to goals, customers, needs, projects, constraints, and timelines as part of their work, without ever realizing that the source of these terms and the meanings attached to them are derived originally from core system theory principles. Isomorphism is the system theory term used that refers to the parallel structures that exist among systems (von Bertalanffy, 1968).

At the core of understanding system theory is the singular meaning of system (Ackoff, 1999). There are real systems that represent observations of actual things or conceptual systems that may correspond with reality, but the components are meant to be symbolic or abstract, such as logical schemes. The conceptual framework of a research study that shows the relationships among variables is an example of a conceptual system. It seems reasonable

to restrict the discussion in this chapter to artificial systems that have been purposely designed. A system may be conceptualized in its current observable state and it may be represented in a not yet realized ideal or future state. Articulating between current and idealized system states constitutes much of the planning process across disciplines.

A system at once has component parts or elements, each of the parts having unique attributes; the parts have relationships and interactions among each other; and, finally, the system has an environment or a context in which the parts function as a whole. From this perspective, literally all objects, events, or combination of actions with things are considered systems. Simply put, everything possible is, in fact, a system.

As presented in Figure 2.1, a system has sets of inputs, processes, outputs, and feedback or feed forward. In brief, inputs are the various elements, some of which are not readily apparent, that a system uses as resources from which to function. The goal, or the reason for the existence of the system, is a critical type of input, as it focuses, energizes, and differentiates one system from another. Resources used by the system, such as money, materials, facilities, people, and information, also constitute important sets of inputs.

Processes are the various activities that a system undertakes to use the various inputs to achieve the intended goals. This may include human actions, machine actions using technology, or some combination of the two. Outputs are the results, both intended and unintended, that occur from the processes. How those outputs are achieved may be accomplished through varying approaches or experiences, representing the principle of equifinality.

Finally, feedback and feed forward mechanisms allow systems to be managed and regulated in some predictable way. The aspects of feedback and feed forward themselves have evolved into a separate discipline known as cybernetics, which focuses on how communication directs and controls system behavior (Wiener, 1988). When information from the outputs returns back to the inputs unchanged, then it essentially becomes feedback. But when

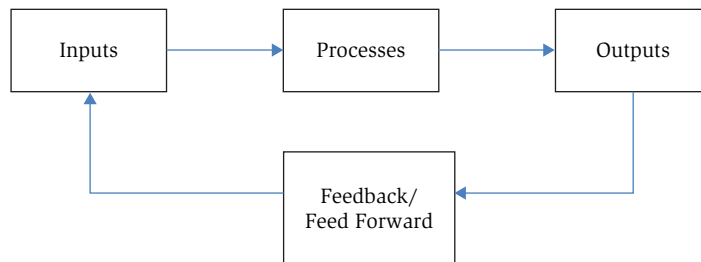


Figure 2.1 Basic Components of Systems

the information from the outputs causes changes to the inputs in some way, then it becomes feed forward. The common example of a room thermostat helps illustrate this point. Feedback occurs when the temperature in the room reaches the temperature set on the thermostat; the furnace will turn off, since its affects are no longer required. This illustrates the process of homeostasis in which a system state changes—furnace turns on and off—to stay the same. In this case, the room temperature matches the thermostat setting. Feed forward is when the temperature setting on the thermostat is purposely changed to either a higher or lower setting from the original setting, which in turn causes the furnace to respond by changing its process cycle, either by staying on for a longer or shorter period of time.

Thus, changing the inputs, based on some judgment of the adequacy of the outputs, is considered as feed forward. For instance, when management decides to change the mission or goals of an organization based on the ongoing performance or some external factors, the activities of the organization must, in turn, respond to this new information. Feedback and feed forward represent how information influences the functioning of a system. Explanations about how systems undergo change, based on changes in the inputs, point to the complex issue of causality—why a system state moves from one point to another. System theory recognizes the existence of multiple forms of causality: linear, linear chains, multiple simultaneous causes, and mutual causation.

Chaos theory (Kellert, 1993) uses mathematics to study the behavior of systems that are highly sensitive to initial input conditions such that small differences may yield widely diverging outcomes, making predictions about system behavior increasingly difficult. Small differences in the inputs may result in wholly unpredictable, and sometimes random, sets of outputs. Contrary to some perspectives, chaos theory does not invalidate the pervasiveness of systems. Rather, chaos theory highlights the folly in believing that one might be able to know beforehand all the variables that might impinge on the behavior of complex systems. Indeed, one might never really know the variables until some unexpected result occurs, which makes individuals ponder what they have missed. In truth, it may not always be possible to know some information related to a system.

Systems are themselves comprised of subordinate systems, or sub-systems, and the interaction among these sub-systems often results in a constant state of change. The notion of system state defines the features of a system at any given point in time, with the likely intent that the current system state should be viewed as an approximation of the desired future system state. The notion of system state—current or future—is a critical principle to consider when organizations engage in planned change. Paradoxically, the desired system state, once achieved, immediately becomes the current state. The current

system state and the future system state almost never last for any length of time, changing either intentionally or unintentionally.

Boundaries help distinguish a system from other systems. Open systems have boundaries that allow free passage of information and objects among systems. Closed systems eventually suffer from entropy, or the decay of their components caused by a lack of information. Designating a system boundary can often be problematic, particularly in contemporary organizations. Today, boundaries represent more functional than physical separations. The notion of a soft system has emerged to describe the increasingly common situation when organizations have relatively ill-defined boundaries, making problem identification and problem solving all the more complicated.

In the past, the organization itself often served as a proxy for its system boundaries. However, the increasing prevalence of outsourcing, global supply chains, and sub-assembly partners make designating an organization's system boundary all the more complicated. For instance, it is well known that Samsung and Apple compete against each other in the smart-telephone marketplace. At the same time, Samsung is also a supplier to Apple for its component parts. Thus, Samsung could be considered at once within and outside the system boundaries of Apple, depending on how one defines the system of interest. Such contradictions—intense competitors and partners at the same time—illustrate the increasing difficulty of defining system boundaries and, by extension, understanding and solving problems within them.

Careful readers of the HRD literature might notice that the word “system” may at times appear with an *s* at the end and sometimes without an *s* at the end. The difference in meaning goes beyond representing the singular or plural forms of the word. The term *system* usually suggests that a broader, more inclusive perspective is being recognized when considering the entity at hand. The accompanying adjective form—systemic—may help readers better understand this point. Systemic perspectives, such as often used with family counseling, disease treatment, or accident analysis, are understood to represent a frame of reference that includes the system of immediate focus as well as any interacting or adjoining systems as well.

On the other hand, the term *systems* usually refers to a more narrow focus that is limited to the immediate entity of interest. Again, the accompanying adjective form—systematic—suggests a more circumscribed set of actions. This point might be illustrated when engaging in either training *systems* design or training *system* design, with the understanding that each represents the inclusion or exclusion of differing sets of variables. Training *system* design might result in designing a training program for the audience as intended, say, front-line employees, but might also consider other training interventions that might be necessary in the situation, say, also for managers and supervisors.

In a related sense, the foundational text by Ludwig von Bertalanffy (1968), *General System Theory*, is often mistakenly listed in citations as *General Systems Theory*, with one letter added that editors often overlook. The preferred usage in this chapter is that of the broader perspective, system, unless otherwise specified.

IMPLICATIONS OF SYSTEM THEORY

As an applied field of study, human resource development draws three inter-related implications from system theory: (1) the HRD process, (2) HRD as a system, and (3) the management of HRD systems. These implications represent a system design perspective, which basically seeks to engage in the design and management of relatively complex systems, such as organizations, that is, organizations that combine people, machines, technology, buildings, money, and processes in particular ways to achieve their missions.

All applied fields of study and practice have a dual nature to them. That is, applied fields have both their contributing bodies of knowledge and sets of practices that apply the body of knowledge in useful ways to solve societal problems. An analogy for the relationship between the bodies of knowledge and the application of that information might be taken from examining the two sides of a coin. Each side differs from the other, but the coin cannot possibly exist without having the two sides together.

Some fields of study, such as philosophy, mathematics, or the liberal arts, do not have an external referent to them. Applying a body of knowledge into its respective practice realm requires design as both a process and an outcome. System design is fundamental for all applied fields of study: architecture, engineering, law, management, and even medicine. Practitioners of all sorts are bound by the common action of engaging in a design process to achieve an outcome (Van Aken & Romme, 2009).

Buckminster Fuller (Fuller & McHale, 1963) and Herbert Simon (1996) characterized such activities as constituting a design science, or a science of design. A science of design represents both a generalized method and its outcome, which are independent from the content of the method or the nature of the outcome.

HRD Process

The first major implication recognizes the fundamental importance of the HRD process. As shown in Figure 2.2, the HRD process represents the system approach at a relatively high level of abstraction and identifies the work that most HRD professionals actually perform. Many of the recent HRD competency studies are based on components of the HRD process. As an example of a system approach, the HRD process has the following characteristics:

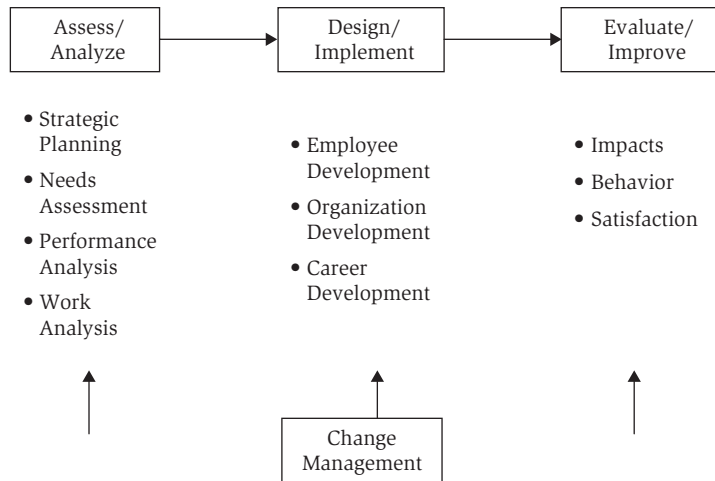


Figure 2.2 The HRD Process

- The HRD process is comprised of many different sub-processes, such as strategic planning, needs assessment, and so on, which are logically grouped together into distinct major phases.
- The major phases are organized such that stating the intended outcomes of the HRD process precedes all the other phases, in this case in the Assess/Analyze phase.
- The phases are organized such that the intended outcomes and the means for achieving the outcomes reside in separate phases, so that there is no conceptual confusion between the two sets of activities.
- The phases show a logical sequence of planning events, but the phases are not necessarily lockstep in sequence, and the phases must interact and inform each other during their use.
- The phases may reveal errors or flaws in what was done in previous phases, requiring that the sequence of the phases should be considered iterative and repeatable as required.

The HRD process encompasses many more specific design processes, based on the intended outcome of the process. For instance, the performance analysis process logically leads to a report describing performance problems, potential causes, and HRD solutions. As shown in Figure 2.3, a training design process based on the ISO 10015 Guidelines (Jacobs & Wang, 2007) leads to the development of a training program. The structured on-the-job training (S-OJT) process (Jacobs, 2003) leads to the development of an S-OJT

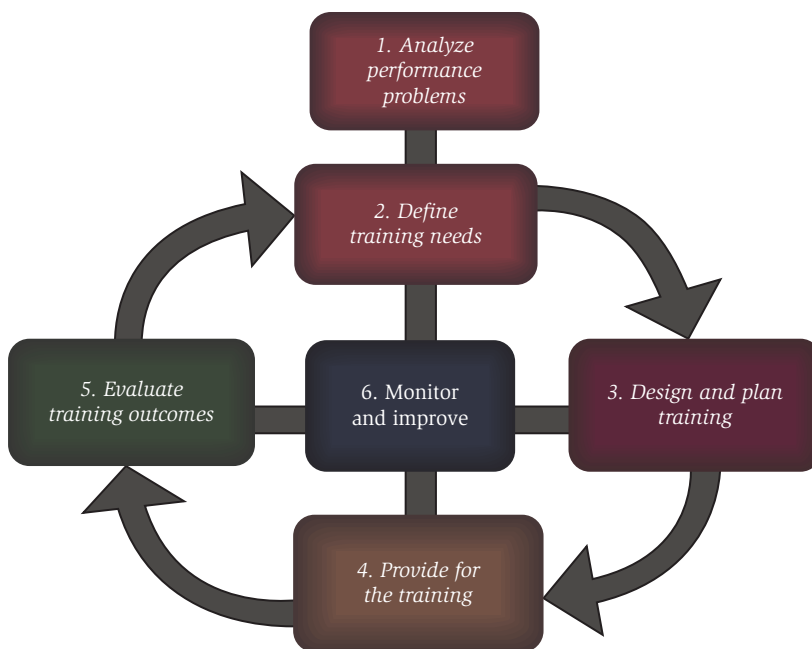


Figure 2.3 Training Development System Based on the ISO 10015 Guidelines

program. An organization development process leads to the development and implementation of an OD program (McLean, 2006). Each process is itself an example of a system and, as a result, carries with it the same embedded characteristics of all system approaches.

The HRD process provides a touchstone for understanding much about HRD professional behavior, whether it might involve designing a training program, coaching employees to perform better, or managing an organizational change process. In all of these instances, the HRD process enforces a certain level of discipline, ensuring that the ends are specified first. That is, the ends, or what outcomes are sought from the beginning, should be specified to the extent possible first; then the means are specified to provide the way to achieve the ends.

HRD Programs

The second major implication of system theory to HRD is the assertion that all HRD programs are themselves a system. As shown in Table 2.1, HRD programs can take on many different forms, categorized under the headings of employee development, organization development, career development, and performance support types of programs. Regardless, each program has its own set of inputs, processes, outputs, and environmental context. For instance, in Figure 2.4, Jacobs (2003) presented the system components when

Table 2.1 HRD Programs

| <i>Employee Development</i> | <i>Organization Development</i> | <i>Career Development</i> | <i>Performance Support</i> |
|-----------------------------|--|---------------------------|----------------------------|
| <i>Training</i> | <i>Human Relations/ Self-Awareness</i> | <i>Career Planning</i> | <i>Types</i> |
| Technical | | Counseling | Printed guides |
| Managerial | Team building | Job rotations | Embedded guides |
| Awareness | Diversity | MBOs | FAQs |
| <i>Education</i> | Rope climbing | Mentoring | |
| Seminars | Myers-Briggs Type Inventory | <i>Career Management</i> | |
| Workshops | Climate, culture surveys | Tuition assistance | |
| Courses | | Job rotation | |
| <i>Locations</i> | <i>Individual/Group</i> | Mentoring | |
| Off the job | <i>Change</i> | Coaching | |
| On the job | Talent development | MBOs | |
| <i>Approaches</i> | Performance management | | |
| Self-study | <i>Structural Redesign</i> | | |
| One-on-one | Task redesign | | |
| Group | Job redesign | | |
| <i>Methods</i> | Workflow redesign | | |
| Discovery | | | |
| Presentation | | | |
| Discussion | | | |
| Role play | | | |
| Simulation | | | |

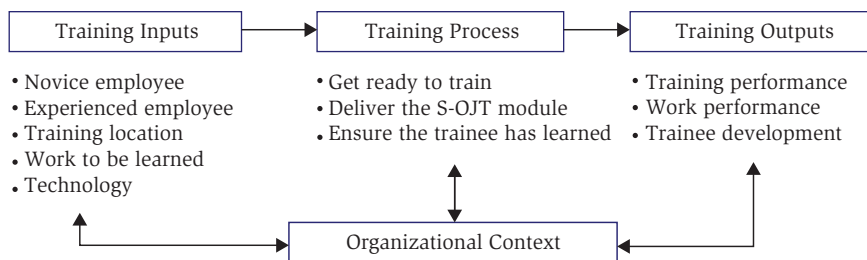


Figure 2.4 Structured On-the-Job Training as a System

considering S-OJT programs as a system. Kong and Jacobs (2012) presented a system perspective of e-learning training programs. The value of this implication ensures that critical variables are accounted for, even though they might not be readily apparent to the observer. Understanding HRD programs as a system makes visible what might be missed otherwise.

Viewing HRD programs as systems has value for both design and improvement of the program later on. In terms of design, HRD programs are the direct result from using the HRD process. In other words, the HRD process is the means by which HRD programs come into existence. Thus, the effectiveness of any planned HRD program in achieving its intended goals says much about the process used to develop the HRD program in the first place. In terms of improvement, viewing HRD programs as systems allows for all the variables to be accounted for, once the program has been implemented. This perspective helps make explicit variables that might not be apparent otherwise. For instance, the effectiveness of a goal-setting activity might be dependent, in part, upon the skill of the HRD professional as facilitator, which is clearly visible.

However, the effectiveness of the activity might be affected by less readily apparent variables, such as those identified as inputs. Are the right people involved in the process? What are the expectations of the group upon entering the process? Is the need for a goal-setting activity a shared concern in the first place? In sum, viewing HRD programs as systems often allows professionals to see the critical variables that can't be readily seen, but are critical for the success of the HRD program nevertheless.

Management of HRD

Finally, system theory contributes to the HRD field through an understanding about the management of HRD processes and HRD programs. In a practical sense, system management for HRD involves the development of a functional mission statement that aligns with the broader organization, the specification of HRD activities that are consistent with the function mission, the selection of HRD staff and responsibilities consistent with the function mission, and the allocation of resources and budgets to support the implementation of the activities. HRD practice invariably constitutes the management of temporary projects. Project management, which has emerged as a distinct area of professional practice, focuses on the system theory-based notions of planning, organizing, motivating, and controlling of resources to achieve specific goals.

The management of HRD also includes the consulting process used by HRD professionals to engage with others to achieve mutually agreed-on goals. Schein (1998) introduced three differing approaches to consulting relevant to HRD practice: product, prescriptive, and process. Process consultation, which

focuses on client learning and engagement with the consulting process, usually provides the most desirable model for a helping relationship among HRD professionals. Achieving this relationship between the consultant and the client requires an understanding of human dynamics, roles, system states, stakeholders, and the setting of goals, among other issues.

Within the HRD literature, performance consulting describes the overall focus of the consultant and the client during the process, that is, to accomplish the strategic outcome of optimizing the workplace in support of the business goal (Robinson & Robinson, 1995). Jacobs and Kim (2011) defined performance consulting as an approach to working with clients that emphasizes the use of a system approach for understanding and solving human performance problems in organizations. Jacobs and Kim also identified the performance consulting process as having the following phases:

- Phase 1. Pre-Entry and Self-Reflection
- Phase 2. Entry and Client Contracting
- Phase 3. Performance Analysis and Action Planning
- Phase 4. Design and Implement Solution
- Phase 5. Evaluate and Revise
- Phase 6. Project Close
- Phase 7. Project Learning

The performance consulting process places particular importance on making use of the fundamental notions of behavior, performance, need, performance problem, potential causes, and likely HRD solutions. The logic among these terms might be understood as follows:

- Behavior refers to all the types of actions by individuals and groups used to carry out the work.
- Performance refers to the outcomes that result when engaging in the behaviors.
- Need is a description of the gap between two levels of performance outcomes.
- Performance problem, the core construct, is when the gap as expressed by the current or actual level is compared with the desired level, and closing this gap is determined to have value to the organization.
- Causes are the reasons why the gap exists.
- HRD solutions are the ways in which the causes will be addressed and, hopefully, the gap between the actual and desired will be closed or made less impactful on the organization.

Regardless of the perspective taken related to the management of HRD, system theory provides the fundamental basis for understanding consulting as a helping relationship.

APPLYING SYSTEM THEORY TO HRD

There are numerous examples of how system theory has been applied to aspects of HRD. Nearly all, if not all, frameworks, models, and processes presented in the literature by various authors invariably can be said to draw from system theory principles. As stated, the influence is pervasive. This section seeks to illustrate this point in how system theory has been applied, with particular emphasis on two issues of importance to the field. The first issue addresses the conceptual issue of understanding HRD as a field. The second issue shows the relationship between HRD and organizational change.

Understanding HRD

Numerous authors have sought to conceptualize what is meant by HRD. Early on, as presented in Figure 2.5, McLagan (1989) introduced the human resource wheel to identify what is meant by HRD and to differentiate the practical differences among human resource development, human resource management, and human resource information systems. In this conceptual model, HRD is shown to consist of training and development, organization development, and career development. Although other conceptual models have been introduced since its publication, the human resource wheel continues to serve the useful purpose of answering initial questions about HRD, especially its relationship with human resource management.

Swanson (2001) overlaid a system approach on top of a representation of an organization as a system, showing the inputs, processes, and outputs. As shown in Figure 2.6, the context includes the various influences on HRD coming from within the organization and from the societal broader environment. Such a conceptualization applies more than one system theory principle onto a single entity, which may be helpful in understanding the complexity intended. But it is possible to confuse some readers without having an understanding of the core purpose of each layer on the figure.

As shown in Figure 2.7, Jacobs (2011) proposed that HRD should be understood by the interaction among three major concepts: (1) the HRD process; (2) the various HRD programs; and (3) organizations as systems. The context surrounding these concepts is the continuing cycle of theory, research, and practice. The interplay among the major concepts suggests that the HRD process is used to develop HRD programs. In this sense, HRD programs become

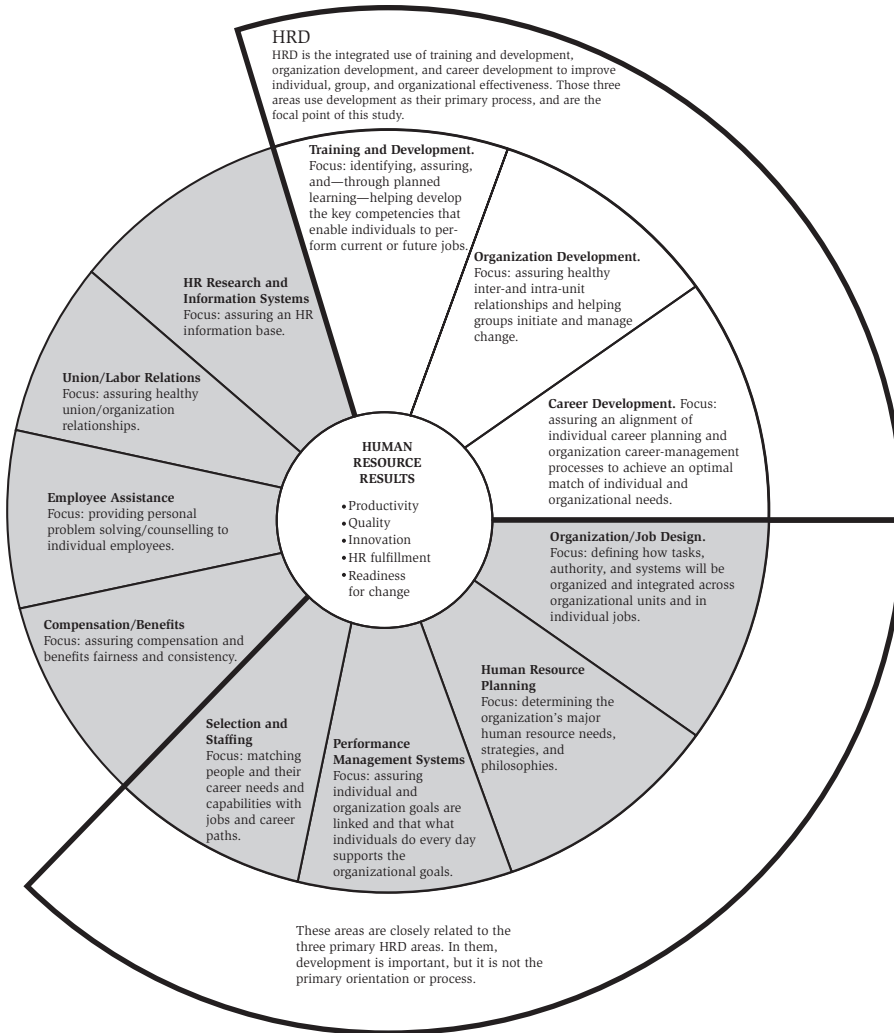


Figure 2.5 Human Resource Wheel

From McLagan, 1989. Used with permission.

the outcome of the HRD process. Further, the context of all HRD activities is organizations, but only if organizations themselves are viewed as a system. As summarized in Table 2.2, Rummler and Brache (2012) identified three levels of organizations: organization level, process level, and job level, and then crossed the levels with the organizational functions of goals, design, and management. Each of the nine cells guides how to design and to improve both that particular aspect of the organization and the organization as a whole.

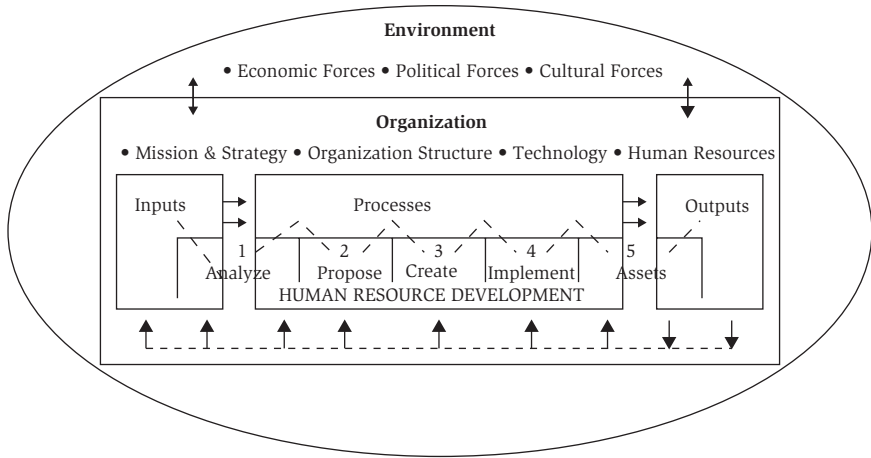


Figure 2.6 Human Resource Development as a Process Within Organizations
From Swanson, 2001. Used with permission.

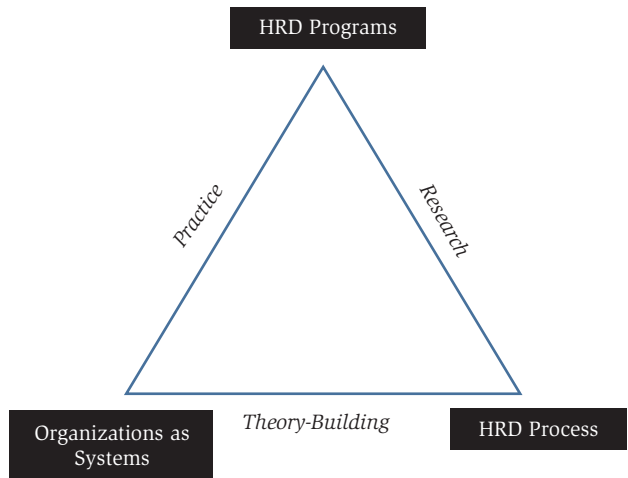


Figure 2.7 Three Major Concepts of HRD

For instance, the job-design cell represents the human performance system, as shown in Figure 2.8. The process level in general represents a perspective that has received particular emphasis in the management and quality improvement literatures.

Consistent with the three major concepts, HRD can be defined as the process of improving organizational performance and enhancing individual capacities through the accomplishments that result from employee development, organization development, and career development programs.

Table 2.2 The Nine Performance Variables

| <i>Levels of Performance</i> | <i>Performance Needs</i> | | |
|------------------------------|--------------------------------|---------------------|-------------------------|
| | <i>Goals</i> | <i>Design</i> | <i>Management</i> |
| Organization | Organization Mission and Goals | Organization Design | Organization Management |
| Process | Process Goals | Process Design | Process Management |
| Job | Job Expectations | Job Design | Job Management |

Based on Rummler and Brache, 2012.

Understanding Organizational Change and HRD

How to conceptualize organization change represents another application of system theory to HRD. In a sense, HRD is used to help implement some broader set of changes, which themselves are linked to some aspect in the environment. As shown in Figure 2.8, HRD is subject to layers of drivers, both external and internal, upon which the implications reach to HRD for solutions. Almost every instance of organizational change follows this logical framework. For instance, in 1999, the Food and Drug Administration imposed a consent decree on the Abbott Diagnostics Division, based on concerns about their manufacturing practices. From this situation, the organization instituted management changes and a structuring of its business product lines. From this layer of action came the necessity to ensure that all individuals involved were required to become certified to perform their jobs. As a result of this, there was a need to conduct a work analysis of many different production jobs, and it was decided to implement structured on-the-job training as the training approach.

In another example, when a national insurance company decided to implement a performance-based performance review system, based on the need to become more competitive, the organization conducted an analysis of the expectations of all levels of their sales positions, then implemented a cascade training approach to inform and train everyone affected by the change in the performance review process.

The principle drawn from this perspective is that nearly all instances of organization change come originally from some external change, such as a need for greater productivity, drop in market share, merger and acquisition, external regulators, and the like. Organizations must then decide how they will respond to these external events with layers of internal decisions and actions,

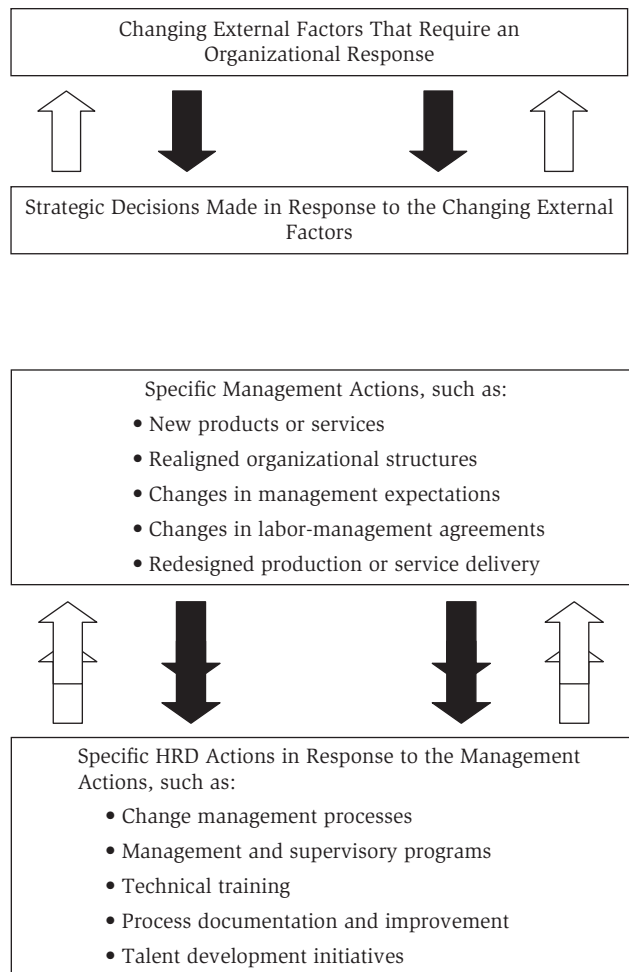


Figure 2.8 Human Performance Systems in Job Design

eventually reaching to the level of HRD actions. Although HRD may be viewed as being at the end of the layers of drivers, the HRD may, in fact, determine the success of the entire change project. One might assume that, unless all regional sales managers and salespersons from the insurance company clearly understood their new performance expectations and the appraisal process, the intended goal of becoming more competitive might not ever be achieved.

Another instance in which system theory enables understanding of organizational change comes from efforts to institutionalize change efforts through the change management process. Numerous processes have been introduced in the HRD literature related to ensuring the acceptance of HRD as the focus of the change. For instance, Jacobs (2003) introduced a change management

process for introducing structured on-the-job training in organizations. The phases of the process are logically established as entering and contracting; diagnosing the pilot area; implementing the pilot study; and evaluating and revising. Lynham (2000) introduced a similar process for implementing organization development interventions, consisting of analysis and contract; diagnose and feedback; plan, design, and develop; implement; and evaluate and institutionalize. Most perspectives of change management follow a system approach and are derived from the work of Cummings and Worley (2001). The institution of change continues to be an area of interest and draws from system theory principles.

CONCLUSIONS

The HRD field is comprised of individuals—both scholars and practitioners alike—who come from many different fields and perspectives. The perspective of this chapter has been to describe and illustrate the pervasive nature of system theory on the HRD field, and on all applied fields for that matter. However, it may also be true that, regardless of the information presented in this chapter, one may expect others to point out and argue the value of some other contributing theory or body of knowledge. For instance, one may also make a convincing argument that adult learning—the processes that individuals experience during change—has as much to contribute to HRD as any other field (Watkins, 1991).

The point here is not necessarily to diminish one theory or body of knowledge over another, because logically there will always be differences in interpretation. The HRD field is too large and diverse to expect to achieve any form of consensus, which remains a healthy dynamic. In a sense, HRD has evolved much like other applied fields, such as counseling and school psychology, in which there exist different “schools” of thought on how practice should be done. Increasingly, faculty should make their perspectives explicit to their students, and students should review which perspective appeals to them most. Interestingly, such differences in perspective logically lead to differences in which areas of practice should be taught in the curriculum and which areas of research should be focused on and addressed. One would not necessarily expect a course on performance analysis in an HRD program emphasizing adult learning.

The purpose of the chapter was to explicate the importance of system theory to the HRD field. There can be little dispute about this basic relationship. It is hoped that even those individuals who do not reflect much on this relationship come to realize the extent to which their actions are guided by system theory principles, even if their priorities of interest and study may lie elsewhere.

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CHAPTER THREE



Adult Learning Theory and Application in HRD

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Adult education practice is grappling with the decentralized, networked, technology-savvy, global, complex environments in which many today live and work. Adults are pressed to acquire new knowledge and skills, as well as translate what they know and learn into usable knowledge for work. In this chapter, we trace the roots of such learning; examine it in relationship to individual, group, and organizational learning; and discuss opportunities, challenges, and shortfalls that arise from the transitional space between adult learning conceptualized in the modern era and its current emergent shapes in the postmodern era.

Many adult learning theories were conceived, implemented, and codified under modernist, rational, workplace conditions. As the workplace changes, so too must learning theory; but unfortunately, it does not always do so—despite transformational changes in the nature of work, organizations, jobs, and workers since the time in which those theories arose. It is no coincidence that Malcolm Knowles (1976) subtitled his at-the-time revolutionary text of adult learning “The Modern Practice of Adult Education.” While ahead of its time, and in a way pointing to postmodern practices of empowerment and self-organizing systems, andragogy stands in need of reinterpretation and reconstruction to better suit today’s workplace learners. One critical component of that reinterpretation is to deepen our understanding of the nature of the workplace as a learning environment.

We start with key theories of adult learning as they relate to the pursuit of learning by individuals in today’s workplace. Given space limitations, we will necessarily be selective.

INDIVIDUAL LEARNING AT WORK

Today's workers are being asked to be more independent and self-directed in their learning. Self-directed learning focuses on adults' ownership of their learning. Candy (1991) notes that the term "self-directed learning" could refer to self-direction regarding learning goals or methods, or both, and that such learning can take place in educational institutions as a form of study or more broadly through self-initiated learning projects (Tough, 1979). Merriam, Caffarella, and Baumgartner (2007) describe a variety of linear and non-linear models for such learning. A classic model by Brockett and Hiemstra (1991) defines self-directed learning in terms of the interaction of learning processes and personal characteristics of learners. Spear and Mocker (1984) note the key influence of the environment and chance occurrences. Grow (1991) shows how the support needed for self-directed learning differs depending on the ability of learners to engage in such learning without direction. The heart of self-directed learning rests, ultimately, in people's intrinsic motivation and purposeful pursuit of learning, which often arises in, and is influenced by, the context for growth.

Organizations often expect, hire for, and support proactive self-directed learners. Learning may be guided by a performance feedback process that includes setting annual objectives and developing an individual development plan to guide what is, in essence, self-directed learning. It may be pursued on one's own time or taken in concert with others in classroom or virtual formats. Formal and informal learning are both needed, although they are not always well linked. Self-directed learning in the workplace often has this mixture of other-initiated (perhaps the supervisor's expectations or performance feedback), yet self-directed learning that nevertheless remains accountable to the others who initiated the learning project.

Thus, we write this chapter from the assumption that human resource developers may be responsible for people's growth, but success depends equally on choices made by learners, alone and with the organization, as to what, when, why, and how learning occurs. Most learning in the workplace is informal and incidental, based on personal and professional interests, that occurs through experience on the job, often in relationship to others in teams, groups, communities of practice, networks, or interactions with peers and clients. Given this preference, key theories of adult learning to understand are learning from experience and self-directed learning.

Andragogy

Andragogy is a classic modernist view of humanist, self-actualizing adults as mature, self-directed learners (Knowles, 1976; Merriam, Caffarella, & Baumgartner,

2007). It focuses on *learners* rather than *learning*. Knowles was explicit about this starting point, yet even when not specified, all theories of adult learning must be guided by assumptions regarding who adults are and, therefore, how they learn.

Andragogy—the art and science of teaching adults versus the pedagogy of teaching children, rests on five core assumptions about development as a person matures:

- The adult's self-concept moves from one of being a dependent personality toward one of being a self-directed human being.
- The adult accumulates a growing reservoir of experience that becomes an increasing resource for learning.
- The adult's readiness to learn becomes oriented increasingly to the developmental tasks of his or her social roles.
- The adult's time perspective changes from one of postponed application of knowledge to immediacy of application, and accordingly his or her orientation toward learning shifts from one of subject-centeredness to one of problem-centeredness.
- The motivation to learn is internal. (Knowles, 1976, p. 12)

Knowles described what we now better understand as an adult development trajectory toward increased ability to make meaning of, and act in and on, situations of increasing complexity, ambiguity, self-authorship, and interpersonal collaboration (Drago-Severson, 2009; Hoare, 2006; Nicolaides, 2008). Kegan (1994) challenged the concept of self-directed learning as a form of abandonment for many for whom the developmental demands of this approach require a comfort with autonomy and complexity, as well as a high degree of self-awareness, that leaves many “in over their heads.”

Adult development theory intersects with and complements adult learning theory (Hoare, 2006) because, as Drago-Severson (2009) states, developmental capacity offers a way of knowing that shapes the meaning an adult makes of his or her experience. Drago-Severson's ways of knowing start with Kegan's (1982) constructive-developmental theory that reveals, as adults mature, that they can—though do not always—take as “object” that to which they have been “subject.” In oversimplified terms, Table 3.1 gives common ways of knowing.

Developmental theories vary, but at their heart is a recognition of learning that progressively increases one's ability to think and act more complexly and more interdependently over time. Many developmental theories are based on early work by Perry (1970) on intellectual and cognitive development and

Table 3.1 Ways of Knowing

| <i>Ways of Knowing</i> | <i>Characteristics</i> | <i>Learner Behavior</i> |
|---------------------------|--|---|
| Instrumental knowers | Are subject to rules that guide their lives | Seek to fill their own needs, interests, and desires and are guided by extrinsic rewards and punishments |
| Socializing knowers | Are subject to what important others in their lives think they should do | Seek to meet expectations and get approval and valuing from important others outside themselves |
| Self-authoring knowers | Are subject to their own well-considered views of what is important | Seek to stay true to standards, values, and mental models they have thought through for themselves; are intrinsically motivated |
| Self-transforming knowers | Have a well-developed identity | Able to step outside of their views and consider the value offered by the thinking and views of others |

Adapted from E. Drago-Severson, 2009, *Leading adult learning: Promising practices for supporting adult development*. Thousand Oaks, CA: Corwin Press.

Loevinger (1976) on ego development; they may also focus broadly or more specifically on particular aspects of development, for example, moral development (Kohlberg, 1984), women's development (Gilligan, 1982), or spiritual development (Fowler, 1995). Each of these theories posits that these aspects of identity evolve in definable stages, each more complex than the last; and progression requires resolution of the issues raised at one's current level and acquisition of the way of knowing, thinking, or being required by the next level. What one learns on one's own is deeply filtered and framed by one's developmental stage.

In the context of a complex workplace, the conceptualization of a universal developmental trajectory—invariant despite differences in culture, gender, socioeconomic status, or belief systems—is enormously oversimplified. The interplay between learning and development is especially visible when learning from experience, since it is developed and shaped by the individual (Marsick, Watkins, Callahan, & Volpe, 2009).

Dewey-Based Theories

Many theories of learning from experience dominant in the United States rest on the shoulders of the pragmatist John Dewey (1938), who adapted scientific

methods (embraced by modernists seeking objective, empirically tested knowledge) to education. Dewey conceptualized learning as a person's interaction with the environment, as opposed to behaviorist stimulus-response views dominant at the time. He proposed that people learn through experience because of the principles of continuity and interaction. Dewey's continuity principle explains that experiences are stored and drawn upon in future experience. His interaction principle explains how past experience shapes perceptions of the present and influences meaning and choices going forward.

Many theories of learning from experience rest on the work of Dewey, one of the most popular being that developed by David Kolb (1984), who also drew on Kurt Lewin's Gestalt psychology and Piaget's developmental psychology. Kolb argued that people take in experience in two different ways: through concrete experience or abstract conceptualization. They transform the experience, once they have taken it in, through reflective observation or active experimentation. These two dimensions interact, resulting in both a typology of learning styles and an experiential learning cycle. The cycle grows out of Kolb's theory that, in order to make meaning of an experience, one must go through each phase of taking in and transforming information. People have differing strengths among the learning processes, and these differences create a learning style. The cycle moves from experiencing to reflecting to thinking to acting and then back to experiencing. This cycle focuses on processing lessons learned and using them to recognize what works or where errors occur so that next steps can be adjusted accordingly. Recent work by Kolb and colleagues has led to a deeper elaboration of the phases of learning through experience. In it, the cycle has nine sub-phases that further elaborate the learning styles of individuals who have developed increasingly differentiated strengths in taking in and transforming information (initiating, experiencing, imagining, reflecting, analyzing, thinking, deciding, acting, balancing). Kolb's model is depicted in Figure 3.1.

Kolb's cycle has been the basis for much experiential learning in the workplace, including "action learning" (O'Neil & Marsick, 2007), in which peers support one another's learning from experiences, often but not always with a learning coach, as people choose to work on individual challenges or with one another on a common challenge. The project is a vehicle for their learning. Some variants of action learning adopt Kolb's cycle to guide learning from experience. Recently, Marsick partnered with Achieve Global to develop a white paper that addresses the role of informal and incidental learning as partners to formal learning (Perrin & Marsick, 2012). Achieve Global repositioned their learning process using Kolb's theory to help participants learn better from their experience during formal training and to develop learning skills to assist in informal/incidental learning activities designed to continue learning once participants return to work.

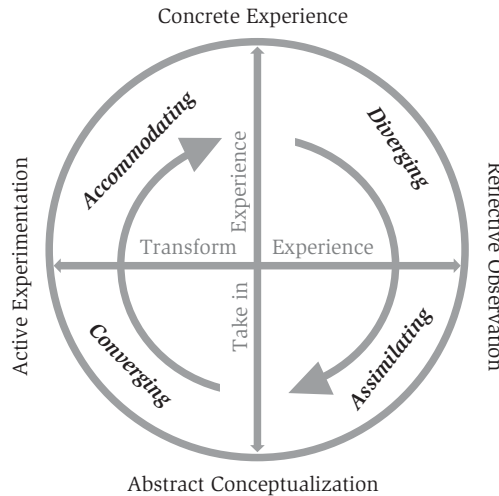


Figure 3.1 Kolb's Learning Cycle

Adapted from *Experiential learning: Experience as the source of learning and development*, by D. A. Kolb, 1984, p. 42.

Dewey's work is also the basis for Chris Argyris' and Donald Schön's action science (1978), which focuses on a science of interpersonal action. They theorize that each individual develops his or her theory of action based on prior experience that incorporates both an espoused theory (what people say they want to be or do) and a theory-in-use (what they actually are or do). Action science takes reflection, the hallmark of Dewey's theory, a step further than does Kolb's cycle. Schön (1983) distinguishes between reflection-in-action and reflection-on-action. Kolb's cycle, for the most part, uses reflection-on-action after the fact of *having* an experience (or sometimes recalling vividly an experience one has had in the past). Reflection-in-action, by contrast, captures the often less conscious process of registering surprise at an error—that is, what Dewey (1938) called “disjuncture,” when what happens is not what was expected. While in the midst of action, surprise triggers a quick evaluation of the situation based on prior experience and a recalibration of action to align outcomes with expectations. Argyris and Schön (1978) together note that this evaluation sometimes focuses on tactics that need changing (what they call single-loop learning), and sometimes on deeper assumptions, values, and beliefs that frame a basic understanding of the situation (double-loop learning) that guides behavior. Reflection-in-action can lead to reframing one's understanding of the situation at hand, which in turn can influence how one chooses to act to reach desired goals.

The role of framing is critical to understanding how learning occurs in these informal situations. Marsick and Watkins (1990) depicted this in a cycle

of how error may be embedded in the informal learning cycle. If we frame a problem inadequately, then all of the learning and responses generated to address the problem will solve the wrong problem. Like Ulysses, we are all a part of all that we have met, thought, and experienced. These experiences and beliefs frame that to which we pay attention and may constrain it. A communication expert hears someone describe a problem in the workplace and assumes the issue is one of communication, whereas a manager may frame the same situation as a leadership problem. And of course, both may be correct. Strategies of surfacing tacit reasoning, public reflection, and sharing of the meaning one assigns to experiences permit us to hold the mirror of others' frames of reference to our interpretations. These reflective strategies are an essential element in productive informal learning.

Mezirow (1991, 2000) likewise focused on Dewey's cycle of reflective learning from experience, beginning with disjuncture, which Mezirow terms a "disorienting dilemma" that potentially enables a person to see how his or her framing of the situation is incomplete or inadequate. Mezirow based his theory of transformative learning on the idea of disjuncture, whether a single "aha" moment or more incremental over time.

Mezirow's views sparked an extensive literature on transformative learning, including alternative perspectives on how and why such learning occurs (see, for example, Mezirow & Associates, 2000; Taylor & Cranton, 2012). Alternative perspectives grow, in part, in opposition to the highly rational, modern perspective Mezirow takes in his theory. Dirkx (1997), for example, develops a depth psychology view emphasizing "soul" and including emotions as central to such learning.

Critiques of Mezirow's rational focus are also found in literature on learning from experience. A constructivist view that more centrally engages emotion in experiential and transformative learning is that of Boud and colleagues (Boud, Cohen, & Walker, 1993; Boud, Keogh, & Walker, 1985). They frame their model in terms of the three stages of engagement in learning vis-à-vis some kind of conscious learning event: prior, during, and after an event. They discuss preparation for successful learning from experience that involves understanding the learner, the environment, and the skills or strategies that might facilitate learning. During the event, they take into account the way learners notice, intervene, and reflect-in-action. Finally, they identify reflective processes that assist learners in returning to the experience, attending to feelings, and re-evaluating the experience. Their model departs somewhat from the modernist view in that knowing and learning arise out of interaction in the experience and are not driven to a prescribed objective outcome. However, experience is still examined as something "out there" from which learners must gain distance so they can better understand, reflect on, and derive learning from the experience. A comparison of the reflective and transformative models of learning from experience is given in Table 3.2.

Table 3.2 Reflective and Transformative Learning Theories

| <i>Stages of Reflective Learning (Boyd & Fales, 1983)</i> | <i>Stages of Transformative Learning (Mezirow, 1978, 1991, 2000)</i> |
|---|---|
| A sense of inner discomfort, a sense that something does not fit, or of unfinished business | A disorienting dilemma Self-examination with feelings of fear, anger, guilt, or shame |
| Identification/clarification of the concern; the problem conceptualized in relation to self and often includes a significant shift in perspective | A critical assessment of assumptions Recognition that one's discontent and the process of transformation are shared |
| Openness to new information, a variety of sources of information; suspension of need for closure, trust of self to discover information | Explorations for new roles, relationships, and actions |
| Resolution—the “aha” stage—when people experience being changed, having learned or reached closure; a coming together or creative synthesis, contains surprise and is often preceded by psychological readiness | |
| Establish continuity of self with past, present, and future self; changed perspective leads to seeing things differently | |
| Decide whether to take action, whether to “go public” with new behavior, to test against others' reactions | Planning a course of action Acquiring knowledge and skills for implementing one's plans Provisional trying of new roles Building competence and self-confidence in new roles and relationships A reintegration into one's life on the basis of conditions dictated by one's new perspective |

Adapted from V. J. Marsick and K. E. Watkins, 1990, *Informal and incidental learning: A new challenge for human resource developers*, p. 143.

Yorks and Kasl (2002, 2006), by contrast, adopted a view of learning from experience that starts with a phenomenological understanding of experience as “a verb” and not “a noun.” Drawing on modes of the psyche and ways of knowing expressed in an interactional pyramid of experience-based learning developed by Heron (1992) and Heron and Reason (1997), Yorks and Kasl describe learning holistically and phenomenologically as learners make sense of experience in the moment. Experiential knowing is often subconscious, but it can be expressed in tacit ways as presentational knowing manifested in imaginal and conceptual modes of the psyche. Learning and knowing do not often dwell in this presentational space, but cognition expressed as propositional knowing is privileged. Practical knowing grows out of these multiple, interacting, prior dimensions and leads to the ability to act in new ways. Yorks and Kasl move Dewey-based, rationally focused modes of reflection in and on experience closer to postmodern understandings of difference and subjectivity.

It is Fenwick (2000) who best contrasts the constructivist, Dewey-based modes of learning from experience—which we see as dominant in workplace learning, along with behaviorist theories and offshoots such as Bandura’s (1986) social learning theory—with other conceptions based on psychoanalytic, situated, emancipatory, and ecological theories of learning. The highly instrumental, modernist conceptions of work and workplaces still hold sway, yet these other perspectives speak more to postmodern views of identity, work, and learning that also place individual learning more firmly in the realm of social, collaborative, connected processes influenced highly by dominant sociocultural and organizational norms. In the next section, we look at complexity as a context for collective and collaborative learning.

RELATEDNESS: COLLECTIVE AND COLLABORATIVE LEARNING

Adult learning theory (Dewey 1934, 1938; Kolb, 1984; Knowles, 1976; Mezirow, 1991, 2000) simultaneously concerns the learner (adult) and the learning (systems of engagement). Dewey (1934) was aware of the paradoxical systems of learning that occur within the interactions of learning through formal and informal relationships with self, others and systems. He stated:

Under conditions of resistance and conflict, aspects and elements of the self and the world that are *implicated in interaction* [italics ours] qualify experience with emotions and ideas so that conscious intent emerges. . . . These are experienced but not in such a way that they are composed into an experience. There is distraction and dispersion; what we observe and what we think, what we desire and what we get, are at odds with each other. (p. 35)

Dewey emphasized the systems with which adult learners engage. Continuity involves reflection on experience that takes into consideration the recent past, the present, and the immediate future as a way to discern what meaningful action to take from moment to moment. At the same time, Dewey recognized that this moment-to-moment awareness was always in relationship to groups, organizations, or society. Gibboney (2006)) described the way in which individual and collective learning occurs in service of thoughtful or timely action:

Dewey sought reality in uncertainty and chance, and he knew that practice is always more complex than theory. He believed that a life lived (one's experience) presented problems that could not be solved for all time but could nonetheless be intelligently addressed by acting in the world—that is, by doing something. The real-world results of our action come back to us, via snail mail, as consequences—to our pain, confusion, or delight. (p. 2).

Gibboney captures the paradox embedded in an adult learning theory that acknowledges the dynamics that accrue when one's lived experience and "acting in the world" are simultaneous.

Experiential learning that focuses on both the individual's experience and the impact on learning and on the system in which the individual is learning captures the individual and collective dimensions of learning. An integrative learning process including both the subjective (individual) and the collective (system, group, organization, society) dimensions of interactivity and continuity might address the complex and often ambiguity-generating context of early 21st century life.

Complexity Theory

Complexity sciences offer a parallel and distinct way to describe the simultaneous action of learning that is both individual and collective. The complexity of the social field within which interactions are situated (i.e., work, life, and learning contexts) and where learning occurs is described as pervasively intense and interconnected. Complexity theory—particularly complex responsive processes (Stacey & Griffin, 2005)—provides a useful description of the dynamics of relatedness. Complex responsive processes posit that interconnections among human beings are conscious enactments of learning together from experience, one's own and each other's, as well as the whole. In other words, we learn in relation to the systems with which we interact—our networks or, as Wheatley (2008) notes, our web of influence. These networks embody the collective learning system.

As Stacey and Griffin (2005) assert, human relating refers to the "ongoing patterning of interactions between people"(p. 1). Patterns of human interactions

produce further patterns of interactions, what Stacey and Griffin call “complex responsive processes of relating.” The complex and simultaneous intersections of learning in relationship to others is found in action learning (O’Neil & Marsick, 2007) within systems and units of interactions across the boundaries of systems (Ernst & Chrobot-Mason, 2011). Our ways of knowing (Drago-Severson, 2009) also influence our learning and, by extension, influence ways of learning as relatedness to systems and their effects on learning from experience (Nicolaidis, 2008).

What types of learning capture the embedded individual and collective processes of learning? Transformative learning (Mezirow, 1991, 2000), a reframing process of deep reflexive inquiry on action, is one approach; and the loops of first- and second-order learning as conceived by Argyris and Schön (1978) is another. What makes these approaches fit is that individuals reframe their understanding through interpersonal dialogue and reflection that fosters individual learning through a collective learning process. At the same time, since individuals act as agents or a microcosm of the larger system (Argyris & Schön, 1996), the learning of the system is possible through the learning of the individual and the group. When we add the lens of complexity theory, we see a set of processes that creates the possibility of fostering the organic adaptation of whole systems as they navigate the complexities of early 21st century life.

Argyris was equally clear we cannot alter our theories in use on our own. Through feedback and collective meaning making, holding up a mirror to our behavior in relation to others and the likely impact of that behavior on others, generates at least the possibility of learning how to be more effective in interpersonal situations. If individuals become more effective interpersonally, they impact the people with whom they are in relation differently, and the collective system may learn.

Argyris and Schön (1978) point out that prevailing Model I (command and control) theories are counterproductive for leading in current crises that often call for a fundamental reframing of one’s understanding of the situation to decide on a relevant course of action. Model II (learning-oriented) governing values invite a process for a transformed epistemology by requiring these learning conditions: (1) use of valid information, (2) free and informed choice, and (3) internal commitment by the learner to the choice (Argyris & Schön, 1978). These governing values resonate with Mezirow’s (2000) conditions for transformative learning. This focus on creating a holding environment where transformation may occur (but is not forced or controlled) is one dimension of a learning culture. Adult learning theory at the organizational level focuses on creating an environment for learning supportive of informal learning that emphasizes Model II governing values.

LEARNING AT THE ORGANIZATIONAL LEVEL

Learning in each of these approaches began with a disjunction, a jolt or a surprise that triggered exploration, reflection, and sometimes transformation. At the organizational level, scholars have depicted learning similarly. That organizations can and do learn is well-documented; indeed, Arie de Geus (2002) argues that organizations must learn to survive. de Geus, credited with coining the term, “the learning organization,” said, “Companies die because their managers focus on the economic activity of producing goods and services, and they forget that their organizations’ true nature is that of a community of humans” (p. 3). As a community of people, organizations learn through their members. But they can also learn as a system.

One of the first empirically derived formulations of the nature of organizational learning was that by Meyer (1982). Meyer looked at how hospitals with different strategic approaches responded to the unprecedented environmental jolt of a doctors’ strike. He theorized that organizations learn by first determining what to pay attention to (similar to Kolb’s taking in information) and how to interpret or frame the situation (similar to Kolb’s transforming information). This framing is shaped by the organization’s dominant strategy and ideology. Structure—the system of relationships in the organization—and slack—the available talent, resources, and energy—constrain how the organization will respond. Meyer observed two types of organizational learning: *resilience*, or weathering the storm and bouncing back to business as usual, that is, first-order changes; and *retention*, retaining new practices and knowledge generated by adapting to the jolt, a second-order change. In his study strategy and slack constrained and cushioned approaches and predicted first-order change. It was vision or ideology and structure that enabled real transformation. These organization level attributes create the conditions for the organization to learn.

Like Meyer, March (1991) also differentiated between two kinds of organizational learning from experience. On the one hand, organizations make investments in exploration, that is, in research and development, to generate new knowledge. On the other, they invest in exploiting proven technologies and markets. Thus, in his view, organizations learn from experiences of exploration and exploitation.

There is a kind of behavioral, Skinnerian stimulus-response theory of learning inherent in these models (Weick, 1991). Weick embraced the behavioral stimulus-response view and argued that individual learning is a different response to the same stimulus, while organizational learning is the same response to a different stimulus. Weick suggested that, with a new stimulus or environmental jolt, the organization first attempts to respond as it always has.

Taking a different, more cognitive science view, Argyris and Schön (1978) blend individual and organizational learning. They define organizational learning as what happens when individuals, acting as agents of the organization, make meaning of experiences and detect and correct errors. Much of their work then focused on the Model I or Model II culture that shapes individuals' approaches to organizational learning.

The cultural approach advocated by Argyris and Schön signals the transformative intent of their framework. Just as Meyer noted that it was a change in ideology and the structure of relationships that enabled second-order organizational learning, Argyris and Schön's efforts to change the underlying control orientation to a learning orientation of the organization is designed to pave the way for a deeper level of learning by the organization.

Conceptions of organizational learning, whether behavioral or cognitive, incremental or transformative, diverge in their view of the role of individuals. Hong (2003) argues that a focus on the learning of individuals on behalf of the firm tends to zero in on top leaders as the collective mind of the organization, an approach that may ignore the role other key members of the organization play, and that depends heavily on the capacity of those individuals to translate individual thought to collective action. Similarly, those who take an organizational perspective, Hong argues, may reify the organization and attribute to the organization human characteristics such as a mind, memory, or similar constructions. Other scholars argue that the group is the bridge between individual and organizational perspectives, with multiple communities of practice (Brown & Duguid, 1991; Lave & Wenger, 1991) interacting and creating collective understandings or team learning (Kasl, Marsick, & Dechant, 1997; Watkins & Marsick, 1993). While scholars debate the meaning of organization and the nature of learning at this level, practitioners focus on how they can use these ideas to improve their practice and their organizations.

APPLICATIONS TO HUMAN RESOURCE DEVELOPMENT

In this section, we examine three approaches to learning from experience at individual, collective, and organizational levels that human resource developers use: informal and incidental learning, collaborative developmental action inquiry, and creating a learning culture.

Informal and Incidental Learning

The Marsick and Watkins' (1990) model of informal and incidental learning is similar to Kolb's model of learning from experience in that it focuses on learning through problem solving. It differs in that it integrates the cognitive perspectives

of Argyris and Schön, proposing that learning in informal, less structured settings proceeds through phases of framing the workplace context in which the learning occurs, interpreting the triggering experience, identifying solutions, learning how to implement them, and assessing outcomes once implemented. Figure 3.2 depicts Marsick and Watkins' conception of informal and incidental learning as adapted in Marsick, Watkins, Callahan, and Volpe (2009).

Marsick, Watkins, Callahan, and Volpe (2009) argue that effective human resource development practice demands that practitioners frame their task as building a learning architecture with formal, informal, and incidental learning opportunities available to individuals in the organization. An audit of learning practices to depict the range of options that might be provided across these levels was developed by Watkins (Watkins & Cervero, 2000). Strategies to implement informal and incidental learning are described by Bersin (2009) as informal/on-demand, social, or embedded. Technology is viewed as a key driver of new forms of highly interactive informal learning through gaming and social networking (Thomas & Seely Brown, 2011). More recently, Perrin and Marsick's (2012) continuum of informal-to-incidental

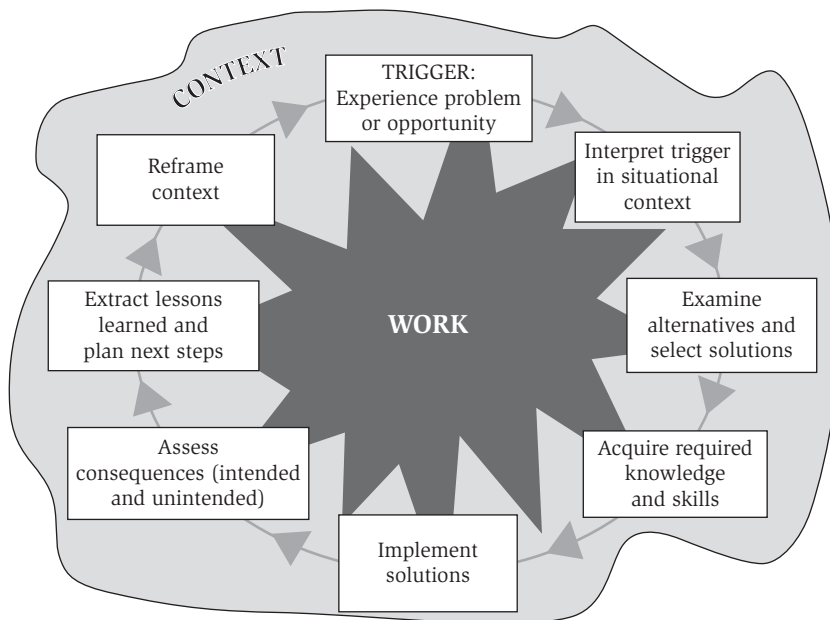


Figure 3.2 Informal and Incidental Learning Model

Adapted from "Informal and incidental learning in the workplace," by V. J. Marsick, K. E. Watkins, M. W. Callahan, & M. Volpe. In M. C. Smith & N. DeFrates-Densch (Eds.), *Handbook of research on adult development and learning*, 2009.

learning options emphasizes the broad range of activities that might be developed as part of a learning infrastructure. In each of these frameworks, the organization's human resource development function is asked to conceptualize learning more broadly than simply the training courses provided face to face and online, to include more informal strategies of mentoring, coaching, job shadowing, job rotations, challenging assignments, and other experiential alternatives. Formal training can build continuous learning capabilities and be better linked to informal learning opportunities on the job (Perrin & Marsick, 2012). HRD can build learners' capabilities as self-directed learners and help the organization develop healthy climates that stimulate the learning intensity of jobs (Skule, 2004), provide resources for self-directed learning (Lohman, 2009), and develop managers as role models and facilitators for learning (Ellinger, 2005).

Collaborative Developmental Action Inquiry

At the collective or group level, human resource developers can use case- and problem-based strategies such as action science, action learning, and collaborative developmental action inquiry. Argyris' research suggested that, since Model I assumptions about unilateral control are pervasive, adults need bridges to help them cross over into the learning-oriented logic of action described in Model II. One such bridge is Torbert's (2003, 2004) Collaborative Developmental Action Inquiry (CDAI). Torbert offers a theory of single-, double-, and triple-loop learning that takes into account the difficulty of transforming our ways of knowing, or what he calls developmental "action logics." Torbert suggests that adults can develop their capacity for double- and triple-loop learning by engaging in practices that simultaneously promote growth in cognitive capacity and levels of learning, reflecting, and adapting in action with others and within systems.

Torbert's model of Collaborative Developmental Action Inquiry identifies three main units of experience: the first-person (subjective); the second-person interpersonal (inter-subjective, collective, collaborative); and the third-person (objective and systemic). Based on principles of action research (Chandler & Torbert, 2003; Lewin, 1946; Reason & Bradbury, 2008) and action science (Argyris & Schön, 1978), Collaborative Developmental Action Inquiry proposes a means of personal, interpersonal, and organizational development that integrates inquiry and action. More specifically, CDAI directs attention toward gaps that exist between individual, team, and organizational intentions, strategies, actions, and outcomes, using feedback loops of learning and adaptation. What is different in Torbert's conception is that each successive loop requires a greater level of developmental capacity to initiate, to learn through, and to close or complete.

Figure 3.3 depicts the evolution from single- to triple-loop learning. Single-loop learning identifies how gaps between action and outcome might be closed through changes in the intensity, rate, or manner of behavior used to achieve a goal. Double-loop learning inquires into the assumptions that guide the development of strategies/design plans, which requires greater awareness and a more challenging degree of learning to surface, understand, and revise those assumptions collectively. Finally, triple-loop learning explores whether or not our intentions and purposes themselves are appropriate, requiring an advanced level of awareness and availability for adaptation (Nicolaides & McCallum, 2011).

Using a critical incident case from individuals, team members systematically inquire into gaps between learning and action. Each of the inquiry loops of learning and adaptation can occur in the three main units of analysis (Chandler & Torbert, 2003). Therefore, an individual could use CDAI to evaluate the gaps between his or her intentions and the outcomes of his or her actions, identifying whether or not the gap was caused by issues at the level of behavior/performance (single-loop), at the level of strategies/design plans (double-loop), or at the level of intention/purpose (triple-loop) while engaged

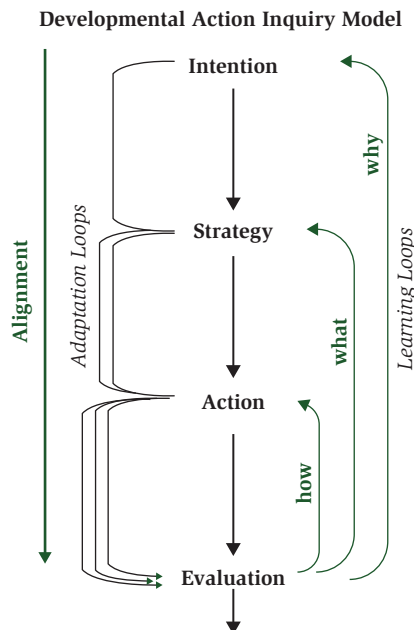


Figure 3.3 Collaborative Developmental Action Inquiry

From D. McCallum, Presentation to Jesuit Leadership Forum on Mission and Identity, 2010, based on W. Torbert and Associates, 2004, *Action inquiry: The secret of timely and transforming leadership*. Used with permission.

in collaborative engagement. The same model can be used to inquire into the disparity between mutual intentions and outcomes in the second-person interpersonal unit of relationships (e.g., team performance). Finally, the model is useful for assessing disparities of intentions and outcomes and adapting at the third-person, organizational level. At each unit of analysis, the learning loops increase personal, interpersonal, and organizational awareness of issues at the level of performance, strategy/design structure, and intention/purpose (Torbert & Associates, 2004, p. 17).

Creating a Learning Culture

Advocates of new learning approaches often point to creating a learning culture as key to encouraging and supporting workplace learning. Watkins and Marsick developed, validated, and refined a model of a learning organization, an organization with an enhanced capacity to learn and to change. The model of the learning organization defines seven dimensions that promote a culture of ongoing change and learning: creation of continuous learning opportunities, promotion of inquiry and dialogue, encouragement for collaboration and team learning, establishment of systems to capture and share learning, empowerment toward a collective vision, connecting the organization to its environment, and leaders who model and support learning. These dimensions

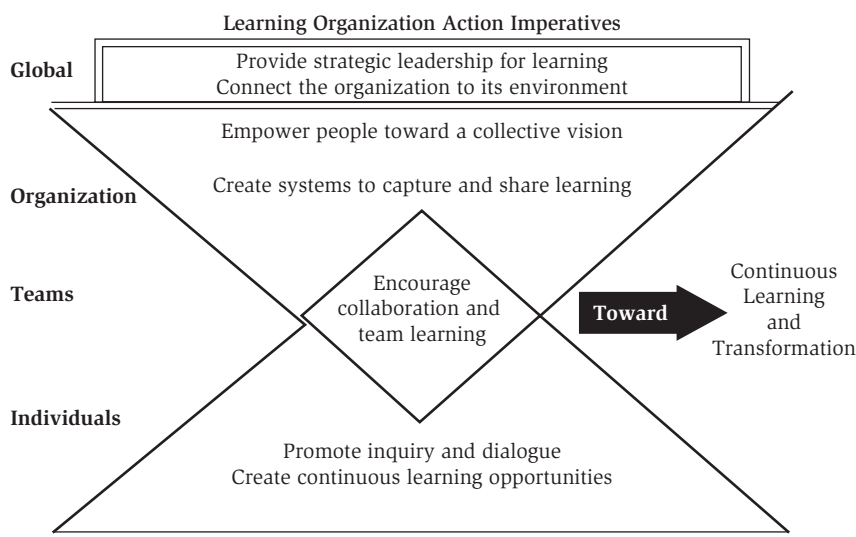


Figure 3.4 Watkins and Marsick's Learning Organization Model

From "Dimensions of the learning organization questionnaire," by K. E. Watkins & V. J. Marsick, 1997. Copyright 1997 by Partners for the Learning Organization. Reprinted with permission.

together promote a culture of ongoing learning and an openness to change essential for organizations in a climate of rapid change, complexity, and ambiguity. Yang, Watkins, and Marsick (2004) found that creation of individual learning opportunities is not sufficient to achieve organizational goals. Human resource developers need to partner with business leaders to influence strategic leadership for learning, empower people toward a collective vision, create embedded systems to capture and share learning, and to make systemic connections between the organization and its environment, all dimensions significantly correlated with organizational knowledge and financial performance (Watkins & Dirani, 2013; Yang, Watkins, & Marsick, 2004). Figure 3.4 shows the Watkins and Marsick (1997) learning organization model.

CONCLUSION

In this chapter, we argue that modern theories of adult learning need to be rethought for today's complex, global, technological, postmodern world. We urge human resource developers to focus on learning from experience at individual, group, and organizational levels. Drawing especially on Dewey, Argyris and Schön, and Torbert, we identified core theories in our field and proposed strategies to apply these theories in human resource development. While we focused predominantly on informal means of development, we are cognizant that a well-balanced approach to human resource development requires embracing learning at multiple levels and in multiple formats. We are primarily interested in theories and practices that embrace complexity, and thus have the potential to increase the capacity of the human resource development function to develop the people and systems they serve.

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CHAPTER FOUR



Management and Leadership in HRD

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INTRODUCTION

Before the 20th century, leadership was seen as largely a matter of character or role. To the extent that leadership could be developed, a common approach was that of traditional character development in the manner that Aristotle helped develop the character of Alexander through his tutoring. An alternative was apprenticeship, which has a long history in the trades. But in the 20th century researchers and applied psychologists began a long process of attempting to tease out the nature of leadership and of finding ways to develop leaders who would be more effective in obtaining high performance and, in business firms, consequent profit. This chapter provides a review of the current state of leadership development, with an intended emphasis on upper-level leadership.

Of course, a key question is whether leaders can be developed. Most current leadership scholars would agree that effective leaders are neither “born” nor “made,” that effective leadership is generally a result of certain innate characteristics or potential combined with appropriate developmental experiences. Some would even argue that personal characteristics or potential can be developed.

The present chapter assumes that leaders have some significant influence on the performance of their subordinates and organizations. Moreover, it is assumed that development is, indeed, possible, so that even those individuals whose personal character and potential may not be ideal can, through appropriate developmental experiences, become reasonably effective leaders.

Before beginning a review of leadership development, two questions are addressed. First, does leadership really make a difference? Second, what is the difference between management and leadership? A third and final preparatory activity will be a short walk through the history of leadership studies. After

the review of current themes in human resource development of leadership, there will be some speculation on future directions, followed by conclusions.

DOES LEADERSHIP MAKE A DIFFERENCE?

Some social scientists, economists, and sociologists in particular, do not believe that leadership has much, if anything, to do with performance at the organizational level. The former see the larger-scale factors such as market variables as having the primary effect on an organization's performance, while the latter might see an organization's culture as the key to performance. Scholars of organizational theory typically view performance as driven by the strategy decisions of top management teams rather than by individual leaders. Others, particularly social psychologists, view leadership as a group-centered phenomenon that is best thought of as involving certain roles that are focused on one or another aspect of the group's task. In this version of leadership, the formal or defined leader may or may not take on these roles, which are often carried out by others in the group. Still other psychologists see leadership as primarily a two-person relationship in which the leader motivates the follower to carry out certain task-relevant activities, typically by offering concrete rewards (such as pay) or psychological rewards (such as recognition). And some—especially popular writers—place organizational success or failure squarely on the shoulders of the individual leader and his or her character.

The choice of which view to take is in good part a matter of the narrative one chooses to accept. There is plentiful evidence of substantial achievement attained through the initiative of an individual, such as a political leader (e.g., President Abraham Lincoln) or a specific organizational leader (e.g., Apple's Steve Jobs). There is also evidence that long-term organizational success may be based on the structure and the culture of an organization. In fact, there is some scientific research evidence to support each of the above views of leadership. However, that evidence is really quite limited. Hardly any leadership research is of the highest quality, that is, research based on predictive experiments with randomized assignment of individuals as leaders or as "control comparisons." And imagine how difficult such research would be in ongoing organizations.

One study of leadership effects was so well designed as to be worth a brief mention. Smith, Carson, and Alexander (1984) found a statistically significant relationship between the leadership of Methodist ministers and subsequent congregational-level performance outcomes. They examined historical performance records over a twenty-year time span, which strongly suggests that the relationship is causal, that is, that the leaders were responsible for performance results.

In organizational research true experiments are rare. However, two major reviews have looked across a wide range of formal management and leadership development programs. The first, by Burke and Day (1986) was based on seventy studies reported between 1951 and 1982. They found that, in general, such programs have a significant positive effect. However, most of the studies included in their analysis appear to have involved management training rather than leadership development, a distinction that will be defined shortly, and only two of the seventy studies measured organizational outcomes.

The second broad review was done by Collins and Holton (2004) and included eighty-three studies with formal training interventions, conducted between 1982 and 2001. Outcomes were categorized as subjective or objective across three types: knowledge, behavior, and performance. Almost 20 percent of the studies appear to have focused on leadership, rather than management. Collins and Holton found that training generally had moderate to strong positive effects. However, a review of the list of studies they included in their analysis suggests that many seem to focus on very narrow aspects of management.

A case can be made for each of the narrative views of the primary factors in organizational performance briefly noted here, including those that limit or minimize the role of leadership as well as those emphasizing the importance of leadership. Some research even supports both of these arguments. Collins and Porras (1997) attempt to show that long-term organizational success depends largely on an organization's culture, while Collins' (2001) further research argues that it is leadership that makes these "good" organizations "great." In sum, plentiful evidence supports the conclusion that some manner of leadership has a significant role in organizational performance.

MANAGEMENT AND LEADERSHIP

Despite their breadth and quality, the two broad research syntheses on leadership development effects described above are inadequate. One reason is that both focus on research centered on management, rather than leadership development. A second reason is the lack of extensive research comparing alternative development approaches.

Focus on Management

From the 1930s through the 1950s, management texts centered on "principles" of management, often using acronyms such as POSDCORB, which stands

for the management tasks of Planning, Organizing, Scheduling, Directing, COordinating, Reporting, and Budgeting. Research in the 1940s and thereafter, however, identified two major groups of management behaviors: task-centered actions and relationship-focused activities.

Research and practice from the 1960s on demonstrated that the behaviors falling in these categories are important for performance outcomes and can be learned by supervisors and managers. But while effective management practices are important, they are not the same as leadership. Leadership calls for a broader viewpoint and for actions that “transform” situations and people. This is what various researchers and practitioners, including Robert House (1977), Bernard Bass (1985), and James MacGregor Burns (1978), concluded beginning in the late 1970s. A simple way to describe this difference is attributed to both Peter Drucker and Warren Bennis: “*Managers* do things right; *leaders* do the right things.”

An implication is that management skills are easier to teach and to learn than is leadership. Whether this is so, and the specific nature of either effective teaching or successful learning, remain unclear. Warren Bennis is quoted by McCall and Hollenbeck (2008) as responding to the question, “Can leadership be taught?” with the answer, “No, but it can be learned” (p. 22).

The reviews and syntheses of research on management and leadership development noted above are valuable because they show that Bennis was right: leadership can be developed. They do not, however, provide an adequate basis for reaching strong conclusions about leadership development. One reason is that they focus on management development, rather than on leadership as it is now generally understood. Another is that while the meta-analysis procedure demonstrates that leadership development efforts result, overall, in significant improvements in leadership we learn little about the details of how this happens. Moreover, the question of what development efforts produce the best or most consistent results goes unanswered, with little comparative leadership development research.

Aims of the Present Review

Because of the very limited amount of comparative research, the present review avoids judgments about the comparative efficacy of one or another approach to leadership development. Rather, one aim here is to briefly describe what has been and is now commonly done to develop leaders, with a focus on those approaches most widely used. In the process I will try to point out key elements and strategies that appear to enhance the effectiveness of leadership development. Finally, some of the most recent and “leading edge” approaches will be examined.

A BRIEF HISTORY OF LEADERSHIP RESEARCH AND DEVELOPMENT (CA. 1940—CA. 1980)

The study of leadership has progressed through several distinct phases, both historically and, in particular, over the past hundred years or so. The oldest approaches centered on the character of great leaders. The classic view, espoused by ancient historians such as Plutarch (Lucius Mestrius Plutarchus) in his *Lives of the Noble Grecians and Romans* (Clough, 2010)—as well as by popular modern biographers such as Robert Caro in his multi-volume biography of American president Lyndon Johnson—is that leadership is primarily a matter of the leader's personal character, with a variety of specific sub-elements that generally fit the two groupings of “virtues” and “vices.” *Lives* pairs famous Greeks with famous Romans to illustrate specific aspects of the character of important leaders. Based on various other sources, however, we know that Plutarch simply invented some of the character traits that he attributed to specific historical figures in order to make points about moral (or immoral) character. Indeed, much the same could probably be said about many of the biographies of more recent leaders. Popular writers on leadership still use Plutarch's methods to this day, producing books on leadership that are sometimes best-sellers, even though there is no scientific evidence for the authors' assertions.

Leadership scholar Ralph Stogdill (1948) concluded on the basis of his review of more than one hundred research studies that no single personality characteristic was clearly and consistently associated with leadership. However, he also observed that a *cluster* of certain characteristics was often related to leadership. Based in part on Stogdill's review, one can conclude that there is a group of characteristics, certain aspects of the individual often called “personality” variables that are important, if not crucial, for successful leadership.

Stogdill's conclusions, however, effectively demolished the personality approach to leadership, leading to a new set of approaches to both research and leadership development practice. These approaches are based on learning to practice certain key leader behaviors and skills, which can be sorted into the two basic categories noted earlier. The first centers on the task: giving clear instructions, setting specific goals, and providing the materials and resources subordinates need to effectively complete a task. The second category of leadership skills is focused on the relationships leaders develop with followers: providing encouragement and support, facilitating teamwork, praising good performance, and showing appreciation for subordinates' efforts. Various practitioners developed these into training and development models, the most popular of which was Blake and Mouton's (1964) *Managerial Grid*, which taught managers the key skills in each of the major categories and emphasized the general and constant need to use skills in both categories.

There is research evidence that doing so does, in fact, have performance outcome benefits, at least to a modest degree (Fleishman & Harris, 1962). The “two-factor” theory has become the mainstay of basic supervisory and management training and development programs. Though not often taught as a coherent theory, these basic skills have become a standard part of supervisory and management development training.

Soon enough, however, a further qualification led to creation of the most popular management training and development program of the 1970s and 1980s, Hersey and Blanchard’s (1969, 1982, 1988) “Situational Leadership.” Like researcher Robert House (1971), Hersey and Blanchard suggested that circumstances—the situational context—would prescribe the use of behaviors falling in one, the other, both, or neither of the two categories. Again, some research supports this assertion (Hambleton & Gumpert, 1982; Hersey & Blanchard, 1982), although the basis for choosing among the four options is not as clear as Hersey and Blanchard suggest.

House, despite being an academic and not turning his path-goal theory into a training program, gave simple “situational” advice. That is, when a subordinate is new to a job and has not had practice with the job detail, the supervisor is best advised to watch closely and provide direction, that is, engage in task-focused behavior. In contrast, when a subordinate has demonstrated the skills needed to do the job, the supervisor might give encouragement (focus on relationship behavior) and avoid giving a lot of task direction. Although this may sound overly simplistic, the fact is that new supervisors (and even managers with experience) often act in the opposite way, closely supervising employees who don’t need such attention and who may well resent it while failing to build positive relationships with employees.

Blake and Mouton disagreed with any situational advice, insisting that there is just “one best way” to manage, that is, to consistently engage in high levels of both task-focused *and* relationship-centered behavior. Despite vitriolic exchanges between Blake/Mouton and Hersey/Blanchard in the 1980s, the latter’s Situational Leadership became the most popular leadership training approach of the 1980s and early 1990s and is still in general use.

Although both Blake and Mouton are gone, the approach they developed is still being used in leadership development by a successor to Scientific Methods, Inc., the organization they founded more than a half-century ago. Hersey and Blanchard dissolved their partnership in the mid-1980s. Both continued offering their own versions of Situational Leadership, but Blanchard, curiously enough, also developed an extremely popular “pared-down” version using the label *The One-Minute Manager*. The approach harks back to POSDCORB, emphasizing providing subordinates with clear (and briefly stated) “one-minute goals,” while ensuring they have the technical knowledge and skill as well as the physical resources to achieve the goal. The one-minute

manager then provides one-minute encouragement when needed (or a one-minute correction, if appropriate) and a one-minute praising for achieving the goal. Blanchard may now be better known for his series of one-minute management books, videos, and training seminars than for Situational Leadership.

Hersey and Blanchard, together or independently, never produced convincing research results demonstrating the effectiveness of their leadership development approach. Neither did Blake and Mouton ever provide convincing research evidence to prove their assertion that high levels of both categories of leader behavior produce high performance outcomes. However, both did extend application of their leadership improvement approaches to higher levels of management, including CEOs, as well as to a wide range of professions, including nursing, teaching, hospital administration, and social work.

House's approach did receive scholarly research attention. Overall, research results provide moderate support for his path-goal theory that emphasized a situation-based approach to management (House, 1996; House & Dessler, 1974). House (1996) saw his approach as applying primarily to management of the small work unit. One reason is that studies of leader behavior generally involved leadership by supervisors of small work groups or by college students who were required to participate in small group experiments. These experiments usually involved discussion or problem-solving tasks.

Through much of the 20th century, leadership theories, research, and development practices focused on supervision of small groups at lower organizational levels and on lower-level and mid-level management. These concepts of leadership centered on the supervision of clerical personnel or industrial work teams or discussion leadership of small groups composed of participants who (often) had never met prior to their group participation. These concepts, studies, and activities do not really apply to leadership as we normally think of it, that is, in terms of the leadership of nations and of executive and top-level leadership of organizations. Before 1960 the total number of serious quantitative leadership research studies focused on the latter categories could be counted on one's fingers.

The research on management skills and context has shown that it is relatively easy to develop effective skill sets in these areas and that doing so does have positive performance outcomes. Task-focused and employee-centered—supportive—behaviors are not especially complex, and it is relatively easy to learn to identify the indicators of task structure and of employee capability and motivation. New supervisors and lower-level managers are most likely to benefit from such training. There is little evidence that development focused on these skills will benefit executives.

The leadership approaches described so far continued to form the basis for much management training and development through the 20th century and

beyond. However, they came to be seen as providing basic supervisory and managerial skills, rather than the basis for organizational leadership at senior and CEO levels.

RECENT TRENDS IN LEADERSHIP DEVELOPMENT THEORY AND PRACTICE (CA. 1980—CA. 2010)

In the late 1970s new leadership approaches appeared. They shared a common theme that was originally called “charismatic” leadership but later came to be referred to as “transformational” leadership. These approaches centered on leadership at senior organizational levels and addressed the ways and means by which leaders affect followers’ behavior throughout an organization and even at the national level. House (1977) developed what he labeled “a 1976 theory of charismatic leadership” and extended it to study how great U.S. presidents motivated the American public (House, Spangler, & Woycke, 1991). House and his associates demonstrated that one of the primary methods used by charismatic leaders is communication that arouses certain motives in followers.

Other new approaches were stimulated by the work of political historian James MacGregor Burns (1978). Burns emphasized the role of leaders in developing their followers as moral agents as well as developing followers’ ability to perform at higher levels of effectiveness. An explicit application of Burns’ concept was created by Bernard Bass and his associates (Bass, 1985). Bass initially rejected Burns’ view that transformational leadership was value-based. However, in later years he came to see “true” transformational leadership (as opposed to what he called “pseudo” transformational leadership) as involving the leader’s moral character and ethical values and actions (Bass & Steidlmeier, 1999). House (1995), who initially agreed with Bass’ earlier views, also came to accept this view and referring to his approach as “value based leadership.”

Bass and Steidlmeier (1999) proposed that leaders transform followers by getting them to

- Recognize the importance and value of their work; of task importance and value;
- Focus on team and organizational goals and to look beyond their own self-interest; and
- Seek to satisfy what Maslow (1943) referred to as “higher order needs,” such as belonging to the team and achieving their potential (“self-actualizing”).

The leadership assessment questionnaire developed by Bass and his associates, the Multifactor Leadership Questionnaire (Bass & Avolio, 1990), is the core of Bass's leadership development approaches. It includes the concepts of charisma and inspiration as measureable elements of leadership. The four elements of transformational leadership, according to Bass and Bass (2009), are

- Idealized influence or charisma (personal and behavioral);
- Inspirational motivation;
- Intellectual stimulation; and
- Individualized consideration.

Bass's approach is now called the "Full-Range Leadership Theory" (FRLT) because it includes "contingent reward," "management by exception," and "laissez-faire management" as potentially useful leadership approaches (Bass & Avolio, 1994). The first simply involves leaders' contracting to reward effective performance (and, possibly, to apply negative sanctions for ineffective performance). Management by exception means taking an active role only when there is an overt problem. Laissez-faire (literally "let them alone") seems to delegate management to followers. Thus, the FRLT incorporates elements of earlier leadership approaches.

With students and colleagues, Bass carried out extensive research studies, including efforts to develop organizational leaders. The results of these research studies generally supported Bass's leadership approach. Bass's assessment tool, the Multifactor Leadership Questionnaire (MLQ), would be completed by the trainee and various others (superiors, subordinates, and peers) who had interacted with and observed the actions of the focal person. Trainees would then be provided with detailed feedback reports, including comparative norms. These results would be examined in training seminars, at which time development needs would be identified and development plans made. As a leadership training and development consultant, Bass worked with top leaders in many Fortune 500 firms and delivered lectures and workshops around the world. Although Bass died in 2007, his former colleague Bruce Avolio has continued to apply and extend Bass's theory, with a focus on leadership development (Avolio, 2010).

About the same time Bass was developing his leadership approach, another leadership model was put forth by Jim Kouzes, a well-known organizational consultant, and Barry Posner, then dean of the business school at Santa Clara University (Kouzes & Posner, 1987; 2008). Their research started with students' cases of "personal best" leaders, which eventually led to the development of a five-factor questionnaire, The Leadership Practices Inventory (LPI). They identified five basic categories of leader behavior that they argued are crucial for leadership effectiveness:

- Model the way: “walking the talk,” behaving in ways consistent with one’s stated aims and beliefs;
- Inspire a shared vision: having and convincingly communicating a vision of what can be achieved;
- Challenge the process: openness to change;
- Enable others to act: encouraging teamwork and raising expectations; and
- Encourage the heart: building enthusiasm by recognizing and celebrating achievements.

The LPI is completed by a leader and various others who work with and observe that person, resulting in feedback of the same sort provided by Bass’s MLQ. While training seminars would also be somewhat similar to those presented by Bass and his associates, Kouzes and Posner developed a much more structured training plan, and their leadership development approach has received widespread acceptance. They formed an organization that has very successfully marketed their approach worldwide, such that their book, *The Leadership Challenge*, now in its fifth edition, has sold over two million copies and has been translated into twenty-two languages. The database on which LPI norms are based contains nearly two million LPI records.

Kouzes and Posner’s leadership approach began as a means for developing leaders, rather than out of leadership research in general. While there has been extensive research done as doctoral dissertations, and the LPI itself has been studied in terms of its psychometric properties, there has been little research that academic scholars would accept as validation of the approach. In part this may be due to the relative absence of any underlying theory base. That is, the argument presented by Kouzes and Posner is as follows: (1) the five behavior categories (as well as a number of additional specific behaviors in some of the categories) have been shown to characterize leaders who are seen as exceptionally effective and (2) by learning and practicing behaviors in each of the five categories, one will be an exceptionally effective leader. The first statement is supported by considerable evidence, although much of that evidence is not acceptable to scholars, as it has not been reported in refereed publications (and doctoral dissertations don’t count). The second statement does not necessarily follow from the first. Published research evidence is needed to support the second statement, and such research is lacking.

Although Kouzes and Posner’s approach has been extremely successful in terms of its widespread application, such application has more often been at lower and middle management levels than at executive and CEO levels. At the senior executive level the dominant approach to leadership development over the past quarter century has been coaching, mentoring, and guided job experience.

As with all of the leadership theories and development approaches discussed so far, Kouzes and Posner focus on the one-to-one relationship between leader and follower. This is consistent with the traditional definition of leadership as a process of influence whereby a leader exerts influence over a follower to get the follower to do as the leader wishes. However, in terms of the leadership of executives and CEOs, this may not be the most important issue. Edgar Schein (2010) first wrote of leadership and organizational culture in 1985, and his seminal text *Organizational Culture and Leadership* is now in its fourth edition. In that book Schein observes that “it may be that the only really important thing leaders do is construct organizational culture.” One can see support for this statement by noting the emphasis all of the more recent leadership theory and development approaches place on values. That is, shared values are at the core of organizational culture. Values guide action without the necessity of explicit leadership direction and maintain stable patterns of action and interaction among organization members. Looking again at the concepts of leadership defined by House, Bass, and Kouzes and Posner, one can observe that the leadership actions their approaches call for have more to do with creating organizational culture than with providing directions to followers.

CURRENT LEADERSHIP DEVELOPMENT THEORY AND PRACTICE: LEARNING FROM EXPERIENCE

It is hardly news that individuals’ active involvement is requisite for development in a wide range of areas, going back not just to John Dewey and his advocacy of “hands-on learning,” but much further to Confucius, who is quoted as saying, “I hear and I forget. I see and I remember. I do and I understand.” Research does, indeed, confirm that active involvement facilitates “transfer of training,” that is, makes it more likely that learners will actually apply what they have learned to another situation—ideally, the work setting. Leadership development research studies suggest that making application to the work situation part of the development activity significantly increases transfer. Equally important are the elements of time and the practice-feedback-repractice cycle. Research (Day, 2010) has shown those development activities that are more likely to produce substantial and lasting results:

- Are carried out over relatively long time spans (months and years, not days),
- Involve the application in one’s work setting of what was learned, and
- Are designed so that participants receive feedback on the effectiveness and outcomes of their applications to guide the design and conduct of subsequent application efforts.

Although these elements have been shown to characterize effective leadership development, they are, of course, generic elements of training and development design and process that apply far beyond the domain of leadership development. Can any more specific details of leadership development be identified? Research at the Center for Creative Leadership (McCall, Lombardo, & Morrison, 1988; Wilson, Van Velsor, Chandrasekar, & Criswell, 2011) supports the importance of on-the-job experience for effective leadership development and, moreover, has identified certain job characteristics that are associated with the development of more effective leadership. These are

- Experiencing a job transition that requires one to handle unfamiliar tasks,
- Creating change and driving workplace transformation,
- Managing at high levels of responsibility and seeking additional responsibilities,
- Managing boundaries and dealing with external pressures, and
- Dealing with and managing group diversity.

One experimental research study carried out over a three-year period found that creating change, high responsibility, and managing boundaries were particularly potent for leadership development (Thompson, 2003).

The Center for Creative Leadership is one of the pre-eminent providers of leadership development worldwide. Wilson, Van Velsor, Chandrasekar, and Criswell (2011) note that over a thirty-year period CCL has found that leadership development is most effective when it consists of 70 percent challenging job assignments, characterized by the above elements, 20 percent developmental relationships, that is, mentoring and coaching, and 10 percent formal training.

FUTURE TRENDS

New Concepts of Leadership and HRD

In the late 20th century the “modernist” or “normal science” approach transitioned into a postmodern approach to leadership. That is, the modernist notion of leaders engaging in certain actions (causes) that produce certain outcomes (effects) has changed in that an element of uncertainty enters—and may interfere with—the cause-effect relationship. No longer is there a clear “equation” that, in effect, says to a leader, “If you do X, the result will be Y.” This uncertainty results partly from the fact that an organization is a “complex adaptive system” in which individual actors or “agents” behave in ways that are, to a degree, unpredictable. Moreover, an agent—and every member

of an organization is an agent—may engage in actions that are clearly leadership, whether or not that agent is in a position of “formal” leadership.

One important aspect of postmodern leadership and HRD is consistent with the classical systems concept of “equifinality.” That is, there are many ways to achieve a specific goal or end state, perhaps less elegantly put in the old saying “There’s more than one way to skin a cat.” With respect to leadership development, this is seen in the many options and approaches for developing leaders, with none clearly shown to be the “best” approach for successful leadership development.

Shared Leadership

This view of leadership means that leadership actions are much more widely distributed among the members of an organization than would be thought if one assumes that the traditional hierarchical organizational chart is a true reflection of leadership action. Craig Pearce (Pearce & Conger, 2003) has been a leader in the conceptual and research development of this concept of leadership, which centers on “horizontal” leadership relationships, that is, individuals who are not in traditional “vertical”—that is, hierarchical—relationships engaging in leadership actions involving one another.

Mary Uhl-Bien (2006) takes the notion of shared leadership even further. She defines “relational leadership” as “a collective social process emerging through the interactions of multiple actors.” This view makes clear the uncertain nature of leadership as an emergent process occurring as individual agents interact in both traditional hierarchical and non-traditional relational or shared activities.

Note, too, that instead of being centered on a two-person, leader/follower process, these new concepts of leadership are clearly organizational in nature. But how leadership development might occur given the assumptions of shared and relational leadership is not obvious.

Leadership and Character

Finally, it seems that—at least to a degree—the latest concepts of leadership are coming full circle in that once again personality and character are becoming the focus of leadership and leadership development. Although in the past it was believed that certain personality elements were typical of effective leaders, it now appears that personality factors are more related to leadership failure than to leadership success. Since the 1970s the Center for Creative Leadership has conducted research in the United States and Europe on “derailing factors” that can end the careers of executives. These reports show that, among various failings that are associated with career failure of executives, some of the most common are

- Inability to get along with others,
- Excessive narcissism,
- Inability to take action when necessary,
- Inability to “rebound” from a failure, and
- Failure to keep commitments and promises.

Four of these failures parallel four of the five commonly recognized primary personality elements: agreeableness (inability to get along), emotional stability (narcissism), openness to experience (inability to learn from the experience of failure), and conscientiousness (failure to keep commitments). The fifth, inability to act, is the negative of another common personality trait, self-confidence (which psychologists generally call “self-efficacy” or “internal control”). Some of these aspects of personality—or character—are difficult to change, but various research studies have shown that change is possible. However, it is probably more reasonable to identify individuals with these characteristics and avoid placing them in leadership positions.

On the positive side, some personal characteristics have been found to be strongly associated with effective top-level leadership (Sashkin & Sashkin, 2003). Three such characteristics are

- The need for power that is strong and directed toward the benefit of others as well as one’s self,
- The need for a strong sense of self-confidence in order to be able to take action when needed, and
- The need for a high level of cognitive capability in order to tease out and effectively manipulate cause-effect relationships and make effective long-range plans.

The first of these is the most important and the most difficult to change when lacking or misdirected, but McClelland, Davis, Kalin, and Wanner (1972) have shown that it is possible. Research has demonstrated that the other two personal characteristics can be developed through guided experience and practice. Streufert and Swezey (1986) present some evidence suggesting that cognitive capability can be heightened, while Bandura (1997) has demonstrated that confidence can be learned.

One other study that explored leader character suggests that exceptional top-level leaders, who turn organizations into great organizations, have two specific personal traits (Collins, 2001). The first is an extreme degree of determination to accomplish the goals they set for themselves and their organizations. The second is an extreme degree of personal humility, extending to the degree said to characterize the “servant leader” (Greenleaf, 1976).

These personality elements are not a real surprise. While the 1948 report by Ralph Stogdill that decimated the personality approach to leadership did state that no single specific personality attribute characterized effective leaders, Stogdill also pointed out that a cluster of certain personality elements appeared to describe such leaders. And that cluster contained most of the factors just discussed.

In terms of HRD practice, anecdotal evidence suggests that character development has truly turned back to what Plutarch championed two thousand years ago, that is, the importance of moral virtue—character—for leaders' success. Burns (1978), in his early and influential description of transformational leadership, placed strong emphasis on the effective leader's moral development. One widely used resource in leadership development today is Harvard professor Bill George's (2004) *Authentic Leadership*. In that book George argues that using one's "moral compass" to define "true north" is key to becoming an "authentic leader." In *True North* and follow-on publications, George, Sims, and Gergen (2007), George, McLean, and Craig (2008), and George, Baker, and Leider (2011) provide materials designed specifically for leadership development based on moral character.

CONCLUSION

Supervisors and lower-level managers benefit from training activities that develop basic managerial skills of the types described here, skills that were (and to some extent still are) labeled (or mislabeled) "leadership." Such training is most effective when it includes an emphasis on using the skills appropriate to a specific situation. While there are some standard training programs, the most popular of which is probably that provided by the Ken Blanchard Companies, these skills have become so widely recognized that there are innumerable training designs that effectively accomplish such skill development. However, application to and practice in the actual work setting is an important condition for training effectiveness and successful transfer of training.

The leadership development approaches reviewed here all involve use of an assessment tool to collect data from others as well as the trainee, data which are provided to trainees as feedback for review, discussion, and action. Successful development depends on application in the actual work setting and is facilitated by coaching and mentoring. Training seminars alone are unlikely to produce substantial or lasting development. This is particularly true with regard to executive leadership development. That lesson seems to guide current senior-level leadership development practice, which now typically involves developmental job assignments linked to coaching and mentoring support.

A new appreciation for the relevance of personal characteristics for effective leadership is constrained by the limited degree to which organizations are able to provide the sorts of personal development experiences required for meaningful improvement. Overall, however, it is encouraging to see fewer standard “off-the-shelf” development programs and an increasing emphasis on developmental job experiences and support.

Finally, quantum physicist and Nobel laureate Niels Bohr is quoted by Ellis (1970) as saying, “Prediction is very difficult, especially about the future” (p. 431.). How the new concepts of leadership and organization briefly reviewed here will affect leadership development remains to be seen.

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CHAPTER FIVE



Organizational Culture and HRD

The Roots, the Landscape, and the Future

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Anthropologists have not reached a consensus on the definition of the concept of culture. Perplexity and even anguish over culture have been with us a long time” (Fox & King, 2002, p. 1). Similarly, there is no agreement on the concept of organizational culture. In very simple terms, organizational culture has been often described as “how we do things around here” (Fullan, 2001). The concept of organizational culture started first in the U.S. management literature in the 1960s and was later adopted by researchers in other countries and other disciplines, including human resource development (HRD). The purpose of this chapter is to provide an overview of the concept of organizational culture and position the concept within HRD. The organization of the chapter will follow the title: from the past research in related disciplines to the state of organizational culture research and practice at the moment to the directions for future research within HRD.

THE ROOTS

The concept of organizational culture has been researched by many disciplines, including anthropology, management, organization studies, and education. Therefore, it is hard to pinpoint the exact date of birth of this concept; however, most would agree on a few most seminal points in the development of this concept. One of these first seminal points is the so-called Hawthorne Study and a contribution by an American anthropologist Lloyd Warner in understanding of an organization (Jordan, 2003). In the late 1920s and early 1930 a series of experiments examining worker behavior were conducted in the Hawthorne Works factory, which was a part of Western Electric near Chicago. Warner was first to bring anthropological research methods into these experiments. One of the most important conclusions of

these experiments was that worker productivity increased mostly because they thought management gave them special attention, and not because of a change in other stimuli. These experiments pointed to the importance of human relations in an organization and led to the establishment of the field of industrial anthropology, which is now known as business anthropology. In the 1940s and 1950s industrial anthropology continued to grow; the Society for Applied Anthropology was formed and started publishing the *Journal of Applied Anthropology* (Jordan, 2003). The research of industrial anthropology was focused on customs and traditions of work in organizations.

In the 1960s research focus shifted from customs and traditions of work to primarily on the role of management and how managers balance concerns for people, production, and hierarchy. For instance, anthropologists Chapple and Sayles (1961) examined “how management can better utilize the human resources of the organization” (p. 1) and suggested good managers excelled at their jobs by utilizing knowledge and skills instead of simply relying on their intuitive understanding of their organizations. Similarly, Dalton (1966) described the purpose of his work as an industrial ethnographer as “to get as close as possible to the world of managers and to interpret this world and its problems from the inside, as they are seen and felt at various points” (p. 1).

In 1964, Blake and Mouton became first to introduce the concept of culture into research on organizations. They suggested a new meaning of the manager’s task as “developing and maintaining a *culture* that promotes work” (p. ix). Culture was defined as customs, standards, and procedures that comprise the basis of the organization. They were first to view culture as a core element of an organization, along with purpose, people, and hierarchy. Managing culture, instead of managing employees, took the manager’s responsibilities to a different and more complex level—organizational. As an element of an organization, culture could be examined and changed through interventions and other educational methods that help understand, explain, and keep organizational traditions and practices. Therefore, Blake and Mouton provided the foundation for subsequent research by defining and linking culture to organization-wide processes, behavior change, and education.

Pettigrew’s (1979) work is considered the first publication on organizational culture in the U.S. academic literature. Pettigrew examined the birth and evolution of organizational culture of a boarding school using social dramas as his research design. The purpose of his study was to explore “how purpose, commitment, and order are generated in an organization both through the feelings and actions of its founder and through the amalgam of beliefs, ideology, language, ritual, and myth we collapse into the label of organizational culture” (p. 572). For Pettigrew, organizational culture included symbols, language, ideology, beliefs, rituals, and myths. He suggested that

organizational culture had impact on organizational functioning (e.g., leadership, control, norms, and purpose) and provided a system of meanings that gave people a sense of reality and direction for actions.

In 1980s, the phenomenal success of Japanese businesses and the decrease in U.S. production moved researchers to re-examine their knowledge of organizational management and spurred a new interest in organizational culture. This re-examination resulted in three bestsellers. In the first, Ouchi (1981) studied Japanese approach to business and its applicability to the U.S. business. Ouchi defined organizational culture as a “set of symbols, ceremonies, and myths that communicate underlying values and beliefs of that organization to its employees” (p. 41). Organizations develop their unique sets of these symbols and practices, or cultures, over time, similar to the way people develop their personalities. The development starts with top managers who identify and exhibit the desirable organizational values and patterns of behavior, inspire their employees to follow their example, and, eventually, create a tradition that is passed to new employees. Successful companies build organizational culture that considers employees as the dominant value of the organization. Such culture of “humanized working conditions” (Ouchi, 1981, p. 196) increases employee self-esteem, provides a supportive work environment, and helps increase the overall success of the organization.

In the second bestseller, Peters and Waterman (1982) researched sixty-two U.S. businesses to identify characteristics of the best companies. They discussed these companies as cultures and examined their organizational stories to identify those characteristics. They discovered that “in Japan, organization and people . . . are synonymous” (p. 39) and suggested that organizations should treat people, instead of tools or investments, as the key resource. Companies that focus solely on profits and ignore their employees could have strong organizational cultures but “dysfunctional ones” (p. 76).

In the third bestseller, Deal and Kennedy (1982) popularized the term “corporate culture.” Because culture affects all aspects of an organization, successful corporations carefully “build and nourish” their cultures (Deal & Kennedy, 1982, p. 5) that includes their business environment, values, heroes, rites and rituals, and cultural network. A strong corporate culture represents a potent force for guiding employee behavior by providing clear rules and creating a sense of belonging and pride that stimulate hard work.

By the mid-1980s organizational culture became a popular discussion topic in both professional business literature and academic literature in several fields that looked at the intersection of culture and organizations. Smircich (1983) suggested that research on organizational culture become one of five research strands around culture and organizations, along with cross-cultural/comparative management, organizational cognition, organizational symbolism, and unconscious processes and organization. Each of these strands

was based on different anthropological conceptualizations of culture. However, research on organizational culture was primarily based on functionalist conception of Malinowski (1944) and functionalist-structuralist conception of Radcliffe-Brown (1952). The functionalist conception of Malinowski suggested culture, and its manifestations, served as a tool to help people satisfy their needs, cope with difficulties, and achieve a better position in a society. The functionalist-structuralist conception of Radcliffe-Brown suggested culture as a mechanism that enables people to adapt to their environment and maintain social order, stability, and unity. Therefore, much research on organization culture based on these anthropological traditions assumed that organizational culture was a unifying force within an organization.

One of the most influential researchers of organizational culture in the 1980s was Edgar Schein (e.g., 1984, 1988, 1999, 2004). Schein (1984) defined organizational culture as “the *pattern of basic assumptions* that a given group has *invented, discovered, or developed in learning to cope with its problems of external adaptation and internal integration*, and that *have worked well enough to be considered valid*, and, therefore, to be *taught to new members* as the correct way to *perceive, think, and feel* in relation to those problems” (p. 3).

Schein believed the complexity and dynamics of organizational culture could be understood only when analyzed at three levels: artifacts, values, and assumptions. Artifacts refer to what people feel and observe when experiencing the culture of an organization. Values refer to goals, principles, or norms of an organization. Underlying assumptions refer to the unconscious, unexamined beliefs that represent the source for values and actions within the organization. Schein also believed that organizational culture should be studied using a variety of research methods where researchers, who are outsiders, work with organizational insiders. The main goal of such research on organizational culture should be to increase organizational effectiveness.

Schein’s conceptualization of organizational culture has been critiqued and extended by other researchers. For example, Hatch (1993) built on Schein’s work to describe organizational culture as dynamic and suggested several processes (i.e., realization, symbolization, interpretation, and manifestation) that characterize relationships among the four levels of culture: artifacts, values, and assumptions, the original three levels suggested by Schein (1984) as well as symbols that Hatch added.

Although Schein (1984) borrowed from the anthropological conception of culture, he also added a new element—the role of a leader in the creation of organizational culture. Schein proposed that organizations, like political movements or businesses, do not evolve but are started by a person, who is usually a founder. The founder proposes an idea to and receives support for the idea from a small group of people, who then start building the organization while inviting other members to join. The founder and key leaders

use many mechanisms to create and transmit organizational culture. These mechanisms include formal statements of organizational philosophy, building and workspace design, system of promotion and rewards, organizational structure, systems, and processes, and the founder's messages communicated directly or indirectly, to name a few. Schein's idea that leaders create cultures was supported by many researchers in management and organization studies but was also criticized by those in anthropology, where culture is believed to evolve over time through multiple and various interactions among its members (Meek, 1988).

Although research on organizational culture done from functionalist and functionalist-structuralist anthropological traditions in the 1980s was popular, it also received criticism. Some criticized this research for its focus on the role of management in building organizational culture and the use of organizational culture as a tool to increase employee and organizational effectiveness. For example, Smircich (1985) called studies of organizational culture and organizational effectiveness "a social engineering" (p. 59). She observed that these studies limit and trivialize understanding of organizational culture. Other researchers (e.g., Batteau, 2001; Tunissen, 1996; Ybema, 1996) started questioning whether organizational culture should be treated as one unifying force within an organization. And in the 1990s, researchers began to focus on sub-cultures or co-cultures within organizations (Schultz & Hatch, 2005). For example, Gregory (1983) suggested to view organizations and their cultures as diverse and fluid: "Societies, and many organizations, can more correctly be viewed in terms of multiple, cross-cutting cultural contexts changing through time, rather than stable, bounded, and homogenous cultures" (p. 365). Subcultures within organizations are continually negotiating their roles, power, and relations and deal with differences, instabilities, and conflicts (Koot, Sabelis, & Ybema, 1996). Consequently employees belong to more than one subculture and cannot be unified under one organizational culture.

THE LANDSCAPE

Different Disciplines, Different Perspectives

The wealth of research around the concept of organizational culture has been analyzed and described by researchers in the disciplines interested in the concept. Fields such as organization studies, organizational behavior, or management borrow their view of organizations mostly from psychology, where social phenomenon within an organization can be examined at three levels: individual, group, and organization (Jordan, 2003). At the individual level, research is primarily concerned with employee motivation on the job; at the group level, research is concerned with productive relations among people in groups; and

at the organization level, research is concerned with managing all elements of an organization to help increase organizational effectiveness. Therefore, from this perspective, culture is one of several elements or “a variable” (Smircich, 1983, p. 439) that an organization has. As a variable, organizational culture can be changed, built, and influenced and influence other elements or variables within an organization (e.g., structure and processes). The field of business anthropology shares its roots with cultural anthropology and borrows its conceptualization of organizational culture from cultural anthropology. For business anthropologists, organizational culture is not an element of an organization; organization itself is a culture and all other elements, such as processes and structure, are elements of culture (Jordan 2003; Smircich, 1983). Organizational culture is not uniformed or monolith but consisting of subcultures, nested cultures, and cross-cutting cultures (Jordan 2003).

Some researchers in these diverse fields have provided different frameworks to look at the collective research around the concept. For example, in organization studies, Hatch (2006) suggested research on organizational culture parallels that of an organization itself. As such it could be divided into four periods: classical, modern, symbolic-interpretative, and post-modern. During the classical period (1900 to 1950), organizations were viewed as machines that were designed and operated by managers. In the modern period (1960 to 1970), an organization became viewed as a living organism that functions to adapt to and survive in the environment. Organizational culture is an integral part of this living organism and a tool for survival. When the symbolic-interpretative perspective was dominating in the 1980s, organization researchers looked for symbols and symbolic behaviors in organizations and view organizational culture as patterns of meanings created through shared values, norms, and traditions. In the post-modern period (1990s to the present), the organization, and organizational culture, is a kaleidoscope of changing diverse elements that help construct different meanings and suggest different perspectives.

In *Organizational Behavior*, Martin (1985, 2002) suggested that we examine how conceptualizations of culture across the disciplines differ in regard to the approach to consensus, the relationships among cultural manifestations, and treatment of ambiguity in organizations. She suggested that conceptualizations of culture could be placed in one of three perspectives: integration, differentiation, or fragmentation. From the integration perspective, organizational culture is characterized by organization-wide consensus and helps reduce organizational ambiguity and increase consistency among interpretations of cultural manifestations. From the differentiation perspective, organizations are comprised of multiple different subcultures, consensus exists only within the subcultures; relationships between subcultures are inconsistent. From the fragmentation perspective, organizational culture is ambiguous;

individual employees can share common beliefs and behaviors, but as a collective they lack consensus.

In the critical management studies, Alvesson (2002) proposed researchers study organizational culture for one of three reasons: technical, practical-hermeneutic, or emancipatory. Researchers with the technical interest examine the cause-and-effect relationships between organizational culture and organizational performance. For example, these researchers seek to find how change in organizational structure can increase organizational effectiveness. The practical-hermeneutic guides researchers to examine symbols, language, and ideas of an organization to understand its culture. Researchers with emancipatory interest study organization culture to understand power relations, oppression, and bias within organizations.

HRD and Organizational Culture

Human resource development (HRD) is “any process or activity that, either initially or over the long term, has the potential to develop adults’ work-based knowledge, expertise, productivity, and satisfaction, whether for personal or group/team gain, or for the benefit of an organization, community, nation, or, ultimately, all of humanity” (McLean & McLean, 2001). As a field of study, HRD started exploration of the concept of organizational culture in some of its first publications. For example, Shapiro and Schall (1990) published an article on organizations as cultures in the first volume of *Human Resource Development Quarterly*. The proceedings of the first conference of the Academy of Human Resource Development included three papers around organizational culture. Bierema (1994) examined how executive women learned, advanced their careers, and coped with barriers of the male-dominated organizational culture. Hansen and Kahnweiler (1994) researched norms and beliefs of two subcultures within an organization: top management and HRD practitioners. Pierson and Brooks (1994) studied changes in organizational culture during an organizational change initiative implemented in a multinational corporation. Most HRD researchers conceptualize organizational culture as consisting of shared values, beliefs, and practices and use Schein’s (1984) or a similar definition of organizational culture (Plakhotik & Rocco, 2011). Many HRD researchers search for links between organizational culture and organizational practices, employee characteristics, and external factors. For example, in recent studies HRD scholars explored connections between organizational culture and HRD practices, workplace incivility, and turnover (Simmons, 2009), subculture, leadership style, and motivation to transfer learning (Egan, 2008), job satisfaction (Zavyalova, & Kuchеров, 2010), and mentoring and career advancement (Apospori, Nikandrou, & Panayotopoulou, 2006).

Many HRD researchers also capitalize on Marsick and Watkins' (2003) concept of the learning organization and the Dimensions of the Learning Organization Questionnaire to examine how organizational culture could foster learning at individual, group, and organizational levels. This research addresses connections between organizational learning culture and other organizational structures and concepts, for example, leadership, and organizational commitment (Joo, 2010), job satisfaction, motivation to transfer learning to the workplace setting, and turnover intentions (Egan, Yang, & Bartlett, 2004), interpersonal trust and organizational commitment (Song, Kim, & Kolb, 2009), and employee participation in decision making (Thompson & Kahnweiler, 2002).

As a field of practice, HRD is shaped by a culture of an organization and is charged with shaping a culture of the organization. As a function within an organization, HRD is embedded in the culture of the organization. Therefore, organizational culture determines the role of HRD within that organization (Desimone, Werner, & Harris, 2002). When HRD practitioners have limited power and status within an organization, the power of their initiatives is limited, too (Bunch, 2007). Others within the organization could perceive HRD initiatives having a lesser value for organizational performance and resist HRD initiatives, which could lead to their failure. Organizational culture also shapes the size and the goals of HRD function, frequency and types of its interventions, the means of their delivery, and the degree of the involvement of upper management. For example, when an organization focuses on learning, HRD professionals are charged with creating and implementing learning interventions and activities at the individual, team, and organizational levels. When organizational culture capitalizes on innovation, HRD is responsible for building an environment that enhances all employees' potential, skills, talents, creativity, and intellectual capital (Gilley, Boughton, & Maycunich, 1999).

As a function within an organization, HRD is also responsible for building and enhancing organizational culture by designing and implementing organization development interventions that could lead to the improvement in employee and organizational performance (Gilley, Egglund, & Gilley, 2002). Such organization development interventions include the alignment of the organizational culture and other components of the organization, for example structure, processes, and practices. In such alignment, organizational culture serves as a mechanism to communicate the organization's mission, vision, and values, which bond employees at different levels and in different functions of the organization. Acceptance of organizational values facilitates employee acceptance of organizational strategies as well as goals and tasks set for individual employees and their teams (Semler, 1997).

HRD professionals also create interventions that support organizational culture change, which is a process that requires a shift in employees' attitudes

and behaviors and requires a considerable amount of time (Schein, 1999, 2004). HRD professionals facilitate this shift by designing and implementing interventions that help clarify and integrate new organizational values, goals, and expectations. Culture change often includes understanding employee perceptions of the need for organizational change (Hansen & Headley, 1997) and their emotions in response to culture change implementation programs (Turnbull, 2001). When implementing organization-wide interventions, HRD professionals often include implementation of cultural audit (McLean, 2009), which helps the organization understand “what it believes, then collectively understand what it holds worthy and of benefit to all members” (Williams, 2002, p. 226). Cultural audit also helps HRD practitioners identify what elements of organizational culture that hinder organizational effectiveness (Burgess, 1996). Cultural audit could include traditional anthropological methods of research such as observations of processes and practices that could range from, for example, how and where employees park to how they dress to they are rewarded and promoted (McLean, 2009). Observations could be combined with other data collection methods, including interviews, focus groups, and document analysis.

THE FUTURE

“Culture is an abstraction, yet the forces that are created in social and organizational situations that derive from culture are powerful. If we don’t understand the operation of these forces, we become victim to them” (Schein, 2004, p. 3). Organizational culture represents a steady but small line of HRD scholarship. More research is needed to help HRD understand the forces that derive from organizational culture in the future. This could be done by employing different research methods, using different perspectives on organizational culture, and collaborating with colleagues from other disciplines (Plakhotnik & Rocco, 2011). Also, research around organizational culture could help HRD address several emerging issues pertinent to the future of HRD. One such emerging issue is talent management in companies that operate globally (Kim & McLean, 2012). Global talent could be better fostered if organizational culture supports a balance of global strategy and local context. For example, such culture promotes both the ideas that come from the headquarters and the innovation that comes from locally hired and employed workers. HRD professionals should implement initiatives that establish a culture that welcomes ideas so that, whether the innovation comes from the top or bottom, it is not looked down upon by either top managers or local hires and does not serve as a tool to divide the organization.

Another emerging issue in HRD that requires attention to organizational culture is the need to attract and retain employees of several generations: the baby boomers, generation X, and the Millennials (Eversole, Venneberg, & Crowder, 2012). In particular, HRD practitioners should create organizational cultures that are flexible for the needs of these three generations. For example, these three generations of workers differ in terms of their physical abilities, levels of education, years of work experience, and beliefs about work and work-family balance, among others.

Attraction and retention of employees could be improved in the future through attending to the work-life balance issues within organizations. HRD could foster work-life balance through creating a change in organizational culture. Shapiro, Ingols, O'Neill, and Blake-Beard (2009) suggested that HRD should aim "to move from a culture that forces individuals to negotiate one-on-one for flexibility to a culture of flexibility available to all" (p. 496). Such culture shift could include a change in organizational norms, for example, desirability of face-to-face meetings and rigid work hours. Such change in culture would require HRD practitioners create multi-level organizational interventions, which would include a change in top managers' view of employee and organizational productivity.

Also, organizational culture will play an increasingly important role in the development of virtual HRD, a rather new concept in the field, which is defined as "a media-rich and culturally relevant web environment that strategically improves expertise, performance, innovation, and community building through formal and informal learning" (Bennett, 2009, p. 365). The content and structure of and control over this web environment are directly related to the values and beliefs of the organization. Therefore, organizational culture is becoming a vital link between VHRD and knowledge management. Similarly, this web environment could be used by VHRD to communicate new and foster existing values, beliefs, and practices to the employees across the organization.

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PART II



ISSUES AND PERSPECTIVES ON HRD



CHAPTER SIX



Dilemmas in Defining HRD

Monica M. Lee

As HRD has developed as a field of academic study, so have the definitions applied to it. In 2001, the author argued that, because of the nature of HRD, it was inappropriate and impossible to define it. This chapter reviews debates around defining HRD. It examines theories and practices implicit in these definitions, as well as the underlying theory and practices that are adopted when one refuses to define HRD. Sections include (a) the drive to define, (b) reasons to not define HRD, (c) implications for working without an HRD definition, and (d) developing non-defining parameters.

DILEMMAS IN DEFINING HRD

“I know that you believe you understand what you think I said, but I’m not sure you realize that what you heard is not what I meant.”

Robert McCloskey, 1948

One of the first things we are told when entering the world of scholarship is to “define your terms”—indeed, part of the trick is setting out your stall in such a way that you only need to address what you declare is pertinent. Many a thesis has been defended by the words “I did not cover that as it was outside my remit.” Much of academic learning involves the establishment and refining of definitions. As HRD has developed as a field of academic study, so have the definitions applied to it. In some way or another, all contributors to this book will have set out their stall—established what they will write about in their chapters. They might not explicitly define HRD, but they will be working within a personal and tacit understanding of its philosophical roots and its political, social, theoretical, and practical position. At the turn of the

century (Lee, 2001), I argued that, because of the nature of HRD, it was both inappropriate and impossible to define it. There has been strong debate since that time about the nature of HRD, whether it can or should be defined and, if so, what form that definition might take.

THE DRIVE TO DEFINE

I start this chapter with the McClosky quote to emphasize the interpretative and transient nature of speech—words are just shorthand representations of what we might mean, but to explore them we use yet more words, and you and I might use the same word with different meanings (Lee, 1998). For example, Campbell and Muncer (1994) show that both occupational role and gender are indicative of whether a person views “aggression” as a functional act aimed at imposing control over other people or in expressive terms as a breakdown of self-control over anger. Thus, the meaning of even such a common word as “aggression” varies from person to person. Yet, despite this malleability, we impose conceptual boundaries and seek to “define.” Definition is needed to help HRD “emerge from its amorphous form towards a better-defined and definable field of research and practice” (Kuchinke, 2001, p. 293; McGoldrick, Stewart, & Watson, 2002). One of the early questions, however, is: How do we define “definition”?

It seems to me that the meaning with which we imbue the word “definition” has changed since the early 2000s. At that time the field of HRD was firmly rooted in a positivist paradigm (Swanson, 1999)—one so predominant that most people did not feel the need to acknowledge it in their work. It was the “right” way to do good research (see Lee, 2012, for discussions of this). In arguing against defining HRD, I was rejecting the overarching positivistic mentality. Since then, alternative ways of making sense of the world have become more common, as have alternative ways of understanding “definition.” I will look at these toward the end of the chapter, but first let me take you back to the turn of the century.

The field of HRD developed separately in the U.S. and UK (from educational and managerial roots, respectively). It was during this time that they intersected and started to question what the nature and practice of HRD really encompassed (Lee, 2004; Stewart, 2005). HRD in the U.S., in particular, came from strong performative roots and sought to establish a clear, tight, and limited definition of what HRD was. For example:

Definition: HRD is a process of developing and/or unleashing human expertise through organization development and personnel training and development for the purpose of improving performance at the organizational, process and

individual/group levels. Process: The process of HRD is made up of five core phases including: analyse, propose, create, implement and assess. (Swanson, 1999, pp. 2–3)

Other U.S. theorists and researchers, such as Gary and Laird McLean, were keen to establish HRD globally and put forward a wider definition in rejection of the performative perspective:

. . . any process or activity that, either initially or over the long term, has the potential to develop adults' work-based knowledge, expertise, productivity and satisfaction, whether for personal or group or team gain, or for the benefit of an organization, community, nation or ultimately, the whole of humanity. (McLean & McLean, 2001, p. 322)

However, it was unclear whether writers were being aspirational or descriptive—for example, what of child labor? Children are used and trained in some places, but are not covered in the definition—or, indeed, in most people's conception of HRD. Is the definition lacking? Should it describe what HRD “is” or should we only include what we think is morally acceptable?

REASONS TO NOT DEFINE HRD

The Philosophical Case for Refusing to Define HRD

As Boyacigiller and Adler (1991) point out, the bulk of early management research was done on (and in) white U.S. bureaucratic organizations and our current understandings of management theory and practice are derived from this culturally specific and non-representational sample. Despite this, early research was assumed to apply to all management, and it was assumed that management was a singular global concept without national or situation-specific boundaries, that there were right and wrong ways of managing, and that it was possible to derive a single global set of tenets for best practice (Lee, 1995). More generally, this was associated with “scientism”—a belief in the supremacy of reductive rationalistic scientific thinking. This can be seen as the worldview of Parmenides, who was a native of Ephesus in ancient Greece, which is based on the permanent and unchangeable nature of reality (Chia, 1997).

In the Parmenidian view of reality, science constitutes by far the most valuable part of human learning and accomplishment. This is associated with an atomistic conception of reality in which clear-cut, definite things are deemed to occupy clear-cut definite places in space and time. Thus, causality becomes the conceptual tool used for linking these isolates, and the state of rest is considered normal, while movement is considered as a straightforward transition from one stable state to another. This is known as a *being* ontology and is the

metaphysical basis for a system of classificatory taxonomies, hierarchies, and categories that provide a *representationalist* epistemology (an institutionalized vocabulary for representing our experiences of reality).

In contrast, Heraclitus emphasized the primacy of a changeable and emergent world. The Heraclitean viewpoint offers a becoming ontology in which “how an entity *becomes* constitutes *what* the actual entity *is*; so the two descriptions of an actual entity are not independent. Its being is constituted by its becoming. This is the principle of process” (Whitehead, 1929, p. 28). Cooper (1976) suggests that, within such a *process* epistemology, the individuals involved feel themselves to be significant nodes in a dynamic network and are neither merely passive receivers nor dominant agents imposing their preconceived scheme of things on that which they apprehend. From this point of view, there are both one and many realities, in which “I” myself come into being both through interacting with and being constituted within them and the knowing of these realities is never final nor finished. Integral to “living” within a process epistemology is the personal quality of what might be called “hanging loose,” or “negative capability,” as described by John Keats:

And at once it struck me, what quality went to form a man of Achievement . . . meaning Negative Capability, that is when a man is capable of being in uncertainties, mysteries, doubts, without any irritable reaching after facts and reason. (Keats, letters of 21 December 1817)

This quality is one of resisting conceptual closure, and thereby creating the necessary “space” for the formulation of personal insights, and the development of foresight and intuition, is a quality that is vital for counseling and other helping professions, and one that *should* be within the remit of HRD professionals.

The Theoretical Case for Refusing to Define HRD

Most would agree that, to be meaningful, the definition of something needs to encapsulate the properties or qualities of that which is being defined, such that it can be recognized uniquely from the definition and thereby distinguished from those that are not being defined. This sort of description of what a definition might be is, in itself, one of *being* rather than *becoming*. We could, however, say that a definition of something need not be fixed or permanent, but instead, it could take the form of a working definition. If enough people use a word in a particular way and each knows what the other means by it, more or less, then there is tacit agreement about the meaning of that word and its qualities, such that it could be deemed to be *becoming* defined. We might, therefore, get a rough feeling for a word by looking at the way in which it is used. In Lee (1997a) I report an attempt I made to develop a

working definition of the word “development.” I examined promotional literature aimed at HRD professionals and found four different ways in which the word development was used: development as maturation, as shaping, as a voyage, and as emergent.

Development as maturation refers to the predetermined stage-like and inevitable progression of people and organizations. Development is seen as an inevitable unfolding, and thus the developmental force is the process itself, which, in turn, defines the end-point. The system, be it an individual, a group, or an organization, is seen as being a coherent entity with clearly defined boundaries existing within a predictable external environment. The organization is discussed as if it were a single living element whose structures, existence, and change are capable of being completely understood through sufficient expert analysis. Concepts such as empowerment and change-agency are irrelevant in an approach that is essentially founded upon social determinism, with no place for unpredictable events or freedom of individual choice.

Development as shaping sees people as tools who can be shaped to fit the organization. Known end-points are defined by someone or something external to the process of development. The organization is stratified and senior management define the end-point for junior management—the wishes of the corporate hierarchy create the developmental force. This approach assumes that there is something lacking, some weakness or gap, that can be added to or filled by the use of the appropriate tools or blueprint, and that such intervention is necessary. Individuals, including their aspirations and their values as well as their skills, are malleable units that can be molded to suit the wider system. Empowerment and individual agency can be part of the developmental agenda, but not in their own right. They are acceptable developmental end-points only if ratified by senior management: empowerment becomes a tool to enhance performance and decision making.

Development as voyage is as a lifelong journey upon uncharted internal paths in which individuals construe their own frames of reference and place their views of self within this, such that each constructs his or her own version of reality in which identity is part of that construct. This is an active process in which the individual is continually reanalyzing his or her role in the emergence of the processes of which he or she is a part. In so doing, people are also confronting their own ideas, unsurfaced assumptions, biases, and fears while maintaining a core of ethicality and strong self-concept (Adler, 1974). This involves a transformative shift in approach that enables critical observation and evaluation of the experience, such that the learner is able to distance himself from it rather than replay it. Experiencing becomes a way of restoring meaning to life (Vasilyuk, 1984). The external world (including organization and management) might mirror or catalyze development, but it

is the individual who is the sole owner and clear driving force behind the process. Empowerment would be within the individual’s own terms and might have little regard for organizational objectives.

Development as emergent arises out of the messy ways by which societal aspiration becomes transformed into societal reality. “The individuals’ unique perceptions of themselves within a social reality which is continuously socially (re)constructed” (Checkland, 1994, p. 77), in which “individuals dynamically alter their actions with respect to the ongoing and anticipated actions of their partners” (Fogel, 1993, p. 34), and in which they negotiate a form of communication and meaning specific and new to the group and relatively unaccessible or undescribable to those who were not part of the process (Lee, 1994; Lee, 2002). Self-hood is a dynamic function of the wider social system, be it a family grouping, a small- or medium-sized enterprise, a large bureaucracy or a nation, or parts of each, and as that system transforms so do all the participants. Emergent development of the group-as-organization is seen to be no different from the development of any social system, and is not consistently driven by any single sub-system, be it senior management or the shop floor. Discussion about planned top-down or bottom-up change is irrelevant, as the words themselves imply some sort of structure to the change. This approach is, of course, in direct conflict with traditional ideas that organizational change is driven by senior management; however, as early as 1994, Romanelli and Tushman offered empirical support for rapid, discontinuous transformation in organizations being driven by major environmental changes.

It would be very simple to place these in a nice two-by-two matrix, as in Figure 6.1. The two-by-two matrix is pervasive and well understood in management, but it is a tool of being, rather than becoming. The lines are solid and impermeable, the categories fixed. Instead, the Venn diagram in Figure 6.2 helps us imagine these different views of development as areas

| | | IDENTITY | |
|-----------|---------|---|---|
| | | UNITARY | CO-REGULATED |
| END-POINT | KNOWN | MATURATION Development through inevitable stages | SHAPING Development through planned steps |
| | UNKNOWN | VOYAGE Development through internal discovery | EMERGENT Development through interaction with others |

Figure 6.1 A Two-by-Two Matrix of “Development”

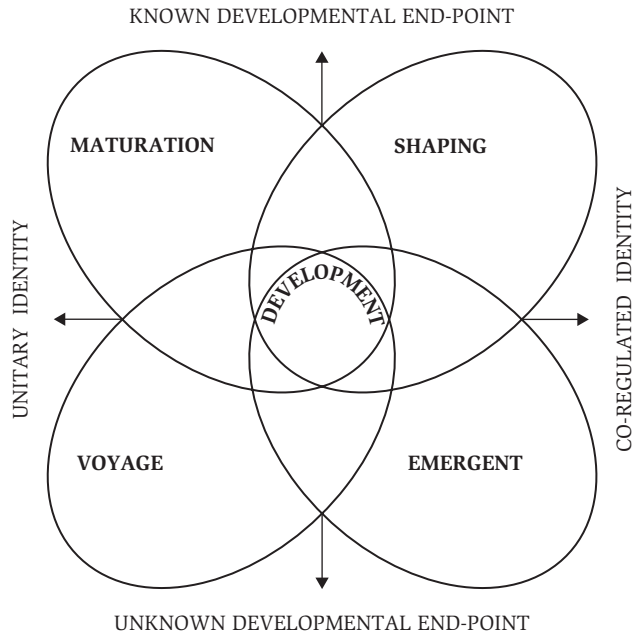


Figure 6.2 Four Forms of “Development”

Based on Lee, 1997a.

of concentration, in which it is as if the most concentrated “essence” of that which we are examining is in the center of the area and, as it diffuses outward, it mingles with the essences of the other areas.

Despite finding alternative ways of representing these findings, which might help address the problem of how to represent the sorts of working definitions associated with becoming, we cannot avoid the fact that there appear to be four fundamentally different working definitions of development. Each of these carries with it a particular view of organizations and of the nature and role of HRD, and each is used under different circumstances. When talking of our own development, we normally address it as if it were a voyage. When senior managers talk of organization development, they normally talk of it as if it were shaping. When social theorists talk of development, they normally adopt a maturational or emergent perspective, depending on their theoretical bent. Development is not a unitary concept, and there are multiple interpretations at the very heart of HRD.

The Professional Case for Refusing to Define HRD

Let us step back for a bit, take a Parmenidean view of the world, and examine what is meant by the definition of HRD. In this worldview we have the

two-by-two matrix and four different definitions of the word development, only one of which can be what we really mean, while the other three need to be renamed. When we talk about *human resource* development, however, the situation becomes clearer. A *human resource* is a commodity—something to be shaped and used at the will and needs of the more powerful. Within this view the role of the HRD professional is clear and, by implication, so is the nature of organization and management. Senior management set the objectives within a clearly defined organizational structure, in which HRD is a subset of the larger HRM function. There is no alternative to HRD as an activity and profession in which development is about shaping individuals to fit the needs of the organization, as defined by senior management. Integrity, ethics, and individual needs are not important within this conceptualization and need only be considered if the circumstances call for hypocritical lip service to them. A Parmenidean definition of HRD, therefore, might be along the lines of the shaping of the employees to fit the needs of the employer. In the U.S. this approach is described as performance improvement by Weinberger (1998). It is less prevalent in other countries (Geppert & Merken, 1999; Grievies & Redman, 1999), and, interestingly, most human resource professionals (including those in the U.S.) do not describe their own work in this way (Claus, 1998; Sambrook, 2000). They and their professional bodies are increasingly paying attention to the ethical aspects of the profession. For many, the profession has slowly moved on to incorporate notions of integrity and ethics and also to reflect the strategic importance of development at the core of the organization.

Professional and qualification awarding bodies, however, have a strong need to define HRD in order to patrol their boundaries, maintain their standards, and promote best practice through the establishment of their professional standards and to bolster their power bases. These standards do not necessarily reflect what is happening in practice, but instead mirror what the professional bodies would *like* to see happening. As illustrated in Lee, Letiche, Crawshaw, and Thomas (1996), standardization across disparate systems of HRD is likely to have been achieved through cultural imposition, with the accepted standards or definition in practice belonging to those cultures with the loudest voices. Even if the rhetoric is of the dominant culture, the practice often remains that of the hidden or underlying culture (Lee, 1998). Clearly, professional and qualification awarding bodies do provide definitions of HRD, and these definitions are generally suitable to meet their political needs, but this localized and self-serving activity is fundamentally different from that of trying to understand or encapsulate the field of knowledge and activity that is HRD. Perhaps the only way to address the need to encapsulate what is meant by HRD is to draw permeable outlines around this complex of activities that we all know and, for want of any other term, choose to call HRD.

The Practical Reason for Refusing to Define HRD

The idea of a generally acceptable definition of HRD achieved via the processes of standardization becomes particularly unrealistic when we look at the degree of variation in practice across the globe. As McLean and McLean (2001) demonstrate, it is simply not feasible to seek global standardization or definition based on current practice. They conclude that definitions of HRD are influenced by a country's value system and the point on the lifecycle of the field of HRD in that country, and that the perception and practice of HRD differ according to the status of the organization, whether it be local or multinational. We can proffer, with some accuracy and completeness, localized definitions in practice or working definitions. However, descriptions of current practice become increasingly meaningless as the variation in practice increases. Furthermore, as soon as these definitions are encased in course brochures, syllabi, professional standards, organizational literature, or other such statements of fact, they stop becoming and *are*. Thus, the very act of defining the area runs the risk of strangling growth in the profession by stipulating so closely what the practice of HRD is, or should be. In consequence it is unable to become anything else, and so we reach the heart of the argument.

From the Parmenidean perspective, the definition of HRD would, and should, focus on one particular culturally specific and dominant way of working and end product. From the Heraclitean perspective, the Parmenidean view could be one among many—all of which together comprise existence. Therefore, despite the dominant focus, in the West, at least, on scientific definition and measurable outcomes, a broader view of the field shows that the practice or the “doing” of whatever we mean by HRD is also a process of becoming. There are parallels here between this and the emergent system of development I describe above. This system reflects the messy ways by which societal aspiration becomes transformed into societal reality. Society develops with no clear end-point and with its emergent activities as the drive behind change, rather than the edicts of the hierarchy (Lee, 1997b).

To summarize this point, acknowledgement of the Heraclitean cosmology as a descriptor of the metaphysical basis of existence carries with it a moral responsibility that is not entailed by the Parmenidean cosmology. The act of definition, for the followers of Parmenides, is that of clarifying what exists. This might be complicated or problematic, but its moral valency is no different to that of emphasizing or copying the lines of a line drawing. It is just describing what already is. In contrast, the act of definition within the Heraclitean cosmology is equivalent to the act of creation. To define is to intervene in the process of becoming; it is to assert a right way and what should occur. It is to make moral judgments about what is good and bad; and to state these is to attest not only to their legitimacy, but also to the superior power or higher status of the attester. To define is to take the moral high

ground and to assert one's power and, by doing so, it is to deny the right of others to impose their own views on the becoming of HRD.

IMPLICATIONS FOR WORKING WITHOUT A DEFINITION OF HRD

In the early 1990s I designed a program (MSc in HRD by Research) from a Heraclitean perspective in order to reflect the way in which I understood my role as an HRD professional and as an educator of others. It seemed to me that, in my professional life, while I carried a central core of understanding from each experience that came my way, I, and my understanding, shifted and changed according to that experience—and each experience influenced and was influenced by future experiences. I could never say, “this is the organization,” “this is my role,” and “this is what I am doing,” as I could never manage to complete or finalize any of these states. Similarly, as an educator, I could not identify with any firm body of knowledge and say, “this is what is needed.” I could see that people needed knowledge, but that most of what they needed would be situation-specific: the knowledge needed by an Angolan participant would be very different from that needed by someone working in Hong Kong; working multinationally required different knowledge and skills than working with small- and medium-sized enterprises; working in the voluntary sector appeared fundamentally different from working with the corporate sector; and so on. I could see that people needed different knowledge and skills and that they would need to shift and change to emerge into new roles and selves.

I therefore designed an action learning-based program that avoided specification beyond basic structure and process (see Lee, Letiche, Crawshaw, & Thomas, 1996, for a discussion of cross-cultural aspects of this approach). These were the areas of focus on the different workshops, the form, but not the content, of the assessed research projects and international placement, and the form of process that occurred over the different days of each workshop. My attempt to maintain a space of negative capability and lack of definition was more than an educative ploy. It was an attempt to ensure that each person developed his or her own emergent view of HRD, rather than adopting the one propounded by teachers, which they would end up wearing like an old ill-fitting raincoat. In this way, HRD was different for each person and emerged out of their experiences:

It is not enough to insist upon the necessity of experience, nor even of activity in experience. Everything depends upon the quality of experience which is had . . . every experience lives in further experiences. (Dewey, 1938, p. 27)

It could be argued that there was an overriding definition in practice, but there was no set content or syllabus and no area that had to be known to satisfy assessment criteria. Further details of the program can be found in Lee (2001).

This program generated significant income and proved to be extremely successful with the participants, many of whom keep in touch and say that it has fundamentally changed their lives. About 85 percent obtained a promotion or changed jobs during or directly after the program. All participants had to have at least five years of professional experience, and even though about one-quarter came with little academic experience, the majority of students achieved exceptionally good academic results, with about one-fifth subsequently registering for their doctorates. On all the normal criteria it was considered to be an extremely successful program, yet the program was terminated after only four cohorts. Having ensured that its systems of verification and quality management were sufficient, the university was happy for it to continue indefinitely. However, its fate was sealed by a replay of the philosophical debate that took place two and a half thousand years ago in Ancient Greece. My Heraclitean vision for HRD lost out to a fear of difference and a desire to control the uncontrollable from colleagues within the department. The struggles of the Heraclitean approach have been documented elsewhere—see, for example, Sambrook (2001), who describes emergent HRD within the National Health Service in the UK.

DEVELOPING NON-DEFINING PARAMETERS

As the field of HRD has become more accepting of alternative paradigms, so the “need to define” has changed. Part of that change has involved the questioning, weakening, or dissolution of boundaries between different fields that might be considered part of HRD (Lee, 2004, 2010). For example, Stead and Lee (1996) questioned the relationship between HRM and HRD; Ruona, Lynham, and Chermack (2003) and Ruona and Gibson (2004) noted the convergence of HRM, HRD, and OD; Devadas, Abu, and Steven (2011) gave a detailed discussion of the relationship between HRD and NHRD; Stewart (2005) examined the relationship between HRD and the “learning organization”; and Cho and Yoon (2010) note the inclusion of “human performance technology” within HRD.

The notion of HRD also became splintered—for example, Short (2006) and Short, Keefer, and Stone (2009) showed that the notion of HRD that was established in scholastic circles differed from the HRD that was conceived of in practice. Haslinda (2009) argued that different definitions were needed for different levels of operation—general, national, and international. Similarly, as can be

seen in the introduction to this handbook, Neal Chalofsky sets out different perspectives from which HRD can be viewed (humanistic, learning and performance), each with its own definitions and implications for theory and practice. This follows in the footsteps of McGuire, O'Donnell, Garavan, and Murphy (2001), who used discourse analysis to explore the different approaches to HRD adopted by the U.S. and European schools of HRD and suggested a triarchy of perspectives (social constructionism, managerialism, and critical theory).

Throughout this time there has been a clear move away from finding the “right” definition to a focus on paradigms, perspectives, and ways of working. HRD is seen as dynamic and emergent (Sambrook, 2009, 2011), and the notion of what constitutes HRD is being continually renegotiated (Lawless, Sambrook, Garavan, & Valentin, 2011). Methods such as content analysis and discourse analysis allow the flexibility to examine concepts that are complex, ambiguous, and lacking in clarity. Another way of delineating the field is to encompass a bottom-up approach, for example, Lee (2012) produced a collection of best keynote speeches as chosen by HRD people from across the world, which by its existence encompasses some aspects of HRD—and by knowing what other people value we can move our conception of HRD onward. Seen from an ontology of *becoming*, HRD is contextual, situated, dynamic, and continually negotiated through the interpretations made by organizational actors as co-creators—but do we want more?

Should we take it further to include aspirations? Should we seek to establish, in a moral and inclusive way, what we would like HRD to *become*, in the knowledge that it will never *be*, but that we might thus influence its *becoming*?

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Perspectives on the Concept of Development for HRD

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The notion of development is positioned so visibly in the name of the HRD field and used with such frequency in the academic and applied worlds of HRD research and practice that it is tempting to ignore its depth and variety of meanings. Clearly, one might assume, a profession dedicated to the development of individuals, groups, organizations, and even larger entities, such as nations and perhaps even the global community (see McLean, 2004), will have a precise understanding of what development is, how it is achieved, and what outcomes result from it. HRD practitioners, after all, apply their craft in the design, implementation, and evaluation of developmental activities every day, and researchers focus their attention on improving the state of the art through carefully conducted and rigorous research aimed at relevant problems.

Upon closer inspection, however, development is a difficult process with multiple dimensions and few agreed-on definitions or approaches. Development proves to be conceptually complex and hard to attain in practice with consistency. The rate of transfer of training, for example, has been disappointingly low (Bates, Holton, & Hatala, 2012) and organization development efforts often do not lead to the expected outcomes or incur unplanned consequences that overshadow the positive results (Kotter, 2006). As a result, organizational investment in developing human resources tends to be conservative (Kuchinke, 2003), and human and organizational potentials remain underutilized. Given these facts, a closer look at the concept of development appears justified, particularly so since surprisingly little focused attention has been given to the construct in the HRD literature.

Three reasons account for these conceptual and applied problems. First, development in practice involves multiple levels, such as individual, group/team, organizational, national, and even international/global. Often these levels interact. Career readiness, for example, is influenced by individual attributes, such as knowledge, skills, and experience, which, in turn, are shaped

by the regional and national education and training systems. Career readiness, moreover, is linked to organizational level provisions, such as new employee training, on-boarding, and organizational culture and climate. These, in turn, play out in the context of the performance norms, competitive positions, and customer expectations in the wider industry—and likely even the global marketplace. Failing to take into account these multiple levels will result in unsatisfactory theoretical models and insufficient practical solutions. A systems approach and interventions at multiple levels are required in order to ensure lasting improvements; and yet practitioners and researchers are often constrained in the scope of their work, by choice or practical considerations, and this puts limits on a comprehensive improvement of the state of affairs.

A second challenge concerning the concept of development is the multiplicity of relevant and related literatures and approaches. As a grand construct, development is a central concern in many fields, including biology, medicine, psychology, education, sociology, and management (see Van de Ven & Poole, 1995). In each discipline there are multiple approaches, competing explanations, and recommendations for practice. Even a cursory reading of the literature shows that development is neither a unitary nor a self-evident construct, but entails thorny questions about processes, roles, settings, environmental factors, and measurement. In addition, the literature on development points to important moral and ethical dimensions, including questions about the responsibility of the “developer” toward those to be developed; the goals and means of development; the rationale behind the effort to develop others; and the intended and unintended consequences of developmental activities (see, for example, Fenwick, 2011).

Finally, as a goal-directed process, development in workplace settings is subject to multiple interests and stakeholder views. In an earlier paper, this author distinguished among three frameworks for development (Kuchinke, 1999). A *person-centered view* of development focuses on the intrinsic interests and talents of an individual and is grounded in the philosophies of idealism and humanism of the 19th century. It is supported by the ideals of humanistic psychology and the human potential movement in the middle of the 20th century, but also current and popular notions of careers, exemplified perhaps best by the recruitment motto of the U.S. military to “be all that you can be.” The person-centered view of development emphasizes the unfolding of inner capabilities in order to find the “color of your parachute” (Bolles, 2013) and to “follow your bliss” (Campbell & Kudler, 2004), to quote the titles of popular books on the topic.

In contrast to the individualistic notion, the *production-centered view* emphasizes the needs of the organization and society. Here, the goal of development is to fit the person to the job, to create human capital that responds to the needs of production, and to fill, to use a dated term, the manpower

needs of society. The principled problem solving view of development, finally, emphasizes the dynamic interplay between personal and organizational realms. It is based on the philosophy of pragmatism, follows the precepts of socio-technical systems theory, and aims, as much as possible, at joint maximization of individual and organizational or societal needs by developing both dimensions through innovative approaches and institutional and social change.

Useful as this typology may be, however, motives and goals for development are rarely pure. In practice, motivations and goals for development are multi-layered, ambiguous, and sometimes even contradictory. An engineer, for example, may apply for professional development leave to attend a seminar in order to enhance her expertise in hopes of qualifying for assignment to a product innovation project while, as a backup plan, consider changing to a competitor who can offer more challenging projects and look for opportunities to network with other potential employers at the seminar. The engineer's present employer, on the other hand, may need to expand the capability for the current production cycle and also uses professional development to pursue a high commitment employment mode for its professional staff (Lepak & Snell, 1999), making up in professional development opportunities what cannot be provided in pay and benefits.

Where many texts on HRD tend to view development in a functional manner, for example, the planned, deliberate, and purposeful effort to develop skills, team functioning, or organization effectiveness (Swanson & Holton, 2009; Wilson, 2012), the key arguments in this chapter are that multiple forms of development exist, that these forms interact, and that they should be considered for informed scholarship and practice. Developmental processes are more complex than have been considered traditionally, and a more detailed and sophisticated understanding can explain why some development projects succeed and others fail. In addition, the hope is that readers will gain an appreciation of the scope of issues involved and thus be able to develop more adequate solutions in practice. Finally, a deeper understanding of development will lead to better research and scholarship in HRD.

When recognizing these dynamics and drivers of development, HRD efforts can be enhanced; when failing to do so, HRD efforts may be ineffective and a waste of energy and resources. Take, for example, the changes in cognitive functioning occurring across the lifespan that have been shown to occur naturally as a process of aging. As a comprehensive review of the research literature conducted by Kanfer and Ackerman (2004) shows, older employees are better at functioning deeply in a smaller set of areas; they will have lost some of the abilities to move quickly between many disparate areas and master a multitude of new skills that were characteristic of their younger years and of younger co-workers. This process is associated with lifespan development and occurs independently of an organization's strategy, plans, or, for that matter, individual desires or expectations. An organization

development project focused on cross-training and job enhancement can tap into these developmental dynamics by engaging older employees as experts, mentors, and coaches, and thus enhance the potential effectiveness of the change effort. When ignoring these developmental dynamics, on the other hand, organizations will fail to reap the benefits of the intended change and obtain resistance, dissatisfaction, and misalignment.

TYPES OF DEVELOPMENT

Development can be defined as a change process, a “progression of change events that unfold during the duration of an entity’s existence” (Van de Ven & Poole, 1995, p. 512). Development plays out over time; its results may be immediate, delayed, or both, and may be intended, unintended, or, again, both. Development can be desirable or not, an undesirable example being a cold that develops into pneumonia in a hospital patient. HRD applications, however, tend to conceive of development as a positive change, even though different stakeholders may hold different views and planned consequences may be accompanied by undesirable ones. The results of development can stay at a single level or affect other levels of analysis. Certification in an additional work task in a manufacturing setting as a result of training, coaching, and supervisor observation and feedback, for example, constitutes an individual level developmental effort the results of which may come in the form of an increase in hourly pay and increased motivation through job enrichment. When this intervention is accompanied by a move to self-directed work teams, it can result in greater firm level performance through reduction of waste, greater flexibility in changing production routines, and reduced labor turnover, and these outcomes occur at the organizational level of analysis.

Van de Ven and Poole (1995) identify four basic types of developmental processes, namely, lifecycle, dialectic, evolution, and teleology, and this typology is well suited to understand the various underlying drivers and, to use these authors’ term, “modes of development. (p. 510)” The analysis of these modes of development opens up a deeper understanding of development for HRD research and practice. The four modes are presented as ideal types for the sake of descriptive clarity; in reality, multiple modes can be at play at a given time and interact with each other. These dynamics will be addressed after each form is described briefly in the following paragraphs.

Life cycle Development

The lifecycle model of development assumes that an entity moves through a progression of phases or stages as part of the developmental sequence.

These phases may be described as birth or start-up, growth, maturation, and decline, withdrawal, termination, or death. Movement through the stages is invariant, sequential, and irreversible and is driven by an internal set of rules, programs, or routines. Examples include Super's career theory (Brown & Brooks, 2002), Levinson's life span theory (Levinson, 1978), and Greiner's stages of organizational growth (Greiner, 2009). Additional examples, although with different stages and stage characteristics, are cognitive development following Piaget (1963), adult moral development following Kohlberg (Kohlberg, Levine, & Hewer, 1983), and product lifecycles. Because lifecycle development is immanent to the entity, the ability to influence it through education, training, goal setting, or other forms of outside interventions tends to be limited. Stage progression may be accelerated or delayed, but rarely halted entirely. According to Greiner (2009), for example, organizations grow from small to large and from young to old; along these trajectories, they face critical inflection points, such as the limitations to growth set by the founder. To master these developmental crises, specific tasks are needed, such as the use of professional managers to address the increasingly complex processes required for continued growth. Development may be arrested when these crises are not resolved, resulting in stunted growth, but the underlying driving force will continue to push for movement to the next stage in the lifecycle. The usefulness for HRD here is in recognizing the stage-specific requirements and tailoring interventions accordingly, as in the example of needs of aging workers provided earlier in this chapter.

Dialectic Development

The concept of dialectic reasoning has a long history in philosophical thought dating back to classical Greek and Indian thought, including the Socratic dialogues and Hindu and Buddhist writing and teaching. It has persisted over the centuries and was influential on major thinkers such as Hegel, Kant, Goethe, and Marx. It is exemplified by the contemporary German author Martin Walser's phrase that "nothing is true without its opposite" (Walser, 1969) and constitutes a core assumption in many social theories, be they individual, organizational, or societal. The dialectic model of development is based on the core idea of creative conflict whereby opposing forces vie for competition, and where compromise and resolution of opposite positions is needed for optimal functioning and progress. Development in the dialectic vein consists of the recognition and articulation of a position or thesis, the examination of its limitations and formulation of an alternative or antithesis, and the search for a resulting resolution of the contradictions between thesis and antithesis in the form of a synthesis. Development here is a social accomplishment, requiring dialogue, analysis, and openness to frame-breaking new approaches, recognizing

that the “true” solution is not owned by a single entity but must be developed in interaction with others.

Entities develop by articulating their own positions, opening the positions up for examination and framing of an alternative, and finding better solutions that contain elements of both initial positions, but also rise above them to form a more comprehensive way of thinking and acting. Development in a dialectical manner entails tolerance for critical examination and is seen in many organization development approaches, including approaches to conflict management and action learning. It is also contained in Manz’ leadership model (Manz, Manz, Adams, & Shipper, 2011), where the role of the devil’s advocate is given to a member of a leadership team to ensure that available evidence and positions are tested in a comprehensive manner.

The importance of the dialectic model of development for HRD practice lies in the mandate to guard against groupthink, push for examination of alternative ways of framing a situation, and promote breakthrough solutions to intractable problems. It indicates the usefulness, indeed, the need, to create space for the formulation and appreciation of opposing points of view, of encouraging consideration of alternatives, of patience with and perhaps even the fostering of creative conflict, with the goal of finding superior solutions.

Evolutionary Development

The third model of development uses evolution as a guiding idea, and is based on the continuous iteration of variation, selection, and adoption or retention. Entities produce, by accident or intent, novel forms that, in turn, compete for success. Forms that fit well with the requirements of the environment survive, while those that do not decline and perish. Successful forms are retained, but are forced to compete anew as competing variations evolve, and so the cycle continues indefinitely. Evolution, of course, is the principal model of development in the biological and life sciences, but it has emerged as a major explanatory approach in organizational sociology (for example, Astley & Van de Ven, 1983) to account for the rise and fall of industries, sectors, economic regions, and firms.

The application of this model of development for HRD is best seen with reference to the strategic management and strategic human resource management literature. While the evolutionary process is viewed as impersonal and unpredictable—selection is outside of the control of specific organizations—organizational strategy tries to predict and create a good fit between the products and services of an organization and the demands of the marketplace. Organizations develop strategies in hopes of increasing the odds of environmental selection in the form of customer preference, market share, market penetration, and crowding out of competitors. They do so in two ways: by developing resources that are unique, in demand, and whose benefits can be

captured by the organization (Truijens, 2003), and second, by creating a variety of products, services, and organizational structures and processes.

The human resource architecture model, for example, uses the resource-based view of the firm to analyze where employee contributions are adding high value and are also rare and to create employment modes and developmental opportunities accordingly (Lepak & Snell, 1999). The learning organization concept (Watkins & Marsick, 1993) urges organizations to create cultures that foster innovation and foster competition of alternative processes, structures, products, and services. By actively encouraging experimentation and openly examining the outcomes of alternative provisions and arrangements, organizations create variations and, again, can increase the likelihood of selection.

The evolutionary model of development places HRD squarely into the strategic arena and requires that HRD practitioners be fully engaged in understanding the competitive environment to identify where opportunities in the external environment might exist, how opportunities can be created, and how to position human, social, and intellectual capital to capture those opportunities. HRD arrangements and processes should, in themselves, follow the resource-based view logic: in order to provide competitive advantage, HRD needs to be unique, difficult to imitate, in demand, and able to recoup the investment. By building unique HRD signatures, rather than following so-called best practices or model cases developed elsewhere, and by creating an internal experimental learning culture, the profession can fulfill its obligation to position the firm's resources to increase the likelihood of evolutionary selection.

Teleological Development

The fourth model of development is familiar and frequently referred to in the field. In much of the HRD literature, however, it is taken as self-evident and the only driver of development, when, as is the core thesis of this chapter, it exists along with three different approaches to explain and work toward development. Under the teleological perspective, development is focused on specific goals for improvement. It occurs through a process of (a) articulating dissatisfaction with a current situation, (b) the decision to focus energy and resources, (c) an analysis of root causes, (d) goal setting, (e) implementation, and (f) evaluation of results. This sequence underlies core HRD processes, such as instructional design, performance improvement, and action research.

The apparent simplicity of the approach hides a number of assumptions that must be met so that it can be effective: rational analysis and decision processes without undue influence by power and politics and formulation of a specific and obtainable goal without conflict and ambiguity. A further assumption is the linear sequence of action strategies from analysis to resolution and the premise that goals somehow “stand still” and do not shift or change

during the time it takes to implement developmental processes. Finally, the teleological model assumes that organizations have discretion and power to change, rather than being influenced by outside forces or inside dynamics. In short, teleological theory as a model of development is based on assumptions of functionalism, rationality, unity, and reductionism. These assumptions have been challenged in much of contemporary research on organizations, but continue to dominate HRD and also strategic planning and goal-setting theories.

Interaction of the Four Models

The four models of development introduced here interact in practice. Goal-directed development as the major mode in HRD practice, for example, might take place at the same time as industry-level shifts impact on the organization's standing, concurrent with conflict among employee groups that requires synthesis of competing interests, and during a phase of organizational growth that requires breakthrough solutions. To reduce this complexity and develop actionable solutions, HRD practitioners foreground some forms of development, such as the teleology, but should not lose sight of other drivers that operate at the same time. Solutions that ignore the existence of multiple developmental processes are in danger of suboptimization. The ability to perceive, articulate, and respond to the dynamics of multiple, concurrent, and equally influential motors of development is critical for advanced-level HRD practice. Important, too, is the focus of HRD scholarship on the whole range of modes of development.

While the teleological model of development is well covered and explored in HRD research, little attention has been paid to lifecycle, dialectic, and evolutionary modes of development. When incorporating the full range of developmental processes, HRD research might improve upon the rather disappointing track record of organization development initiatives (Kotter, 2006) and the equally disappointing low explanatory power of many HRD research studies that leave a majority of variance in the dependent variable unexplained.

HUMAN RESOURCE DEVELOPMENT AND HUMAN DEVELOPMENT

The final section of the chapter will move from the descriptive to the normative, from the question of how development unfolds to the question of what goals or aims are worth pursuing. The moral and ethical dimensions of our field have, to date, received far less attention than the functional aspects of HRD, but should be viewed as central to responsible and defensible theory and practice. The central question of the aims of developmental activities

comes into focus when we consider that HRD professionals address not only what *is*, but predominantly what *should be*. In its strategic role, HRD has the responsibility for broader political, social, and economic goals and their impact on individuals and communities. Just as organizations are wrestling with their role in a global market economy—this discussion is core to the business ethics and corporate social responsibility literature—so must HRD formulate and refine its own understanding of what it means to develop individuals in the context of work in global organizations and institutions.

A powerful frame for understanding HRD is the scholarship on human development, a rich and well-developed interdisciplinary literature drawing on ethics, economics, public policy, and other fields and disciplines. While development in corporate contexts differs from development in, for example, poor nations and communities, the strengths of the conceptual frameworks and guiding principles for human development are relevant for HRD, and our field has been positioned as a special case of this broader notion of development (Kuchinke, 2010).

The field of human development includes a broad, multi-faceted, and global set of projects, initiatives, and goals in the public domain promoted by national and local governments, non-governmental organizations, and international agencies aimed at improving health, education, welfare, security, and social justice around the world. Examples include the World Health Organization's (WHO) millennium development goals, the International Labor Organization's declaration of rights at work, the United Nations Development Agency's efforts at combating illiteracy, and many others. Human development is explicit about its ethical foundation. As Lee Jong-wook, previous director general of WHO, observed: "Technical excellence and political commitment have no value unless they have an ethically sound purpose" (Alkire & Chen, 2004, p. 1069).

Equity and human rights constitute two underlying philosophies that justify human development, and both emphasize a mutuality of obligation between those sponsoring or providing development initiatives and those receiving them. Development, thus, is not an indulgence, perk, or benefit, but a responsibility, and this responsibility puts obligations on both giver and recipient. Increasing individuals' capability for productive work, for example, entails the moral obligation to put one's skills to good use. The objective of development is to expand and equalize the capabilities of each individual as he or she chooses as a mature and self-directing human being (see Alkire [2002] on Amartya Sen's capabilities approach to human development). In accepting these initiatives, individuals incur the responsibility to be good stewards of their capabilities and put their energies in service of their selves, their communities, society, and the world at large.

Recent literature on human development is based on philosopher John Finnis' work that identifies as the goal of human development the ideal of

human flourishing, described in relation to all life domains as “well-being and living well in matters public and private, economic and social, political and spiritual” (Alkire, 2002, p. 182).

This broad conception of development is highly relevant to HRD. When reviewing the AHRD Standards document (1999), for example, we find that the “central goal . . . of AHRD professional activities [is] to broaden understanding of the complex activities involved in assisting individuals or organizations to improve their ability to develop themselves” (p. ii). The general principles of the document refer to rights-based guidelines for development, specifically the “fundamental right, dignity, and worth of all people” and the rights of individuals to “privacy, confidentiality, self-determination, and autonomy” (p. 2).

A second argument for the relevance of human development is related to definitional writing and dialogue within the HRD scholarly community. After several years of foundational debates, a conference presentation and subsequent article by McLean and McLean (2001) appear to have put to rest the discussion by proposing a broad and inclusive scope for the field, namely HRD in service of “personal or group/team gain, or for the benefit of an organization, community, nation, or, ultimately, the whole of humanity” (p. 322). Here, the social dimension of HRD is clearly addressed, and the opportunity, perhaps even the responsibility, of working toward the public good is included in the domain of HRD.

Another link between human development and HRD is the recent and quite vigorous broadening of research and professional practice to the development of communities, societies, nations, and the world. The focus on development at the national and supranational levels (for example, European Union, MERCOSUL, International Labor Organization) is now an accepted area of scholarship and application (Lynham, Paprock, & Cunningham 2006). Taking the field in the realm of public policy implies, almost by definition, the need to broaden the range of desired outcomes or values. As McLean (2004) states: “[National human resource development] goes beyond employment and preparation for employment issues to include health, culture, safety, community and a host of other considerations that have not typically been perceived as manpower planning or human capital investment” (p. 269).

The role of human development as defined in for-profit organizations is conceptually and theoretically the most interesting and also the most difficult. Given the confines of this chapter, it will suffice to point to the fact that large corporations already offer a suite of developmental provisions far beyond those for immediate or even future job requirements. One example includes the investment in fostering networking and development among underrepresented employee groups, for example, Abbott’s initiative to link up women in leadership positions in the company to foster their advancement and promotion.

Other examples of developmental provisions offered by many large corporations in the United States and abroad include the provision of basic health screening, smoking cessation, weight loss, or general fitness, the sponsoring of foreign language clubs, offering of nutrition, investment, and retirement counseling, and sponsorship for social events for employees and their families. Without glorifying the motives of such corporate welfare provisions (see Barley & Kunda [1992] for a historical treatise on the topic), they illustrate the point that a range of developmental initiatives exists in corporations that can be characterized as opportunities for human development broadly and go beyond the development required for simple job performance.

CONCLUSION

This chapter started with the assertions that development is a multi-layered, complex, and difficult notion, and that it is incumbent upon HRD scholars and practitioners to understand the range and scope of this concept. Simplistic views of development lead to narrow scholarship and incomplete practice. Development is important for individuals, groups, and organizations, but also for communities, regions, nations, and the global community.

Four alternative models for development were introduced: in addition to the traditional goal-oriented mode, there exist processes of development driven by lifecycle logic, by a dialectic dynamic, and through the forces of evolutionary change. These modes of development coexist and interact. Responsible HRD practice and mature scholarship need to consider the range of developmental modes in order to account for the complexity of the topic.

The chapter described how developmental processes operate, but also addressed their moral and ethical dimensions. To this end, the literature on human development with its strong foundation in ethics was introduced. It was argued that human resource development should be seen as a special case of human development, for both ethical and pragmatic reasons. Development work is, by its nature, value-laden, and HRD practitioners and scholars need to address the explicit and implicit value options and choices. When reviewing the literature on national human resource development, the proximity to human development dimensions is clear, but so is the relevance of broadly defined developmental goals and approaches in corporate settings. Development is the core objective for our profession, and we are charged to be experts in this domain. By deepening our understanding of developmental processes, HRD practice and scholarship can increase in effectiveness and serve our constituents better. By carefully considering the moral and ethical implications for development, we live up to the responsibility of our

profession to contribute to the well-being of the full range of stakeholders and to advance the common good in society and the world.

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CHAPTER EIGHT



A Critical, Feminist Turn in HRD

A Humanistic Ethos

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Human resource development (HRD) is concerned with advancing individuals, groups, and systems through interventions focused on training, career development, or organization development. Although HRD began as a field seeking humanistic development and change of humans and organizations, it is increasingly the bedfellow of management and capitalistic interests that are neither humanistic nor concerned with employee and stakeholder well-being. As Bierema (2009) noted, HRD is “founded on employee advocacy, yet it is situated in a system saturated with sexism, racism, and managerialism” (p. 68). As HRD becomes ever more influenced by managerial interests, it also becomes more instrumentalist and inequitable and drifts further from its original humanist ethos.

Guided by this humanistic ethos, the purpose of this chapter is to question the taken-for-granted views and practices of HRD and highlight the significance of a critical and feminist perspective. We contend that HRD is dominated by masculine rationality and that critical and feminist perspectives offer needed alternative perspectives on often taken-for-granted organization realities. The chapter provides brief descriptions of several relevant critical worldviews and introduces their major critiques of organizations. The chapter ends with a discussion of how a critical, feminist HRD might look in practice.

In order for HRD to truly enact the lofty principles inherent in its name (human . . . development) and espoused in its General Principles around integrity, professional and social responsibility, and concern for others’ rights, dignity, and welfare (Russ-Eft, Burns, Dean, Hatcher, Otte, & Preskill, 1999), we believe that a critical, feminist HRD perspective is needed. Otherwise, the

field, discipline, and practice of HRD will never fully tap and empower the “women who hold up half the sky” (Kristof & WuDunn, 2009, p. 1), and neither the employees nor their organizations will reach their developmental and productive potential.

FOUNDING HUMANIST PRINCIPLES OF HRD

The foundations of human resource development are treated in many publications, including early chapters of this one, and so there is no need to retrace them here. However, it is important for the purposes of this chapter to touch on key concepts related to HRD practice and discipline that distinguish it from related fields such as human resources (HR), human resource management (HRM), and industrial/organizational (I/O) psychology.

HRD can and does address concepts such as organization development, training, enhancing performance, and improving job skills (Garavan, Gunnigle, & Morley, 2000). In so doing, it shares characteristics with HR, HRM, I/O psych, and personnel training and development, which focus explicitly on organizational performance, output, and financial success as both primary and ultimate goals. However, in its formation, HRD emphasized the “human development” component in ways that had broader applications than just improvement of job skills, performance, and output. HRD, rather, suggests that development of the individual and the organization are integrated, bound together, and (many would say) co-equal. HRD was thus perceived and described by its early articulators as

- “The field of study and practice responsible for the fostering of a long-term, work-related learning capacity at the individual, group, and organizational level of organizations” (Watkins, 1989, p. 427);
- “The integrated use of training and development, career development, and organization development to improve individual and organizational effectiveness” (McLagan & Suhadolnik, 1989, p. 1);
- “The study and practice of increasing the learning capacity of individuals, groups, collectives . . . for the purpose of optimizing human and organizational growth and effectiveness” (Chalofsky, 1992, p. 179); and
- “Activities and processes which are intended to have impact on organizational and individual learning” (Stewart & McGoldrick, 1996, p. 1).

And while a precise definition of HRD is elusive, and there is debate as to whether HRD does or should prioritize performance or learning (Garavan, Gunnigle, & Morley, 2000; Lee, 2001), HRD has clear ties to adult education and to humanist perspectives. In crafting “Standards on Ethics and Integrity”

for the Academy of Human Resource Development in 1999, Darlene Russ-Eft and her colleagues strongly emphasized humanist concepts in articulating six “General Principles” upon which the AHRD standards are based:

- Competence
- Integrity
- Professional Responsibility
- Respect for People’s Rights and Dignity
- Concern for Others’ Welfare
- Social Responsibility (pp. 2–3)

The principles are designed to “provide standards of conduct and . . . a common set of values for HRD professionals” (Russ-Eft, Burns, Dean, Hatcher, Otte, & Preskill, 1999, p. 2). Accompanying HRD standards include unequivocal expressions of support for equality and denunciations of discrimination based on “age, gender, race, ethnicity, national origin, religion, sexual orientation, disability, socioeconomic status, or any basis proscribed by law” (p. 5). By contrast, the Organization Development Network, which has a similar list of “Principles of OD Practice”—to include respect, inclusion, collaboration, authenticity, and empowerment—articulates a different goal for its values: “to build the capacity to achieve and sustain a new desired state that benefits the organization” (Organization Development Network, n.d.).

Thus, from its conception and as codified in key documents and policies, the field of HRD has espoused humanistic development and change of individuals and organizations. As is often the case, however, there is a gap between espoused and enacted ideals. With regard to treating women equally and empowering them, HRD is no exception. Women’s ways of learning, knowing, working, interacting, and leading in organizations have never been adequately recognized, accepted, or nurtured. And while there is clear progress in some cases, organizations, and societies—particularly in Western Europe and in North America—there is also persistent and even resurgent dominance of masculine rationality in organizations and in HRD.

HRD DOMINATED BY MASCULINE RATIONALITY

Bierema (2009) argues that HRD is strongly influenced by masculine rationality—the phenomenon of upholding masculine characteristics of toughness, aggressiveness, rationality, and control as the norm. For example, when someone advises, “Don’t get emotional” in meetings, the plea reinforces a masculine ideal of being controlled and logical at all times. The expectation for poker-face reactions to volatile issues handily protects those in power (typically white

males in the West), who originally created the rules making emotional outbursts culturally unacceptable in business. An online search of issues related to HRD and gender covering just the past ten years illustrates that issues of gender stereotyping, sexism, patriarchy, and glass ceilings remain common—even rampant—in organizations across the world today (Benschop & Doorewaard, 2012; Bessis, 2004; Bierema, 2009; Brescoll, 2011; Broadbridge & Hearn, 2008; Dick & Nadin, 2006; Domina, 2009; Elliott & Smith, 2004; Freeman, Bourque, & Shelton, 2001; Jenkins, 2012; King, 2012; Kristof & WuDunn, 2009; Linstead & Pullen, 2006; Metcalfe, 2007, 2011; Metcalfe & Rees, 2010; Metcalfe & Woodhams, 2012; Miles, 2011; Ragins & Winkel, 2011; Sinclair, 2005; Stoker, Van der Velde, & Lammers, 2012; Wen, 2011).

Just one way that masculine rationality is evident is through HRD's omission of marginalized groups in its research. This problem was illuminated in Bierema and Cseh's (2003) analysis of over six hundred AHRD conference papers from 1996 to 2000. They found that HRD research overwhelmingly excluded issues of equity and access in the workplace. Very few studies promoted diversity or emphasized issues of social justice. Women's voices and experience were ignored, as were asymmetrical power arrangements. Gender was rarely used as a category of analysis—even when data were collected by gender. Further, organizational “undiscussables” such as sexism, racism, patriarchy, or violence received little attention in the literature, and HRD research has only weakly advocated change. We concluded that HRD research may be reproducing inequitable power relationships in organizations, rather than restructuring them.

The power of masculine rationality is that its standards go unquestioned, even though it may be difficult for those who did not create them (e.g., women, people of color, and different ethnicities) to assimilate the expected emotionless, detached (or other logical, controlled) behavior. Society is so steeped in masculine rationality that its assumptions go unchallenged, resulting in the persistence of inequitable systems of management that are sexist and racist. HRD's enthusiastic adoption of masculine rational frameworks and methods is evident in its embrace of economic theory and performance-enhancing interventions. HRD's quest to prove it belongs at the management table is also an effort to substantiate its rationality. To illustrate the pervasiveness of masculine rationality, the next sections introduce critical theory and feminism and offer their critiques of organizations.

CRITICAL PERSPECTIVES

Critical perspectives generally critique aspects of society and advocate for change that promotes social justice, equity, and positive transformation.

Critical theory is the origin of these perspectives. Other critical traditions have influenced HRD, including critical management studies and critical HRD. Each will be defined, as the perspectives vary by type and emphasis. However, common characteristics of critical perspectives are that they challenge, question, scrutinize, problematize, or trouble accepted views and ways of acting. Critical views challenge hegemonies and the status quo and often seek to change or transform ways of thinking and acting so that they better reflect and support the perspectives of populations that have been minimized, disregarded, or oppressed (Merriam, 2009). Critical approaches also ask questions about who is served by current structures.

Critical Theory

Critical theory is a philosophical tradition that emerged out of the Frankfurt School in the 1930s. Its founders were considered neo-Marxists who critiqued society and culture and advocated for change. Critical theory is “the process by which people learn to recognize how unjust dominant ideologies are embedded in everyday situations and practices. These ideologies shape behavior and keep an unequal system intact by making it appear normal” (Brookfield, 2011, p. 48). The Civil Rights movement in the United States is a good example of how a nation learned to recognize the unjust ideology of racism. Many people had never questioned racist arrangements such as separate facilities for blacks and whites or the unequal treatment. It was only when consciousness was raised by activism that people began questioning the separate and unequal treatment based on race. Although racism exists today in different, subtler forms, the Civil Rights movement resulted in change that continues today.

Dominant ideologies are widely accepted views and practices that tend to preserve an economically unequal, racist, homophobic, and sexist society with minimal resistance (Brookfield, 2011). Fields, such as HRD, develop dominant ideologies that have great power and influence over knowledge creation and practice evident by how performance and productivity are privileged. To be a critical person from a critical theory perspective, one would take “action to create more democratic, collectivist, economic, and social forms” (Brookfield, 2011, p. 49). Brookfield also suggests that critical theory helps do three important things: (1) offers a framework for critiquing social conditions, (2) challenges universal truths or dominant ideologies, and (3) seeks social emancipation and the elimination of oppression.

Critical Management Studies (CMS)

Critical management studies (CMS) seek to foster insight, provide critique, and create a “transformative redefinition” of organization practices, cultures,

and structures (Alvesson & Deetz, 2000, p. 87). CMS draws on concepts from critical theory, critical social studies, post-structuralism, and feminism. CMS challenges conventional management wisdom and practices that are taken for granted. Just as racism is an unjust, dominant ideology in society, so it is also that many forms of management represent an unjust, dominant ideology in organizations. Instead of “racism,” organizations are permeated with “managerialism,” where “managerialist” assumptions are privileged above all others.

In its simplest and most benign sense, “managerialism” refers to the application of managerial techniques of businesses to the running of public agencies or other non-business organizations (Free Dictionary, n.d.). As described by Enteman (1993), however, a managerialist approach has come to mean the inappropriate use of positivist, instrumentalist, and modernist approaches in organizations. In such situations, the leadership acts in ways that maximize gain and profits over ethical consideration of either employees or the wider citizenry. Individual needs, desires, and wishes are ignored, and managerialism serves as an ideology as well as a process.

Managerialism tends to marginalize other non-managerial groups in ways that protect management power. Since the majority of managers in the West are white males, managerialism tends to promote racist, sexist, and other marginalizing practices and policies. CMS challenges what Alvesson and Willmott (2003) describe as “a devotion to the (scientific) improvement of management practice and the functioning of organizations. In this vision of management practice and theory, questions directly and indirectly connected to efficiency and effectiveness are made central; and knowledge of management is assumed to be of greatest relevance to managers” (p. 8). They note that managers are “routinely presented as carriers of rationality and initiative” where “better management . . . is increasingly commended as the solution to diverse political and social, as well as economic problems” (p. 8). They also note that other stakeholders such as employees, customers, and citizens are “cast as objects or instruments of managerial action” (p. 8).

CMS seeks to trouble the political side of management behavior that is presented as neutral or technical. It is interested in the relative absence of women and people of color from managerial ranks as compared to white males and in the discourse of management and how certain groups are marginalized in or excluded from it. CMS also examines whose interests are served in the world of work, such as owners, managers, workers, or consumers (Alvesson & Deetz, 2000). Critical theory informs CMS’s effort to “challenge the legitimacy and counter the development of oppressive institutions and practices” (Alvesson & Willmott, 1996, p. 13) and its vision is to emancipate workers and create more accountability for managers whose acts impact the lives of employees and other stakeholders (Alvesson & Willmott, 1996). CMS has been criticized for having a significant disconnect between theory and practice.

Critical Human Resource Development (CHRD)

Critical human resource development seeks to apply CMS principles to HRD. As defined by Bierema (2010b):

Critical human resource development challenges the concept of a performative HRD practice arguing for a critical and socially conscious HRD that problematizes its precepts by challenging the commodification of employees, involving multiple stakeholders, contesting the nature of power relations, pursuing wide-ranging goals (not just profit), while providing alternative, non-oppressive, holistic models for cultivating development in work context. (p. xiv)

In comparison to CMS, CHRD is relatively underdeveloped. It is discussed in the literature (Elliott & Turnbull, 2002; Fenwick, 2000; Rigg, Stewart, & Trehan, 2007), yet neither the human resource development (HRD) field nor management has widely embraced critical principles. CHRD is not discussed in the major HRD textbooks, nor is it prominent in research or practice. CHRD is gaining some traction, with a special interest group at the Academy of Human Resource Development, growing awareness, and more research in the area.

FEMINIST THEORY

Feminist theory seeks to expose both obvious and subtle gender inequalities, as well as critique patriarchal hegemony (Martin, 2003). Feminism assumes an ethical and moral imperative to identify and change conditions that are oppressive. Although feminism emerged as a white middle-class women's movement, its contemporary concern is with groups that are oppressed by patriarchal, racist, and classist systems, among others. The inequities of society are replicated in organizations. Feminists recognize the sexist nature of organizations and aim to change it. They acknowledge that organizations are patriarchal and generally structure policy and practice to benefit those in power (i.e., white males in the West).

Responsible HRD professionals are both aware of and working to change organization systems, policies, and structures that unfairly privilege certain groups, usually white males. Although there are many types of feminism, we approach our scholarship and practice from what we call "critical feminism"—an amalgamation of principles from critical perspectives and post-structural feminism. We define our feminist stance as aligned with the precepts of feminist pedagogy (Cohee, Daumer, Kemp, Krebs, Lafky, & Runzo, 1998) in that it involves raising consciousness about structural inequalities, taking informed action, and creating social transformation.

Post-structural feminism does not accept individual explanations or solutions for women's marginal status. That means we do not blame individual

women or members of marginalized groups for not being able to achieve promotions within an organization hierarchy or give them advice to “work harder” or “minimize” their femininity or otherness. Instead, post-structural feminists work to help all stakeholders (regardless of gender) recognize existing inequities and their consequences. Next, we analyze and attempt to change structures that are unfair, such as informal practices of giving males the plum assignments and access to organization power brokers, or expectations that women only work in certain areas, such as customer service or human resources. We also pay attention to how factors such as gender, race, ethnicity, and class intersect to dictate how certain individuals will experience an organization and its culture. We conduct research that exposes inequities and provides an agenda for change. We continue to find Worell’s (1996) description of feminist research on which we based our 2003 analysis of Academy of Human Resource Development proceedings relevant. Feminist research:

- Challenges traditional scientific inquiry,
- Focuses on the experiences and lives of women,
- Considers asymmetrical power arrangements,
- Recognizes gender as an essential category of analysis,
- Attends to language and the power to “name,” and
- Promotes social activism and societal change. (p. 476)

Finally, we seek to take mindful action to change inequitable structures and ultimately transform patriarchal systems into alternative, more inclusive, holistic structures.

A CRITICAL, FEMINIST CRITIQUE OF ORGANIZATIONS AND CHANGE

Next, we turn a critical, feminist eye on organizations and change. We use Martin’s (2003) comparative discussion of critical theory and feminism as a springboard to examine and critique HRD and assess why change strategies aimed at making organizations more equitable often fail.

Critical Theory’s Contribution to Organization Critique

Alvesson and Deetz (1996) use “critical theory” to challenge dominant management ideology by showing how discourse can skew and manipulate history, framing management interests in ways that make them appear in everyone’s interest, privileging instrumental reasoning, and critiquing

hegemony. The authors show how feminism has (or in some cases has not) addressed these concerns, point out areas of intersection, and suggest how the theories might build on each other.

Showing how discourse can skew and manipulate history. Dominant social groups use language to name and describe things in ways that preserve their power. In other words, they may skew or spin information in ways that make their position seem more favorable than it is. Dominant groups may also cast history in a light that is most beneficial to their position. For instance, today's HRD research and practice favor the economic model and align more with management interests than with other organizational stakeholders. Yet, this contemporary focus on performance and profitability strays from the field's original humanistic roots and goal of doing no harm. Today's language of HRD is performative (in the Lyotard [1984] sense, where the world is driven by money) and peppered with words such as profit, performance, bottom line, and so forth. One only needs to seek out a popular definition of HRD to see how performative language shapes our image of the field: "HRD is a process of developing and *unleashing human expertise* through organization development (OD) and personnel training and development (T&D) for the *purpose of improving performance*" (italics added, Swanson & Holton, 2001, p. 90). The performative language gives the impression that the field has always aligned with economic interests, when this is not the case.

You may have heard the adage, "Say something enough times and it becomes true." The words we use powerfully create truths. Discourse often sets up dichotomies or opposites that are abstractions that rarely exist in real life. One such dichotomy in HRD is the learning versus performance debate. By setting up opposing categories in the abstract ("you are either in favor of performance *or* learning"), it becomes more difficult in reality to merge the two. In reality, learning and performance are mutually beneficial. Neither would be pursued only in the name of profit, but also for more holistic organization goals such as real wages for employees, minimal environmental impact with its processes, and generating benefit to other stakeholders such as customers and communities.

Framing management interests in ways that make them appear in everyone's interest. Critical theorists are interested in power and how the powerful shape what we accept as knowledge and truth in society by creating ideologies we all believe in, even when they are not good for us. Management promotes certain ideologies, such as "what is good for the company is good for everybody," framing management interest as though it were in all employees' interest. For example, an organization might decide to freeze wage increases due to an economic downturn. Management may start repeating ideas such as "everyone is lucky to have a job," or "we pay good wages here," or "there are others who are much worse off," or "at least we didn't have to fire anyone,"

and so forth, until employees begin to believe their sacrifice of raises is virtuous and something they are happy to give up, even while the top managers continue to receive wage increases and the organization is profitable.

Critical theory acknowledges that the social world creates structures that confer privilege to some and marginalize others based on attributes such as race, ethnicity, gender, age, sexual orientation, religion, class, physical ability, and so on. In organizational terms, we are interested in how management behaves in ways to ensure that it benefits the most from organization practices, policies, and politics. Critical theorists ask questions about social conditions, such as: “Who benefits from these organizational arrangements?” “Who says X is true?” “Why aren’t the workers questioning the unfair distribution of raises?”

Privileging instrumental reasoning. Instrumental reasoning emerges when concerns about financial health or productivity emerge as dominant priorities. Even feminist agendas can fall under this reasoning, such as arguing that promoting women will improve productivity or when organizations make the “business case for diversity,” because it will promote equality and be “good for business.” Unfortunately, such instrumental justification for change effectively ignores structural inequalities, meaning that inequalities will persist, not to mention that it violates the humanist philosophies on which the field of HRD was founded. Martin (2003) observes that critical theory has been more suspect of instrumental reasoning than feminism has.

Critiquing hegemony. When critical theorists critique social conditions, what they are really seeking to expose are “truths” or underlying ideologies we have accepted without question, but which actually function to hurt us. Under hegemonic conditions—in which a predominant group exercises influence or authority over others—workers can come to believe in “truths” that hurt them socially, economically, or politically. If we return to the example of the organization cutting wages, when employees begin to talk themselves out of protest, they are investing in their own oppression. Brookfield (2011) suggests that critical theory is useful because it helps us learn to resist ideological manipulation or, in other words, question truths that seem unassailable, such as we should “take one for the team” and forego raises. Martin (2003) suggests that feminism questions the hegemony of patriarchy evident in things like organization structure, discourse, and communication. She also notes that feminism has focused less on “how women and men are complicit in their own gendered subjugation” (p. 69), or on false consciousness that allows them to consent to patriarchal power and gendered arrangements.

What are some of the ideologies that govern HRD thought and action and create hegemony? Some we have heard include: “HRD’s primary purpose is to enhance organization performance,” “We are an equal employment company,” or “We have to secure our place at the table.” Critical theorists talk about “hegemony” and the process of the dominant group creating “truths”

that become accepted as the natural and right way to think about something. In HRD, the truths are usually created and promulgated by management. Corporate power is very often not in the best interests of most Americans—for example, the 1953 congressional testimony of General Motors CEO Charles Wilson: “I thought what was good for the country was good for General Motors and vice versa” (Berlau, 2010)—yet few question this ideology. When we begin to doubt and ultimately reject unquestioning support of corporate growth and excess (or any dominant ideology), we shift away from blind acceptance of the status quo to become more emancipated in how we think about and participate in capitalism or other “-isms” we previously did not question.

The Woman “Problem” and Why Some Feminist Change Strategies Fail

This section examines organization change from a feminist perspective. It is important to note that, although both feminist and critical scholarship ideologies are committed to lasting structural change and provide ideological critiques of the status quo, to date they have had limited success at implementing change (Martin, 2003). Martin (2003) notes that, among the varieties of feminist theory, two objectives dominate: the first is to describe gender inequalities. We have done that through showing how feminist issues are generally ignored in HRD (Bierema & Cseh, 2003), deconstructing performative, male-dominated management discourse that marginalizes women (Storberg-Walker & Bierema, 2008), and critiquing the dominant rational-masculine construction of HRD (Bierema, 2009).

The second aspect of feminist theory is to advocate change to reduce or remove inequalities raised by the first objective. We have long been advocates of a feminist HRD (Bierema, 2002, 2003, 2009, 2010a; Bierema & Cseh, 2003), conducting feminist research in HRD (Bierema, 2002, 2003, 2009, 2010a), practicing socially conscious HRD (Bierema & D’Abundo, 2004), advocating corporate social responsibility (Fenwick & Bierema, 2008), and implementing critical organization development (Bierema, 2010b). Martin (2003) also observes that noncritical and critical approaches to feminism exist. Critical approaches advocate change and a reordering of power relations. We belong to the latter camp, although change in these areas has been neither swift nor satisfactory.

Women in organizations present a problem; they are different from men, and they threaten the power of the dominant—usually white, male—group. Martin (2003) analyzed several “solutions” for dealing with this “woman problem” in organizations that range from ignorant to enlightened:

- Fixing individual women
- Valuing the feminine

- Adding women and stirring (minimal structural change)
- Making small, deep cultural changes
- Creating new organizational structures
- Transforming gendered society

The first, *fixing individual women*, tends to be the solution sought by most organizations with a goal of hiring and retaining women. Usually, this change strategy focuses on individual advisement or group training to help women address “weaknesses” by raising/improving their self-esteem, assertiveness, and leadership or through networking or mentoring. The strategy assumes that women must act like men in order to succeed in the organization. Such programs assume women are to blame for not fitting into organizations that are portrayed as “gender neutral” by those in power. This model expects women to assimilate into male-dominated jobs and roles. The strategy is problematic because it implies that women are at fault for their “inability” to advance in a system that is wrongly perceived as gender-neutral, and it does not hold men or the organization accountable for being inhospitable to women.

“Fixing individual women” also creates a situation that women cannot win because they will ultimately be viewed as either too feminine or too masculine, but not “just enough male.” A revolting case in point is the “Bully Broads” executive reform program that was aimed at women who were deemed “too tough and too scary” to succeed as executives (Banerjee, 2001). The program is a total makeover of the women’s demeanor so they are less intimidating, less demanding, and less fast-paced. It also presents a double standard. Men have been allowed to ascend the corporate ladder bringing all of their good and bad behaviors with them. “Bully Broads” are not afforded the same standard and are forced to change so those around them feel more comfortable.

The women who do learn to succeed by emulating men rarely bring other women along with them—they become co-opted into a system that is not gender neutral, even though they may believe that they have “made it” and therefore other women should be able to as well. In fact, women bullying each other is a new workplace trend (Meece, 2009). This trend may be attributed to the scarcity of top-level managerial positions for women, even though they make up about 50 percent of managerial and administrative workers. Women who belong to another marginalized group, such as a different race or class, may find it even more difficult to assimilate; they are effectively in a condition of double or triple jeopardy. This particular strategy of “fixing individual women” also tends to privilege women who are in line for management positions, typically those who are predominantly white and middle class.

The next feminist change strategy, *valuing the feminine*, focuses on traditionally feminine characteristics that have been devalued and attempts to elevate their value in comparison to masculine traits. These traits include things like empathy, sympathy, nurturing, non-competitiveness, deference to authority, and listening ability. They also reinforce highly gendered stereotypes of acceptable behavior for both men and women. These expectations can lead to pressure for women to assume the role of “office wife,” where they would tend to neglected projects that free the men to focus on more highly valued activities. This strategy accomplishes little change, reinforces stereotypes, and allows excuses to justify women’s lack of progress in pay or promotion.

The third feminist change strategy, *add women and stir*, entails minimal changes to the organizational structures that relegate women to lower paid, less prestigious positions. For example, an organization may tout an equal opportunity policy in its hiring practices. With minimal adjustments to workplace rules, practices, or structures, women will gain access to positions previously unattainable to them. Although these adjustments allow women slightly more access to advancement, the patriarchal hierarchy and culture remain unchanged. Women who do gain promotions and visibility with these practices may be at risk of being scrutinized. Examples include women CEOs whose firings are much more sensationalized in the media than those of their male peers. It is almost as if the patriarchal culture is saying “I told you so” when a high-profile woman who has been privileged by the “add women and stir” policy fails. Comparable male failings go unremarked.

A fourth feminist change strategy involves *making small, deep cultural changes* or “*small wins*.” Using Tom Peters’ original description of “small wins” as point of departure, Weick (1984) defines them as “a concrete, complete, implemented outcome of moderate importance” (p. 43). Small wins or tempered radicalism (Meyerson, 2001, 2004) are often touted as strategies to make organizations more hospitable to women. These may be small things like an individual not allowing a woman to be interrupted during a meeting or acknowledging that the idea being touted was first stated by the only woman around the table. Small wins by themselves may be insignificant but, “A series of wins at small but significant tasks . . . reveals a pattern that may attract allies, deter opponents, and lower resistance to subsequent proposals. Small wins are controllable opportunities that produce visible results” (Weick, 1984, p. 43).

The small-win strategy also stops short of major policy or structural changes and instead attempts to create micro changes to culture and practice that are highly gendered. For example, the organization may work to

desegregate gendered jobs and hire women into nontraditional positions and vice versa for the men. Work hours may be changed to allow for more flexibility. Rigid, long hours tend to disadvantage women, who are often shouldered with the bulk of dependent care. This type of strategy may ignore men's gender-related issues, such as parenting demands. This strategy has also been criticized for its instrumentality—small wins are often sought only when the changes enhance productivity, rather than overall organizational health and well-being. In addition, according to Romanelli and Tushman (1994), small changes do not result in organizational transformation, and thus organizations cannot achieve fundamental changes via incremental adjustments.

A fifth feminist change strategy involves *creating new organizational structures*. This approach is a more radical attempt to implement structural change that addresses all types of inequality in organizations. Typical interventions in this vein might be restructuring to reduce hierarchy, job rotation, leadership development, participative forms of management, and more egalitarian decision making. Such organizations are rarer, and sustaining such cultural change is difficult.

The final and most difficult feminist change strategy is *transforming gendered society*. This type of intervention seeks alternative models for organizing that promote social and systemic change over individualized change that has no hope of shifting a culture. These types of changes target marginalized and oppressed groups in society, including women as well as those disenfranchised on the basis of race, class, and so forth. There are few examples of such organizations.

This section has profiled feminist change strategies. Table 8.1 captures these strategies and their likely outcome within organizations.

Table 8.1 Feminist Change Strategies and Their Likely Outcomes

| <i>Change Strategy</i> | <i>Likely Outcome</i> |
|---|---|
| Fix the women | A few individuals succeed |
| Value the feminine | Virtually no change |
| Add women and stir | Slow, partial change with reversions |
| Make small, deep, cultural changes, dual objectives | Instrumental goals take precedence, gender goals lost |
| Create new organizational structures | Few changes survive long term |
| Transform gendered society | Rare, perhaps in South Africa |

Adapted from a table in Martin, 2003, p. 78, based on work by Coleman and Rippin, 2000; Ely and Meyerson 2000; Meyerson and Kolb, 2000.

A CRITICAL, FEMINIST HRD AGENDA

We have found the perspectives of feminism and critical theory helpful in our work to challenge dominant HRD theory and practice. Yet it seems that none of them offers a complete approach to addressing social inequity and advancing lasting, meaningful change. Therefore, we propose to draw from the aforementioned critical perspectives to offer our own view of how feminism, critical theory, critical management studies, and critical HRD can provide an alternative strategy to addressing these organizational and social problems.

Alvesson and Willmott (2003) offer a research agenda for critical management studies to include:

- Developing a non-objective view of management techniques and organizational process;
- Exposing asymmetrical power relations;
- Counteracting discursive closure;
- Revealing the partiality of shared interests; and
- Appreciating the centrality of language and communicative action.

This agenda supports a critical, feminist HRD approach and serves to challenge, question, interrogate, de-center, and reevaluate longstanding and accepted thoughts, mindsets, and practices in organizations and can lead to new conceptions about the roles of women. Additional components of a critical, feminist HRD agenda might include the following “strategies for critical challenging” (Bierema, 2010b, p. 33):

- Reflexivity—critical assessments of assumptions that frame thought and action;
- De-naturalization—questioning of in-place and accepted relations or prevailing notions in organizations; and
- Anti-performativity—challenging ideas that social relations should be “naturally” framed for their instrumentality (i.e., for production and profit).

Given the challenges and insufficient progress relating to HRD and gender, where should one begin in applying a critical, feminist HRD lens? There is no shortage of issues—in practice, research, or education—as HRD scholars and practitioners can examine areas such as oppression, marginality, sustainability, diversity, inclusion, learning and development, managerialism, sexism, violence, publication trends and practices, or a range of related arenas. There is plenty of work to do.

One useful place to start may be the aforementioned Academy of Human Resource Development's (AHRD) Standards on Ethics and Integrity. Referenced at the start of this chapter, these lofty standards exemplify both a vision and the gap between rhetoric and reality when it comes to gender in HRD. A critical, feminist HRD perspective can be used to reexamine the status quo, gains, gaps, and issues related to the six General Principles (competence, integrity, professional responsibility, respect for peoples' rights and dignity, concern for others' welfare, and social responsibility) (Russ-Eft, Burns, Dean, Hatcher, Otte, & Preskill, 1999, pp. 2–3), as well as many of the individual standards. How do you implement the HRD General Principles from a critical, feminist HRD perspective? It is long past time to start, and such work is necessary if we are ever to meet the original humanist vision for the field, practice, and study of HRD.

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CHAPTER NINE



Critical HRD

Sally Anne Sambrook

In this chapter, I consider various dimensions of critical human resource development (CHRD). Although these are presented separately, I suggest they are interrelated and weave together to form a holistic appreciation of the complexity of this approach to HRD. First, I review definitions of critical HRD to attempt to establish just *what* it might mean, as a concept. Second, I examine *why* critical HRD has emerged and why it might be a critical time for HRD, both for the field of study itself and for its wider global organizational and national consequences. Third, and related to why, I investigate *when* critical HRD emerged. Fourth, I identify *where* critical HRD has emerged, noting distinct geographical and disciplinary locations, with cultural and theoretical implications. Fifth, I identify who might be interested in critical HRD and for what reasons. Sixth, I explore *how* critical HRD can be achieved, focusing on how we can adopt a more critical perspective to our teaching, research, and practice.

WHAT

This section reviews definitions of Critical HRD, in an attempt to establish what CHRD might mean. Cognizant of the dangers in proffering *the* definition of any form of HRD (Lee, 2001), I explore facets that render this approach critical, and consider how it differs from orthodox HRD.

First, it is helpful to consider the various definitions of “critical” (Sambrook, 2009). Being critical suggests providing criticism (such as judging merit or pointing out faults), which relates to those involved in developing people, whether academics or practitioners, who seek to facilitate and provide feedback on learning. The term also refers to the nature of a crisis, and some might argue that HRD is in a crisis, given the debate about whether the label adequately reflects the broad and diverse range of activities associated with developing adults in the work context (Ruona, 2000, 2002; Short, Bing, & Kehrhahn, 2003; Walton, 2002, 2003), tensions associated with the growth of the coaching profession (Hamlin, Ellinger, & Beattie, 2008), and emerging

distinctions and deliberations about *human* development (Fenwick, 2011; Kuchinke, 2010; Sambrook, 2012a). The term “critical” can refer to marking a transition from one state to another, and such debate might mark the transition from a taken-for-granted acceptance of HRD as orthodoxy toward a new, critical approach, as evidenced by a critical mass of researchers and practitioners. It is this latter conception which underpins the notion of critical HRD.

There have been debates about the difficulties in defining HRD (Blake, 1995; Lee, 2001; McLean, 1998) as the foundational concept, and these also pertain to more recent “versions,” such as strategic, national (McLean, 2004), virtual (Bennett, 2009), and critical HRD. HRD itself is a contested concept, with three individual words, all with varying meanings and interpretations (Elliott, 1998). When combined into two or three, this creates further ambiguity and multiple interpretations (e.g., human development, resource development, human resourcing). When “critical” is added, this compounds the issue.

As a contested concept, this draws our attention to the importance of discourse—how we frame and talk about our activities. I have conceptualized HRD as a social and discursive construction, to connect ways of thinking, talking about, and practicing HRD (Sambrook, 2000, 2001). I have argued that HRD—and CHRD—have been talked into being, but can also be talked out of being (Walton, 2003). By conceptualizing HRD in this way, the focus is on developing methods of researching and understanding how HRD can be talked about and accomplished through selecting particular discursive resources to construct personal realities of this occupational activity. Early discourses focused on performance and learning, but we can detect other discourses, including more humanistic and emancipatory approaches (Rigg, 2005; Turnbull & Elliott, 2005), in helping individuals achieve their own aspirations and transform sociopolitical structures in which they exist (Trehan, Rigg, & Stewart, 2006). The “critical” discourse has entered the HRD arena, suggesting new and different ways of talking about and accomplishing our professional practices.

Trehan, Rigg, and Stewart (2006) state that Critical HRD is qualitatively different from HRD, yet, later, Trehan and Rigg (2011, p. 276) note it is still unclear whether CHRD “constitutes an incremental development of, or radical departure from, HRD.” Current conceptions of critical HRD include feminist critiques of HRD (Bierema, 2002, 2009; Bierema & Cseh, 2003); ethics (Hatcher & Lee, 2005); social responsibility; critiques of notions of knowledge economies and knowledge organizations; application of discourse analysis to HRD practice (Lawless, Sambrook, Garavan, & Valentin, 2011); critical reflection and reflexivity in learning (Cunliffe, 2009; Lawless, Sambrook, & Stewart, 2012; Vince & Reynolds, 2009); and HRD and identity construction, including lesbian, gay, and transgender perspectives (Collins, 2012; Gedro, 2007, 2010; Rocco, Gedro, & Kormanik, 2009; Schmidt, Githens, Rocco, & Kormanik

2012), and ethnicity (Byrd, 2007, 2008; Sims, 2009, 2010). This broad array suggests research in critical HRD encompasses an eclectic range of methodologies and methods.

In an attempt to achieve coherence, I conducted a concept analysis of critical HRD (Sambrook, 2009), identifying its key antecedents, attributes, consequences, and empirical referents. A summary and development of this analysis is presented in Table 9.1.

The *attributes* are those factors without which the concept would not exist. Attributes of critical HRD include: accepting multiple truths gained through different forms of knowledge construction; recognizing power (Schied, Carter, & Howell, 2001), politics, and emotion in HRD; questioning tradition and challenging contemporary practices; exposing assumptions, revealing illusions, and debunking icons; and facilitating emancipation. Being critical means recognizing the messiness, complexities, and irrationality—rather than the sanitized reason and rationality—of organizational practices. *Antecedents* include personal, organizational, and social factors. These include individual awareness of the attributes of CHRD; understanding and acceptance of one's role; political awareness and recognition of the boundaries of one's profession; motivation to change practice; willingness to allow learners control; excellent communication skills; trust and respect; a rejection of dominant positivism and performativity; and an ability to challenge cherished beliefs. At the organizational level, this requires democratic structures, meaningful job design, values of participation, learning, and personal development, an open culture with appropriate reward systems and adequate resources. Social factors include desire for democracy and emancipation, or social justice (Bierema & Cseh, 2003).

Consequences, or outcomes, include justice, equity, freedom, more democratic work production, improved (working/learning) relationships, more effective and relevant learning, enhanced transfer of learning, improved creativity and productivity, an acceptance of alternative approaches to knowing, and increased critical thinking, reflection, and action learning, that enhance emancipation, closely related to the interrelated precepts of CHRD (Fenwick, 2005). However, it is important to recognize there may be negative consequences (Brookfield, 1994), such as increased feelings of powerlessness (Lawless, Sambrook, & Stewart, 2012). The empirical referents are what we can see and hear of how critical HRD is articulated and accomplished, through dialogue, negotiated learning, employee voice, tolerance of diversity and critique, but can also manifest as stress. This concept analysis attempts to clarify what critical HRD is and encompasses the broad range of feminist, gender, and ethical dimensions mentioned earlier. Next, I consider why CHRD has emerged.

Table 9.1 A Concept Analysis of Critical HRD

| <i>Attributes</i> | <i>Antecedents</i> | <i>Consequences</i> | <i>Empirical Referents</i> |
|--|--|--|---|
| Multiple truths | <i>Personal factors:</i> Understanding and acceptance of one's role | Justice | Use of "we" rather than "them and us" |
| Epistemological diversity/ different forms of knowledge construction | Political awareness | Equity | Dialogue |
| Power, politics, and emotion | Motivation to change practice | Freedom | Negotiate learning needs and solutions |
| Ability to challenge | Willingness to allow learners control | Improved relationships | Voice of the learner is heard |
| Iconoclasm | Effective communication skills | More effective and relevant learning | Tolerance of diverse views |
| Emancipation | Trust in and respect for others | Enhanced transfer of learning | More qualitative and innovative research studies |
| Complexity | Rejection of positivism as dominant research philosophy | Improved creativity and productivity | More CHRD in practice |
| | Rejection of performance paradigm as dominant purpose | Acceptance of alternative approaches to research | HRD practitioners mobilize critique and action learning for emancipatory change |
| | Ability to challenge cherished beliefs | Critical thinking | Recognition of power and emotion |
| | <i>Organizational factors:</i> Democratic structure | Critical reflection | Personal stress |
| | Meaningful job design | Critical action learning | |
| | Open, blame-free culture | Empowerment and powerlessness? | |
| | Appropriate reward system, rewarding learning, risk, change as well as performance | | |
| | Adequate resources, e.g., time, money to provide space for critique | | |
| | <i>Social factors:</i> Desire for workplace democracy and emancipation | | |

Adapted from Sambrook, 2009.

WHY

Why has CHRd emerged—because of a failure of orthodox HRD or a lack of critical influence within the field of HRD? I examine the relevance of CHRd in the contemporary context and question whether HRD has been critical or complicit in the organizational and national difficulties we are currently facing. I propose CHRd will assume increasing prominence and practical relevance given the current global economic and ethical climate, if senior managers and policy-makers can be persuaded of its positive impact. However, is it realistic to assume that critical HRD professionals can alleviate the organizational ills of a burgeoning capitalist global economy? Maintaining a critical perspective, I also ponder whether CHRd is merely a social construction to elevate academic careers and perhaps fails to make any difference beyond higher education.

Recent events, including corruption in North American companies such as Enron, the recent global financial crises in the UK, Greece, Portugal, and Ireland, a culture of bribery in the Indian economy, and human rights issues in China, illustrate widespread greed and human violation in contemporary work organizations. What part might orthodox HRD have played in such scenarios, perhaps supporting—or certainly not challenging—the development of corrupt leaders in multinationals? HRD also has a larger role in some of these countries as part of national socioeconomic plans, and so is of even greater importance. In response, there is a growing voice that challenges us to question the interests served by HRD interventions—what goals and whose goals are we pursuing? Bierema and D'Abundo (2004) conceptualize HRD as being the conscience of an organization and how HRD professionals can help senior managers develop more ethical and sustainable organizational activities, although this is a highly ambitious (and perhaps precarious) task. So from a practical, social, and economic perspective, there is a need for HRD to become more critical.

Operating in a global, capitalist economy, it could be argued that anything other than a focus on performance is an unnecessary, costly social responsibility. This suggests a hard, calculative approach to HRD. Watson (1986) argues the purpose of HR is to obtain, exploit, and dispense with the work efforts of human beings, showing concern for human welfare, justice, or satisfaction only as far as is necessary to meet the interests of management, and always at least cost. Fenwick (2011) questions whether organizations responsible to shareholders will fund any human flourishing not concerned with improving performance. In this sense, the workplace can be conceived as an oppressive, exclusive, and self-serving system that works against societal values of justice, community, sustainability, and human development (Alvesson & Willmott, 1992; Fenwick, 2004). Hatcher (2004) notes the effect

organizations have on our lives, dominated by an economic and consumer ideology that promotes managerialist, performative ideals and develops compliant subservient employees, while disregarding democratic and social justice values. Cunningham (2004, p. 236) argues that social justice needs to be as important as economic advancement in society, noting that both HRD and adult education have important roots in democratic social change, not simply “tooling up workers.”

Therefore, critical HRD practice attempts to challenge this hegemony of capitalism by opening spaces to question taken-for-granted assumptions and consider more carefully why and how learning is encouraged and facilitated in work organizations. Vince (2005) argues that HRD practitioners ignore the wider politics of organizing. There are obvious contradictions in attempting to achieve social justice *versus* stakeholder wealth, and Hatcher and Lee (2005) ponder how we can resolve the conflict between democratic values and undemocratic workplaces. It appears unlikely that this more soft, emancipatory orientation could fit with the dominant capitalist economy. However, Watson (2004) proposes the notion of a “soft” hard approach, whereby capitalist goals can be met, but in more humanitarian ways. This resonates with the critical pragmatism proposed by Brookfield (2001, p. 20) that offers a “flexible pursuit of beautiful consequences,” but can also be accompanied by resistance and the potentially disruptive consequences of critical HRD. In this context, should HRD interventions serve the purpose of freeing humans—from capitalist exploitation and employment degradation (O’Donnell, McGuire, & Cross, 2006)? Or should they focus exclusively on organizational performance? Vince (2005, p. 27) argues that we need to ask “what function HRD has within the political systems of organizing, how and why HRD provides a mechanism for the control and manipulation of organizational members, and what role fear (or other such powerful emotion) plays in defining how HRD is and is not done.” A critical approach attempts to uncover what others take for granted and deal with issues of human concern that are often neglected because they are suppressed and excluded from the agenda (Burrell, 2001, p. 15).

Over the last few years, there has been a huge increase in scholarly activity around critical HRD. Rigg, Stewart, and Trehan (2007) state there are four main reasons for this “critical turn” in response to the predominance of “performative values”: (1) an unbalanced reliance on humanist assumptions; (2) an instrumental view of personhood and self; (3) “impoverished” HRD research, dominated by positivism, the reification of organizational structures, and independent of human agency; and (4) an HRD curriculum and pedagogy that pay minimal attention to issues of power and emotion. Billig (2000) argues, “Basically, when academics apply ‘critical’ to their own paradigm, discipline, or theory, the label tends to signal two related messages: (a) the new

paradigm/discipline/theory includes social analyses, particularly the analysis of social inequality; (b) the ‘critical’ paradigm/discipline/theory is opposing existing paradigms/disciplines/theories, which among other failings, fail to address social inequalities. As such, the critical paradigm signals its ‘other’—the mainstream, apparently uncritical paradigm” (p. 291). It is unhelpful to consider a “them and us” approach, and I argue that both the orthodox and critical voices should be heard and tolerated, if not integrated. We need to carefully consider why we engage in this “other” approach: to bring in more social analyses of learning and development in the workplace and to challenge the mainstream, orthodox approach, or to develop new courses, products, and our own academic careers? So when did a critical approach to HRD emerge?

WHEN

I trace the early theoretical roots of CHRD, through both critical pedagogy and critical theory/critical management, review its contemporary relevance, and consider future possibilities. I also examine whether this is a critical time for HRD itself: Will it survive in its current form or be overshadowed by the coaching industry (Hamlin, Ellinger, & Beattie, 2008), or has its time come to help manage current global challenges?

The concept of critique can be traced back to the 18th century to the work of Kant and Hegel. For example, Kant is associated with the epistemological dimension, challenging “reason” and “rationality” and questioning how we might know anything and what subjective forces influence our claims to knowledge (Burrell, 2001, p. 13). Hegel is associated with the social revolutionary dimension, seeking an end to illusion and the alienation of human beings from themselves. More recently, a distinct interest in “critical” theories emerged in the 1960s, a shift described by Ulrich (2006) as the “critical turn.” In the academic world, many disciplines or fields of study assert a critical paradigm, such as critical management or critical psychology. The use of the adjective “critical” conveys the characteristics of both maturity and difference in the given discipline.

Critical HRD has been largely shaped—or mediated—by two bodies of thinking: critical management studies (CMS) and critical pedagogy (CP), both informed by critical theory (CT). Woodall (2005) argued that critical theory (CT) has been noticeably absent in HRD theorizing, although perhaps more apparent in critical pedagogy (Brookfield, 2005). While few HRD scholars draw directly upon critical theory, Ramdhony (2010) proposed an *unmediated* approach, reverting to core critical theory literatures, such as the Frankfurt School—a form of self-reflective social theory rooted in a dialectical mode of thinking, which seeks to expose ideologies and social contradictions that are

potentially oppressive—although I suggest we cannot achieve a completely unmediated approach.

Tracing the management route, we can turn to organization and management studies to find an established history of thinking critically (Alvesson & Deetz, 1999; Alvesson & Willmott, 1992). Burrell (2001) reviews this work and notes that Critical Theory is associated with challenging “rational” organization practices and replacing them with more democratic and emancipatory practices. It is also concerned with identifying weaknesses and limitations of orthodoxy, the need for self-reflexivity, the empowerment of a wider range of participants to effect change, and explanations of social phenomena that are multi-dimensional, recognizing the tensions in and contradictions of managing and organizing. The phrase *Critical Management Studies* was “born” in 1992, as the title of an edited collection (Alvesson & Willmott, 1992), and chimed with developments within the business and management research community, predominantly but not exclusively in Europe (Grey & Willmott, 2005). Fournier and Grey (2000) identified a number of factors increasing the appeal of CMS, including the rise of managerialism, the crisis of Western (especially North American) management in globalized capitalism, and the crisis of positivism in management research.

We find evidence of critical thinking in human resource management (Legge, 1995). Thompson (2011) cautions that the construction of a special domain of critical HRM would be disastrous, so is it disastrous to construct CHRD? Thompson asserts that Delbridge and Keenoy (2011) are correct in their observation that mainstream HRM pursues a narrow and often myopic range of issues, but notes that the same could be said of CMS, and we should be less worried about managerialism and more focused on what management actually does or does not do. This draws attention to the need to focus on changing/enhancing HRD and managerial practice, rather than dwelling on discursive constructions and distinctions.

Elliott and Turnbull were probably the first scholars in the UK to consider HRD from an explicitly critical perspective and introduced their ideas at the Academy of HRD Conference in 2002. It could be argued that others were also engaged in a critique of the subject of HRD and orthodox ways of conceptualizing and researching (Sambrook, 1998) and defining HRD (Lee, 2001). Elliott and Turnbull captured this embryonic resistance and critique during a panel discussion at the conference that the methodological traditions that guide the majority of HRD research do not allow researchers to engage in studies that challenge the predominantly performative and learning-outcome focus of the HRD field. They sought to unpick the assumptions behind the performative orientation that dominates much HRD research and perceived the need to open up HRD theory to a broader range of methodological and theoretical perspectives. This first critical session in the U.S. was followed by a Critical HRD stream at

the 2003 CMS conference (Trehan, Rigg, & Stewart, 2002), and critical HRD has become a regular theme in the European and American HRD conferences.

The idea of Critical Pedagogy also has roots in the neo-Marxian literature on Critical Theory and predominantly the Frankfurt School. Giroux (2010) defines critical pedagogy as an “educational movement, guided by passion and principle, to help students develop consciousness of freedom, recognize authoritarian tendencies, and connect knowledge to power and the ability to take constructive action” (p. B15). Critical pedagogy has been heavily influenced by the work of Brazilian Paulo Freire, who argued that liberating educators “must be convinced that the fundamental effort of education is to help with the liberation of people, never their domestication” (Freire, 1970, p. 62). Freire encourages students to think critically about their education situation, allowing them to “recognize connections between their individual problems and experiences and the social contexts in which they are embedded.” Freire (1989) was concerned with developing “critical consciousness,” where learners pursue freedom through the recognition of a system of oppressive relations, and their own place in that system. Freire (1985) recognized the “politics of education” and insisted on consistency between the democratic values of critical pedagogy and classroom practice, including the teacher-student relationship (authoritarian or democratic) and syllabus choice (imposed or negotiated). These ideas have seeped into adult education (Bierema, 2008; Fenwick, 2004) and critical approaches to HRD. This leads to the consideration of where critical HRD occurs, both geographically and academically.

WHERE

Turning to where critical HRD occurs, there are similarities and distinctions between American and European approaches, noting, for example, the different contexts and underpinning theoretical perspectives (pedagogy, management/HRM). I note the Western dominance, with limited evidence of CHRD in Asian and African contexts, for example, but suggest these are emerging possibilities. Turning attention from a geographic to a disciplinary perspective, I also examine where CHRD is located in universities.

Critical HRD has been largely shaped by two bodies of thinking: critical management studies (CMS) and critical pedagogy (CP). Critical management studies (CMS), as its label suggests, adopts a management perspective, focusing on oppressive managerial practices. CMS has emerged largely in Europe, and its proponents tend to be located in business schools. With the interest in CMS, growing attention has turned to HRM, and more recently to HRD.

In the UK, critical HRD has been more influenced by CMS, and CHRD scholars tend to reside in business schools. However, as Elliott and Turnbull

(2005, p. 1) argue, “Despite the influence of the critical turn in management studies on HRD in the UK, HRD has nevertheless neither been subject to the same degree of critical scrutiny as management and organization studies, nor has it gathered together a significant mass of followers that might constitute it as a ‘movement’ in its own right.” Yet, a critical perspective is now growing in UK human resource development (Elliott & Turnbull, 2002, 2005; Rigg & Trehan, 1999; Trehan, Rigg, & Stewart, 2002; Sambrook, 2004, 2009, 2012b; Rigg et al., 2007; Valentin, 2006).

In contrast, critical pedagogy (CP) adopts a pedagogic perspective, focusing on oppressive teaching practices in adult learning. This has developed mainly in North and South America; its proponents are usually located in schools of education, although there are subtle differences in academic nomenclature (adult learning and/or HRD). Kuchinke (2007) notes the vehement critique of American business schools and cautions against HRD adopting the same functionalist, managerialist approach. It is interesting that, as a North American adult learning scholar, Fenwick’s (2005) integrated foundation of CHRD appears to reinforce Fournier and Grey’s work in CMS. In the UK, Valentin (2006), one of few British HRD academics located in a school of education, argues critical HRD encompasses similar themes, particularly transformative redefinitions. This last point is crucial. In theory, it is easier to problematize HRD, rather than solve practical problems. This suggests critical HRD might be more comfortably located within academic schools rather than in other organizational practice. Valentin talks of critical HRD lacking practical application, and Fenwick (2004) questions whether critical HRD is isolated, lacks impact, and is elitist.

A search for evidence of critical HRD in other (non-Western) countries and regions, such as Asia and Africa, yields very few results. Does this suggest that CHRD in these countries has not yet emerged in research, teaching, or practice, or that such an approach is denied (possible) or unnecessary (unlikely)? A review of papers presented at the American Academy of HRD International Conference in Asia up until 2008 (available on the AHRD website) hints at an emerging approach within this context, with reference to ethics and social responsibility, but no direct reference to critical HRD. However, this is a recent development (only the eleventh year for the Asian chapter and second for MENA in 2012), now combined to form a joint annual conference bringing together researchers and practitioners from Asia, the Middle East, and Europe as well as from United States, Canada, Australia, New Zealand, Africa, and South America. The theme of the 2012 conference was “HRD in Global Economic Crisis,” suggesting potential explicit relevance to critical HRD. Given the complex sociocultural, economic, and political issues, there are also calls for culturally appropriate critical HRD, for example, for refugees (Beltran-Figueroa & Ty, 2011) and recognition of issues of ethnicity and diversity, such as African skin color (Sims, 2009, 2010).

Identifying where critical HRD might be geographically and academically located draws attention to a variety of potentially different stakeholders.

WHO

Utilizing a stakeholder perspective (Garavan, 1995), who has—or might seek—a stake in critical HRD? Who might be driving/resisting CHRD, who is attempting to deliver this, who are the recipients and wider beneficiaries, and are these otherwise disadvantaged (through gender, ethnicity, age, disability)?

Internal stakeholders include employees, employee representatives (unions), managers, HRD professionals, the broader HRM function, senior management, and shareholders/trustees; external stakeholders include suppliers and customers, professional bodies, academic institutions, and governments, each with a reason why CHRD might be important—or not. For example, customers and citizens have a stake, through their right to informed customer service, sensitive to diversity. Suppliers and clients also have a right to fair, ethical treatment. Yet, professional bodies, such as the UK's Chartered Institute for Personnel and Development (CIPD), in its quest to prove the performativity of HR in general, might resist critical HRD.

Employees, particularly those marginalized by gender, age, education, ethnicity, disability, and sexual orientation, have a particular stake in critical HRD. They may seek the right to learn and be involved in setting their learning agenda, as well as have a responsibility to perform their roles effectively and act ethically. Managers and HRD practitioners have a stake through their responsibility to ensure an employee's right to learn regardless of gender, age, ethnicity, disability, etc., to achieve a win-win balance between (organizational) performance and (individual/collective) learning. Of course, there are tensions between managers' need to meet challenging production/service targets and the ability to release employees for study leave or allow them to pursue personal development. There are also potential political challenges between managers and HRD practitioners when HRD activity is devolved to pressurized managers. The management function may also resist critical approaches, which challenge their right to command and control workers. This leads to the question of how critical HRD can be accomplished.

HOW

This final section focuses on doing critical HRD through the interrelated activities of research, education, and practice. I turn to the pragmatic challenges of how to better know and understand (research), develop (education), and deliver (practice) a more critical approach to HRD.

Orthodox HRD research is dominated by the “scientific” approach, employing an inappropriate use of methods from the natural sciences within social sciences. I have argued that this creates epistemological, ontological, and methodological problems (Sambrook, 2009). Critical scholars call for other ways of “seeing” and researching HRD, drawing upon more interpretive philosophies and innovative methods among the growing range of alternative interpretative, collaborative approaches, and through different lenses. Our aim is to achieve this critical turn through transformative ways of researching to expose power relations and oppression in HRD practices, pedagogy, and research. One way is through critical constructionism, which calls for the practical application of critical theory.

Higher education is a prime site of critical HRD practice, where students have the potential to become future critical HRD practitioners and managers (Sambrook, 2010). Critical pedagogy appears somewhat at home in adult learning courses in American schools of education. In the UK, much HRD teaching occurs in business schools, where the curriculum is dominated by a managerialist and CIPD performance orientation (Lawless, Sambrook, & Stewart, 2012). In adopting a critical pedagogy, we can focus on radical content and/or radical process (Reynolds, 1997, 1999). We could be teaching the *content* of critical HRD, such as structures of power, domination, emancipation, equality of opportunity, and access to learning opportunities, and/or role modeling *process*. This involves examining our own power relations with students. This transformation is not unproblematic in attempting to achieve democratic relationships between teachers and learners and non-hierarchical forms of assessment, for example, and can lead to disruptive consequences such as dissonance, which Brookfield (1994) refers to as the “dark side” of critical reflection.

Trehan (2004) is concerned that, although critical approaches have been introduced in pedagogy, little appears to have been transferred to HRD practice. Rigg, Stewart, and Trehan (2007) also recognize that there is a disconnection between CHRD theory and practice, as being critical is “not so easy to expedite in practice as to articulate in theory” (p. 11). Critical constructionism calls for the practical application of critical theory. As scholars, we need to ensure our contributions are relevant to the practical “wicked issues” in contemporary organizations. We also need to be aware of how attempts at critical HRD are received in organizations, often met with resistance from dominant groups, whose interests may be thwarted by changes in power. There is also the danger of assimilation, where critical HRD is stripped of its “sociopolitical element” and emancipatory potential to be converted into a managerial toolkit to serve the interests of those in power while “leaving the superficial impression that a more critical approach has been applied” to the HRD process (Reynolds, 1999, p. 178). Adopting critical constructionism addresses

what Vince (2005) identifies as the political dimension. What is the role of HRD practitioners? Do they have a hand in potentially reinforcing control and manipulation? Are they mere implementers of corporate strategy or do they have a voice in shaping more ethical, meaningful work, supported by learning and development opportunities negotiated with employees?

For example, Ramdhony (2010, 2011) conducted research in the British National Health Service (NHS), drawing on the Frankfurt School of Critical Theory, and identified twelve CHRd roles. In particular, he noted what Alvesson and Willmott (1996) termed micro-emancipation, through the establishment of critical action learning sets, or CALS. These are micro-emancipatory, non-elitist, and non-performative versions of standard action learning sets, free from domination and power asymmetries, and built on free discourse as advocated by Habermas (1984) in his notion of an ideal speech situation. Such humble, local activities can provide valuable “small wins” or incremental gains for CHRd practice within the day-to-day experiences of organizations while reducing the risk of a full-blown opposition from dominant groups. They can be used, as Fenwick (2004) suggests, to target specific oppressive practices and help avoid utopian visions and moral evangelism.

CONCLUSIONS, CONTRIBUTIONS, AND IMPLICATIONS

Having examined the what, why, when, where, who, and how, the chapter concludes with a consideration of some of the “so what” questions. What is the impact of critical HRD, and for whom? For society, what are the wider economic and policy implications? For organizations, what difference might it make for improving the working lives of so many humans and—perhaps more importantly for many stakeholders—enhancing business performance? For HRD professionals, does this give us a new employer brand, is it ideal in theory but unworkable in practice, should it be our concern to help enhance the quality of work/life, and what are the ethical implications of pursuing emancipation (good/bad, and for whom)? For academics, is this merely strategic branding to accelerate prominence and promotion? Or, conversely, why risk cultural suicide in business schools dominated by managerialism and schools of education and psychology rife with positivism?

We should note Trehan's (2004, p. 23) concern that “while examples of critical pedagogies are accumulating, they seldom exhibit corresponding changes in HRD practice.” This suggests it is easier to teach CHRd than practice in a performance-driven organization. Furthermore, is it ethical to expose students to critical thinking when the consequences of such an approach might be opposed in their own work organizations (Lawless, Sambrook, & Stewart, 2012)? What is the place of such radical, democratic ideals in the

context of a performative orientation? Critical HRD has a crucial role in attempting to positively influence the values and behaviors of corporate board members and senior managers to pursue more democratic working practices that provide both profit and meaningful work. However, we need more evidence to demonstrate the tangible benefits.

To conclude, critical HRD is part of—yet in tension with—HRD. Critical HRD is certainly not the only way of thinking about HRD, but offers an alternative lens through which to think about our practice. If being critical signals a move from orthodoxy, we must be careful not to create a “them” and “us,” generating disrespect for diverse approaches. We need to consider the extent to which we have the power and influence to take this critical agenda forward and, more importantly, whose vision and goals are we struggling toward, whom are we seeking to emancipate, and why? In endeavoring to answer these questions, we must neither beware attempts to establish a new orthodoxy nor neglect our own reflexivity (Brookfield, 2001).

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Corporate Social Responsibility and HRD

Uneasy Tensions and Future Directions

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This chapter draws from published studies of corporate social responsibility (CSR) practices to present an overview of the practices, positions, and tensions of CSR with respect to HRD. For HRD, the call is to create a clear model for its own practices with respect to CSR and global responsibility and to develop specific approaches to foster learning about CSR practices within organizations as well as in curricula for HRD practitioners. The chapter offers principles and recommendations to help develop models for future HRD practices in organizations.

Corporate social responsibility (CSR) as a subset of business responsibility has evolved into a highly heterogeneous and contested set of values and positions (Fenwick, 2007, 2011). CSR is often understood as an ethical commitment by business to respond to a “triple bottom line” of social and environmental concerns as well as economic goals of sustainability. The *social* in corporate SR refers to non-shareholding stakeholders, who may include local or even global communities, government, customers, and interest groups, ranging from environmental lobbyists to religious, ethnic, and trade groups (Crowther & Rayman-Bacchus, 2004). Practices associated with CSR may include diverse emphases, such as increasing transparent accountability, focusing on ethical values, improving human quality of life in activities affected by the business, contributing to renewal of natural environments, or supporting local community endeavors (Fenwick, 2007; Whitehouse, 2006).

One key tension, particularly evident in the uptake of CSR ideals in HRD practice, has been confusion between rhetoric and activities about the actual purposes for adopting CSR (Fenwick, 2007). Exacerbating this has been the variety of ideologies and ethical perspectives called into play in the name of social responsibility (Whitehouse, 2006). Another tension has been confusion about just where in the organization, and with what accountabilities,

CSR activity is supposed to happen (Fenwick & Bierema, 2008). A third is the ubiquitous tension among the different stakeholders that CSR is meant to serve (Fenwick, 2011). Recently, some have challenged CSR to go even further to foster global responsibility and social justice (Berthoin Antal & Sobczak, 2004). Debates now focus on the distinctions, and relative significance, of CSR and global responsibility as instances of business ethics and practices of sustainability (Bergsteiner & Avery, 2010). Yet, despite these tensions and definitional confusion, corporate SR has clearly impacted the business environment by focusing public attention on socially responsible practices among businesses (Joyner & Payne, 2002; McWilliams, Siegel, & Wright, 2006) and producing SR-measurement instruments and international business alliances for CSR (Kell, 2003; Verité, 2006).

Perhaps particularly in an age when the public perceives a crisis of responsibility in organizations ranging from banks and universities to food processing and oil extraction plants, CSR opens pressing issues for all those leading organization development and change. For HRD in particular, the call has been to create a clear model for its own practices with respect to CSR and global responsibility (Kuchinke, 2010), and to develop specific approaches to foster learning about CSR practices within organizations as well as in curricula for HRD practitioners (Ardichvili & Abichandani, 2011). However, amid the confusion of meanings, purposes, and possibilities related to CSR, no less than to HRD itself as a highly heterogeneous field, a more pluralist and flexible approach might offer greater opportunity. The starting point should be an informed understanding of the practical issues, conflicting ideologies, and diverse perspectives that have featured in debates and empirical research about CSR more generally. This is the approach adopted here. This may signal a return to basics, so to speak, but it does provide openings for HRD to rethink what is at stake and what its role might most usefully be. The chapter begins by examining CSR as a contested set of discourses, then turns to the challenges in practicing CSR. The discussion concludes by exploring possible future directions for HRD working with and in discourses of CSR in workplace practice.

THE DISCOURSES OF CORPORATE SOCIAL RESPONSIBILITY

Before considering possible roles and practices for HRD in a CSR orientation, it is important to examine the vast body of CSR literature that has accumulated in the broader fields of management and organization studies. This literature ranges from the definitional to the prescriptive, alongside many empirical case studies now available documenting implementation processes,

outcomes, and stakeholder perspectives. The history of CSR is also useful to recognize. In 1994 in Caux, Switzerland, two key principles were adopted to guide corporate sustainability practices internationally, by a group representing over 150 international businesses who had begun to gather annually to discuss their shared concerns about ethics and responsibility in business. These two principles were fundamentally altruistic and rooted in a search to define business purpose as more than profit-making, but as committed to contributing to society: *kyosei* from the Japanese, meaning to live and work together for the common good, and *human dignity*, referring to the sacredness or value of each person as an end, not simply as a means to fulfill others' purposes (Crowther & Rayman-Bacchus, 2004). Thus, CSR had its roots in a genuine attempt on the part of some business leaders to make meaningful and substantive contributions to social and environmental well-being.

Since that time, businesses and governments have moved quickly to adopt the appealing notion of corporate responsibility within the general rise of social concern for sustainability, "green" practices, and climate change. As we can see, CSR is a relatively recent phenomenon that has now proliferated to encompass a continuum of activity that can range from the inspirational to the profane. The term itself is also now problematic, partly due to its more dubious enactments, and partly to that troublesome word "corporate," which excludes many organizations and tends to conjure associations of global power, self-interest, and even corruption sometimes assumed to be wielded by big business. Furthermore, corporate social responsibility has been defined and categorized so often and in so many ways, and turned into so many prescriptions and interventions, that it may appear to be finally emptied of all meaning.

But CSR is actually a set of contested discourses, not a movement. These different discourses—of public relations, environmental renewal, philanthropy, global fair trade, transparent financial transactions, local protection, and so forth—are mobilized by different interests and framed by different understandings of responsibility and of the social in relation to an organization. There does not exist a singular, ideal set of values and practices for CSR that all organizations should strive to attain. Nor is it useful to attempt to meld together the diversity to produce a single definition. Some have tried, but the result is either a definition so broad that it encompasses conflicting or impossibly ambitious purposes, or so minimalist that it forecloses a range of possible activities.

The most widely recognized and oft-cited CSR discourse is that of the "triple bottom line": a commitment by business to respond ethically to social and environmental concerns through accounting to (1) the investing shareholders, (2) the natural environment, and (3) the non-shareholding stakeholders. However, as critics have pointed out, these stakeholders seem to lump

together an impossible range of bodies, including whatever is meant by “local community,” government, customers, employees, trade unions, and interest groups ranging from environmental to religious and ethnic (Clarkson, 1995; Coelho, McClure, & Spry, 2003). Ethical demands of the diverse stakeholders involved in the “triple bottom line” also pose conflicting definitions of the “good” for business: fiduciary responsibility to company shareholders, utilitarian demands to provide greatest benefits to the greatest number, virtue demands to behave as a “good” corporate citizen in a particular context, duty demands to enact ethical principles (honesty, justice, respect), and transactional demands to compensate local communities fairly for the corporate footprint and economic gain.

Thus, a second discourse might be called that of “strategic stakeholder relations.” This literature suggests that CSR is about classifying, understanding, and prioritizing these diverse stakeholder needs, on the one hand, and the extent of a particular organization’s corporate responsibility to them on the other (Coelho, McClure, & Spry, 2003). Activities for CSR would be drawn from the wide range of prescriptions that are often on offer across at least seven categories. Because these demands even in part would be impossible for any organization to satisfy, the point is to be carefully selective within the overall organizational strategy: renewing natural environments; enhancing local community well-being; promoting rights of employees as well as suppliers, competitors, or customers; transparent and honest accountability; legal and honest operations; general commitment to improving quality of life; and even global citizenship to promote social and environmental justice (Crowther & Rayman-Bacchus, 2004; Hopkins, 2003).

Because the ecological commitments of CSR can enhance corporate image so effectively, it has sometimes been adopted strategically as a discourse of “public relations.” In fact, in one study that set out to examine the meanings and uptake of CSR in HRD departments of large corporations in Canada and the United States, the researchers were often told to contact the public relations or marketing departments of these organizations (Fenwick & Bierema, 2008). In most of these organizations, CSR activity was focused more on external visible activity than on internal company operations, such as public reports documenting the organization’s ecological footprint, philanthropic efforts and community outreach activities, and conflict resolution measures undertaken to resolve differences between the firm and community groups or stakeholders. While this PR orientation is sometimes treated dismissively by HRD writers (e.g., Ardichvili, 2011), some key stakeholders view it as important public commitment by organizations: a starting point and an opening for dialogue.

Moving toward CSR discourses on the more altruistic end of the spectrum, one that appears common in smaller organizations is what we might call

a “good neighbor” orientation. Examples of this are reported widely in the literature (Jamali, Zanhour, & Ksehishian, 2009; Jenkins, 2006; Lepoutre & Heene, 2006). Here CSR is focused on local community, contributing to local initiatives, educating local customers in social or environmental issues, partnering with local agencies promoting social justice, making space available for community activities, fostering exchange and recycling initiatives in the community, and so forth. Another, more rare, CSR orientation can be represented as a discourse of “social transformation” (Fenwick, 2011). Unlike the good neighbor orientation, which limits its activity in scope to improve local community life and without necessarily disturbing its core structures (and potentially alienating customers), “social transformation” organizations are dedicated to promoting emancipatory change in their communities and more broadly.

A radical CSR orientation that deserves mention might be called the “global responsibility” discourse. This has been argued to go “beyond” CSR to embrace the complexity of major social and environmental problems across nations and corporations (Berthoin Antal & Sobczak, 2004). Thus, corporations are exhorted to find meaningful involvement in issues such as HIV/AIDS, food scarcity and drought in affected regions, youth unemployment, climate change, and so forth. An echo of this discourse has emerged in the HRD literature, too. Ardichvili (2011), for example, appeals to HRD to take on global social justice, sustainability, and global citizenship. Kuchinke (2010) calls for HRD to reorient itself to global human development for “human flourishing,” drawing from Amartya Sen’s concepts of capabilities for expanding human freedoms. This call suggests that HRD has, with global mobility of workers, new responsibilities for broader social, economic, and political goals, as well as new opportunities to shape global organizations.

The problem is when any one orientation or discourse is pronounced “true” or superior, regardless of an organization’s unique context and the multiple factors of feasibility at play. Businesses can and have faced demise through over-zealous pursuit of altruistic CSR activities. Arguably an important role for HRD to play is in helping to clarify these discourses of CSR and their underpinning ideologies—both for HRD practitioners and for organizational leaders and employees. Simply advocating one preferred discourse, such as global responsibility or social transformation, may be a rather naïve and alienating approach when HRD is all about working with and through other people. Further, HRD can make important contributions to assist organizational members to identify the relevant limitations and key accountabilities of their context, and to imagine possibilities of different practices associated with a particular CSR approach that might work for them. This HRD role will be discussed in more detail further on.

CHALLENGES AND TENSIONS OF PRACTICING CSR

Before considering the specific challenges that attend an HRD role in promoting CSR in organizations, it is important to understand more fully the inherent tensions of translating the discourse and agendas of CSR into organizational practice. Perhaps the most pervasive and difficult challenge goes back to the confusion in definitions, perspectives, and purposes of CSR. Studies have revealed wide-ranging meanings and practices, all in the name of corporate SR across organizations, and even within a single organization (Joyner & Payne, 2002; McWilliams, Siegel, & Wright, 2006; Whitehouse, 2006). Aside from the diverse discourses of CSR discussed earlier, some firms and managers believe that CSR is simply new language for old business commitments to philanthropy and being good citizens (Joyner & Payne, 2002; Whitehouse, 2006).

Internally, not surprisingly, levels of understanding and ethical commitment to CSR principles also range widely within companies (Hemingway & MacLagan, 2004; McWilliams, Siegel, & Wright, 2006). Employee resistance is a particular problem facing some managers who have tried to implement CSR (L'Etang, 1995). The public also can be ethically unpredictable, ultimately choosing lower prices over more responsible business practices, despite their apparent demands for corporate social responsibility (Davidson & Hatt, 2005). Businesses that have attempted to transform practice by, for example, switching to more expensive environmentally friendly or fair trade products have been shown to struggle in educating and persuading their customers to change their consumption patterns (Fenwick, 2011).

What are taken to be the fundamental purposes for investing in CSR also can differ within and across organizations, mobilizing contesting interests and practices. For example, as we saw in its different discourses, CSR may be taken as strategy to enhance a firm's public image or increase profits (McWilliams, Siegel, & Wright, 2006; Porter & Kramer, 2006). A strategic approach in HRD, for instance, focuses on how responsiveness to employees can increase profitability (de la Cruz Déniz-Déniz & de Saa-Pérez, 2003). However, other managers or employees adopt a more altruistic purpose, related to humanitarian CSR discourses such as neighborly caring, social transformation, and even global responsibility that may or may not reap material benefits for the firm (e.g., Berthoin Antal & Sobczak, 2004; Kell, 2003). These orientations of ethical or economic CSR may be viewed as mutually exclusive (see Windsor, 2006) or as varied interpretations intersecting with other dimensions such as locus of responsibility (Hemingway & MacLagan, 2004).

A second major challenge is the contested ethical responsibility owed by businesses undertaking CSR: Who is responsible to whom and for what, precisely? Despite growing business practices of "sustainability," critics indicate

dissatisfaction at the achievements (Davidson & Hatt, 2005) or charge that CSR is corporate smoke-and-mirrors that camouflages business resistance to systemic change (Dobbin, 1998). Others argue that a corporation's defining and sole ethical responsibility is to create profits for shareholders, and that a CSR agenda is a vague project that serves neither shareholder interests nor public good (Husted & de Jesus Salazar, 2006). This is an important argument, for it highlights the problems of an idealistic manager, or even HRD practitioner, who desires to implement personal values within a structure currently defined by corporate law and capitalist forces.

A third obvious set of CSR challenges relates to the perception that its practices are too costly, difficult, time-consuming, or removed from core business goals to be worthwhile (CBSR, 2001). Levels of genuine commitment to the ideals range widely within companies (Hemingway & MacLagan, 2004; McWilliams, Siegel, & Wright, 2006), and employee resistance is a particular problem facing some managers interested in corporate SR (L'Etang, 1995). Stakeholders to which the business might be considered responsible also, as noted earlier, bring conflicting interests (Coelho, McClure, & Spry, 2003). Henderson (2002) argues that the lack of clear criteria for responsibility in SR opens business decision making to special interest group lobbying and can end efficient enterprise by erasing the bottom line.

Related to cost issues is the relative lack of substantive support for CSR from governments. It is interesting to note that, while much state policy appears to promote CSR, little regulation or incentive actually exists beyond rhetorical enthusiasm. In Canada, for example, the federal government promotes corporate SR mostly through information and toolkits (Industry Canada, 2008) and tax credits for corporate charitable giving. Regulations promoting CSR are limited to minimum standards for environmental protection and health and safety, or reporting requirements for financial institutions exceeding \$1 billion in equity (Industry Canada, 2008).

There are tensions, too, in translating CSR ideals into different types and sizes of organization. The triple bottom line CSR discourse, with ideals ranging from preserving natural environments to global citizenship, tends to assume a business model based on a large corporation. HRD practitioners may be based in these large organizations, but not always; and certainly HRD firms often are called to consult to small and medium enterprises as well as large firms. Furthermore, real strides have been taken in the SME sector to implement CSR practices and deal with the tensions head-on in ways that HRD practitioners would do well to study. Smaller enterprises are particularly hit by challenges of slim resources and profit margins, loan recall vulnerability, constant work overload in everyday operations, and networked structures of production that potentially make diffusion of new practice such as SR difficult (Lepoutre & Heene 2006; Perrini, Russo, & Tencati, 2007). But despite

these difficulties, strong commitment and unique approaches to SR have been documented among smaller business owners and owner-managers. For instance, Aragón-Correa, Hurtado-Torres, Sanjay Sharma, and Garciá-Morales (2008) found that size and resource scarcity was *not* a major deterrent for firms' adoption of environmental practices, and that SMEs adopted not just "reactive" environmental measures but also "proactive" initiatives (such as pollution control and exercising leadership in environmental protection). The key to adoption apparently was strategic organizational capability: instead of adopting one-off practices, SR success depended upon implementing "a systematic pattern of simple but multiple, consistent and coordinated practices that simultaneously reduce environmental impacts and organizational costs" (Aragón-Correa, Hurtado-Torres, Sanjay Sharma, and Garciá-Morales, 2008, p. 99). Jenkins (2006) showed a similar pattern among UK enterprises that demonstrated "exemplary" CSR practice: successful implementation depended on integration of SR in all aspects of business practice, not as an external add-on but as core to business operation.

Another important set of tensions found in CSR practices is related to the degree of embeddedness of a firm within its local communities and the extent of its close personal relationships with key suppliers, community partners, and employees (Jamali, Zanhour, & Ksehishian, 2008; Murillo & Lozano, 2006; Perrini, Russo, & Tencati, 2007). These characteristics have been found to have strong influence not only on small and medium enterprises, but also on firms operating in particular cultures where communities and customers expect a certain reciprocity. A major motivation for CSR behavior may be customer loyalty and local business reputation (Kusyk & Lozano, 2007). Also, in smaller organizations, the owner/manager may enjoy high autonomy in influencing the vision, values, and direction of the firm toward SR practice (Jenkins, 2006). More open and fluid communication enables diffusion of CSR values and information. Less hierarchy and greater flexibility allow these organizations to respond more quickly to CSR-related opportunities. However, Kusyk and Lozano's (2007) large review also shows clearly that CSR champions' values and strategies are always subject to the firm's multiple stakeholders, the power of their relative demands, and their different pressures in particular contexts.

Clearly, these diverse perspectives need to be articulated in any organization that is implementing some version of "CSR." The diversity also needs to be mediated in some way to reconcile differences and formulate a coherent vision. Because many of these positions are normative, there is not necessarily one best formulation of CSR. However, there can be many problematic orientations for a particular organization that are too expensive, too ambitious, too misaligned with the organization's main business and responsibilities, or too difficult to mobilize in terms of employee and stakeholder support.

This is precisely where thoughtful people with a mandate of human resource development can make a contribution.

HRD WITHIN CSR

In a study conducted back in 2006 to examine HRD managers' engagement in CSR, we found that few had any involvement or even saw much relevance for their CSR practices (Fenwick & Bierema, 2008). Some indicated discomfort in speaking about their companies' CSR policies, and most indicated that CSR initiatives were designed and implemented without integrative participation of the HRD unit. Many who did indicate interest in CSR tended to interpret it as good human relations in an organization, such as policies promoting employee equity or safety or providing staff training to enable them to be successful in their work (Fenwick & Bierema, 2008). In general, it seemed that no discourse of CSR was penetrating the HRD practitioners' sense of their role.

This situation may have changed, judging from recent papers recounting the involvement of HRD practitioners in CSR. MacKenzie, Garavan, and Carbery (2011), for instance, suggest that HRD's role may be shifting beyond training and development to becoming gatekeepers of ethical behavior and CSR. In particular, these authors show the ways in which HRD professionals may be instrumental in developing an ethical frame as well as an ethical climate and culture. Strategies attempted by HRD have targeted various levels of the organization from vision/mission and infrastructure development to staff training. These strategies range from ethical awareness programs or communications about CSR commitments/performance to CSR policies and socially responsible HRD procedures (Garavan & McGuire, 2010).

These movements present promising new directions on which to build. However, there continue to be challenges and dilemmas in these sorts of adoptions that are worth pausing to note. One is the personal orientation of many HRD professionals, who may not necessarily view—or be allowed to enact—a role as purveyor of ethical frameworks and developer of ethical cultures. MacKenzie, Garavan, and Carbery (2011) highlight results of an American survey in which 58 percent of responding HRM professionals did not agree they were “part of the ethics infrastructure” in their organizations but only to enforce ethics violations. Garavan and McGuire (2010) draw attention to the double bind of HRD that may be committed to a triple bottom line but struggling within an organization's half-truths and ambiguities about CSR. Bierema (2009) fears that, as the financial operating environment becomes more and more challenging, HRD's close association with management may instigate a return to focus on financial bottom lines

and shareholders. At the extreme end of this challenge, HRD can be confronted by unethical organizational behavior, irresponsibility, and even corruption (Pinto, Leana, & Pil, 2008). Some researchers are now trying to understand how particular values of responsibility, and even of hope, can be produced in organizations (Giacalone, Jurkiewicz, & Deckop, 2008).

What, then, might be practical roles and promising practices for HRD professionals employed by or providing consulting services to different types of organizations? What realistically are the productive entry points for HRD, given its overall remit and activities in organizations? Scanning the CSR literature to date, five general approaches might be suggested, all of which work well within the scope of most HRD practice in organization development, employee learning, recruitment, assessment, and management. These five CSR interventions for HRD are articulating, implementing, assessing, leadership development, and external linking. They are elaborated in turn in the following paragraphs.

As was clear in the first section of this chapter, there are multiple discourses of CSR, not one single definition or ideal. These discourses are driven by different purposes and priorities for the organization's core business and for its interest in CSR. They are shaped by the particular circumstances, cultural-historical location, and community issues confronting the organization. A key role for HRD is assisting with the *articulation* of these discourses. Given that confusion of meanings is one of the most frequently mentioned difficulties of CSR, HRD practitioners can help sort and clarify these meanings. They can provide information that dispels myths and cuts through naïve altruism, and they can show how different discourses do different work and produce different images, objects, and practices. They also can facilitate occasions for the organization's staff and leaders to surface, through dialogue, their own values and desires with respect to these discourses functioning in their own organizations. An orientation of articulation moves away from advocacy of any one particular "ethical" position to focus on clarifying priorities, values, and conflicting stakeholder demands within a particular environment.

In conjunction with articulating a particular CSR orientation and priorities that are feasible for a particular organization, HRD is well placed to help orchestrate the *implementation* of activities for organization development that can help focus this orientation and align the rhetoric with practice. In designing and implementing an initiative for CSR in any particular firm, the challenge here is not dissimilar to undertaking any new initiative for organizational reform, which HRD practitioners understand well: making visible the different perspectives, clarifying points of difference, and working with all participants to find common language and commitments. What has been particularly highlighted in studies of CSR implementation is that top-down mandates are not so successful as organizational learning strategies working

bottom up from principles of emergence (Fenwick, 2007). HRD professionals are familiar with a range of process methods that are most effective in implementing new initiatives across organizations, such as soliciting local champions, experimenting through small pilot actions or action inquiry groups, or targeting one practice for collective policy development.

Assessment of performance and learning is also an activity in which HRD professionals excel, and which can be used effectively to mobilize activity. What is evaluated is what gets done, goes the old saw. HRD can help fashion assessment criteria and identify data sources that go beyond external audits to also target particular internal dimensions of the particular CSR aim that is agreed to by the organization. HRD also can develop assessment processes that provide multiple feedback loops to the organization about its achievement. Here is where organizational doublespeak or ambiguous rhetoric can be flagged and issues raised for discussion, such as inconsistencies between practices and purpose.

Leadership development is another opening for HRD influence on CSR in a particular organization, as Andreadis (2002) has noted. Numerous studies have shown that many managers are committed at a personal level to principles of public responsibility, concern for social issues, and a sense of reciprocity or “giving back” to society (Jamali, Zanhour, & Ksehishian, 2008; Jenkins, 2006; Kusyk & Lozano, 2007). Sense-making is one approach that may be particularly pertinent in efforts to engage leaders in understanding and pursuing a CSR agenda. Basu and Palazzo (2008) offer an in-depth model of sense-making for CSR that can provide a frame for the totality of HRD’s role and practice in promoting CSR, including leadership development. Here is where the HRD professional must be not only an expert listener and facilitator, but also sufficiently informed about the different discourses of CSR to help leaders to make sense of these different orientations, their relevant benefits and adversities, the emphases that can make most sense to their own organizations, and the strategies that are most feasible.

A final and important role for HRD professionals who want to promote CSR is *forming external linkages*. Networks with HRD groups and the organization’s own stakeholders are important, but other kinds of linkages can spark fresh ideas, enthusiasms, strategies, and supports. Such linkages may seek out adult educators, social justice and environmental organizations, higher education partnerships, and global forums. For example, the Global Compact, an organization partnered with the European Foundation for Management Development, provides a learning forum to help business schools and companies jointly develop their capacities for global responsibility. Companies share case studies illustrating their CSR practices. Academic review and peer discussion of these cases is facilitated at leaders’ summits (Global Compact Learning Forum, 2004).

For HRD working with and in discourses of corporate social responsibility, these roles or activities are offered as points of departure rather than as a typology of prescription. Any one of these—articulation, implementation, assessment, leadership development, and forming external linkages—can provide an entry point for considering effective ways to influence organizational practice. They are definitely not intended to be read as a continuum (e.g., weak to strong or micro to macro) or as a developmental sequence (steps 1 to 5). The key point here is to encourage HRD professionals to resist singular utopian ideologies or large scale “ethical” transformations. There exists no one best or true CSR anyhow, except in the minds of those who long for a world that conforms to their own worldview.

CONCLUSION

Corporate social responsibility may have begun as a loose set of ideals, but has since proliferated to the point where it now exists as a contested set of discourses. Some of these have been delineated in this chapter as, for example, the triple bottom line discourse, or discourses of strategic stakeholder relations, public relations, good neighbor, social transformation, and global responsibility. Discourses function as disciplinary tools of control: they enmesh power with particular kinds of knowledge and circulate to actively produce particular regimes, subjects, and practices.

Across all of these discourses of corporate social responsibility, certain unsurprising tensions continue to manifest themselves. These were discussed in the second section of this chapter. Some are more practical in nature, such as challenges of feasibility and costs associated with CSR practice. Others stem directly from the central contradiction between altruistic social and environmental commitments and economic accountabilities to the market. More precisely, the global market has spawned an era of hyper-competitiveness and fiscal anxiety in what Sennett (2006) calls the new capitalism, which has produced unprecedented contingency, emphasis on short-term results, intensification of workload and workplace, and loss of institutional loyalty and trust. There is no mystery here why ideals of “ethical culture” and “global sustainability” pronounced for organizations would produce conceptual and practical confusion, doublespeak, or outright employee and customer resistance, to invoke again the challenges described earlier.

The invitation for HRD with/in CSR, it is argued here, is to step aside from stirring visions of ethical evangelism or transformation of capitalism for global sustainability. Instead, the call is to focus on everyday practices that can be affected. Seek the small entry points and fissures where something new can be inserted. Find the ambivalences where new framings can

be tolerated. Work with other levers of pressure leaning on the organization. This is an approach that Meyerson (2001) called “small wins,” in her writing about how to change gendered relations and structures in organizations. There is much that HRD professionals can learn from the many cases, models, and definitions, such as those reviewed in this chapter that illustrate diverse CSR approaches. Perhaps the most important learning is discernment. This is not just about discerning the different concrete possibilities that are available and being open enough to recognize their benefits, even if they fall short of personal visions either for global citizenship and justice or for increasing financial returns and organizational productivity. It is also about clear-eyed discernment of what, exactly, an organization can or should feasibly undertake given its size, history, sociocultural environment, financial situation, and leadership. As argued earlier, organizations comprise stakeholders with wide-ranging perspectives: some are narrowly self-interested, some open to dialogue, and some alienated by anything that is perceived to reflect naïve idealism. HRD has a responsibility to work with and through these stakeholders, understand their views, and find openings for action and persuasion that can change practice. HRD staff in work organizations must walk tightropes across contested terrain: they do not have the luxury of university researchers or adult educators, who can pronounce radical visions of democratic capitalism and global human development.

Wherever one's own orientation may lie, the public increasingly demands some CSR acknowledgment from organizations. HRD professionals are well placed, as many have argued, to help develop clarity, sense-making, and strategic activity within their work communities. Their skills in communication, facilitation, development, and assessment are precisely what is needed, alongside a nuanced and discerning understanding of CSR and the different possibilities afforded through different CSR uptakes. This is a pluralist, flexible approach. It may be less inspiring, but it is ultimately more realistic and fruitful than utopian visions.

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PART III



DEVELOPING THE WORKFORCE



Expertise Through the HRD Lens

Research Trends and Implications

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The term “expertise” is often associated with one who has years of experience, demonstrates consistent and successful task performance, and has the ability to undertake complex problem solving faster, easier, and more accurately than others. Ericsson and Lehman (1996) describe superior performance as the core criterion for defining expertise, with the top 10 percent of practitioners within a domain being experts. Swanson (1994) describes employee expertise as the performance fuel of the workplace. As such, in organizations, experts are juxtaposed with novices, and the difference between the two makes experts revered and sought after for their high performance and decision-making skills.

This chapter begins by defining expertise both broadly and within the field of human resource development (HRD), followed by current understandings of expert characteristics. Then emerging developments in the study of expertise, as these relate to HRD, are presented. Finally, the conclusion addresses gaps in our current understanding of expertise and how HRD scholars might tackle these in the future.

EXPERTISE DEFINED

Expertise has been defined as both the content-specific knowledge about a certain subject matter, as well as necessary procedural knowledge about particular processes (Chi, Glaser, & Farr, 1988). According to Nunn (2008), expertise is not finite, but instead, is an ongoing process requiring both significant and complex sociological influences, stemming from individual (e.g., values) and situational (e.g., cultural) factors (Martinovic, 2009).

Within HRD, expertise is often similarly defined as a combination of traits and skills, accompanied by years of experience (Ericsson, 1996; Goldman, 2008). According to Herling (2000), who put forth an operational definition of expertise within HRD, “Human expertise can be defined as displayed behavior within a specialized domain and/or related domain in the form of consistently demonstrated actions of an individual that are both optimally efficient in their execution and effective in their results” (p. 20). More specifically, experts, in the process of engaging in their craft, combine the objective characteristics of knowledge, experience, and problem solving (Herling & Provo, 2000) with subjective characteristics that are perceived by someone else as an indication of their knowledge, abilities, or skills (Germain, 2006a).

Objective Characteristics

Objective characteristics (Germain & Tejada, 2012), similar to what Grenier and Kehrnhahn (2008) termed “acquired expertise,” result from years of experience and include dimensions that can be verified or assessed, such as knowledge, skills, or qualifications. Knowledge is the basic premise in the study of expertise and is considered by most to be initially domain-specific and formal (Mieg, 2001). Knowledge includes local, exclusive, scientific, and practical knowledge and, according to Glaser and Chi (1988), is demonstrated through experts’ ability to (1) perceive large meaningful patterns in their domain; (2) be fast and quickly solve problems with little error; (3) demonstrate superior short-term and long-term memory; and (4) see and represent a problem in their domain at a deeper (more principled) level than novices can. Skills refer to particular abilities to perform a given task, such as the ability to work effectively with technology or to lead a team of employees (Chi, Glaser, & Farr, 1988). Qualifications are qualities or accomplishments that make an employee suitable for a specific job. These can include a degree obtained and years of experience in the field (Chi, Glaser, & Farr, 1988). Of particular relevance to the study of objective characteristics of expertise and identification of experts is the process of problem solving.

Experts are expected to demonstrate superior problem-solving skills, and researchers (Chi, Glaser, & Farr, 1988; Larkin, McDermott, Simon, & Simon, 1980) have established that experts solve problems differently than novices do. Through sophisticated schemata, experts can access information about the goals, facts, constraints, procedures, and potential solutions for particular problems (Palumbo, 1990) and can transition quickly from identifying a problem to choosing and implementing solutions. Experts are also repeatedly expanding their expertise through the reintegration of their mental resources to reformulate basic problems at greater levels of complexity (Bereiter & Scardamalia, 1993). That being said, when compared to novices,

researchers (Chi, Glaser, & Farr, 1988) concluded that experts see problems at a deeper, more principle-based level than novices do. These sorts of comparisons have been made in a range of domains, including aviation (e.g., Fischer, McDonnell, & Orasanu, 2007), medicine (e.g., Reischman & Yarandi, 2002), and software engineering (Höfer, 2011). Other examples include the study of financial planners. Hershey, Walsh, Read, and Chulef (1990) found that expert financial planners solved problems more quickly and with fewer overall steps while appearing more goal-directed than novices. Likewise, in educational leadership research, Brenninkmeyer and Spillane (2008) tested the hypothesis that expert principals use more expert processes, while typical principals use more typical processes. The study found that expert principals relied heavily on data gathering across all instructional scenarios and spent more time than typical principals following up on proposed solutions when solving problems.

Subjective Characteristics

In addition to the objective characteristics of experts, it is important to consider, as Staszewski (1988) surmised, that experts are made, not born. As such, subjective characteristics, or what Germain (2006a) and Grenier and Kehrhahn (2008) termed “innate characteristics,” tend to be indicative of basic behavioral patterns alongside some critical thinking skills that are often inherent and may serve as prerequisites for domain-specific expertise (Kuchinke, 1997). Scholars have identified subjective characteristics, including having ambition, being driven, having the ability to improve oneself, having charisma (Smith & Strahan, 2004), having the ability to deduce (Bédard, Chi, Graham, & Shanteau, 1993; Germain & Tejeda, 2012), being intuitive and able to judge the importance of some situations (Smith & Strahan, 2004; Germain & Tejeda, 2012), having self-assurance, high interpersonal skills, adaptability, self-confidence, and/or an outgoing personality (Bédard, Chi, Graham, & Shanteau, 1993; Germain & Tejeda, 2012; Grenier & Kerhahan, 2008). These are the behaviors that, according to Weiss and Shanteau (2003), are or are not expert.

EMERGING DEVELOPMENTS IN EXPERTISE SCHOLARSHIP

Despite Chermack's (2003) statement that “pushing for expertise in organizations is what leads to strategic competitive advantage” (p. 370), there has been limited exploration of expertise in HRD and organization development. Expertise is often mentioned as an organizational goal (e.g., Beusaert, Segers, & Gijssels, 2011; Johnson & Leach, 2001), used as a benchmark for competence (Camuffo & Comacchio, 2005), or employed as a means for

understanding desired organizational or employee characteristics (Avey, Luthans, & Youssef, 2010), but for a few exceptions (see Germain & Ruiz, 2009; McQuade, Sjoer, Fabian, Nascimento, & Schroeder, 2007; Swanson, 2003; Valkevaara, 2002), the specific study of experts or expertise in HRD literature is narrow. One example of the limited understanding of expertise in HRD is in the study of how expertise is learned or how individuals learn once they attain expertise.

Research exploring how individuals become experts or the differentiation of expert and novice learning has been somewhat addressed in the HRD literature in areas of training and development (e.g., Swanson & Falkman, 1997; van der Heijden & Brinkman, 2001) and public and nonprofit institutions (Evers, Kreijns, van der Heijden, & Gerrichhauzen, 2011; Grenier, 2009). However, the research literature in these areas does not specifically address the learning that occurs at an expert level. Scribner (1984) and Benner (1984) attempted to fill this gap by exploring how experts' learning is embedded in practice. This was followed by Daley (1999), one of the first adult education and HRD scholars to test stage models to understand the link between learning and the development of expertise. She analyzed the different learning processes undertaken by novices and experts and found that experts learned through a constructivist process of integrating concepts and self-initiated strategies. Moreover, she found that experts were different from novices in that experts could articulate systemic issues affecting their learning, while novices identified disparate individual issues.

Current HRD research focuses largely on understanding the expert and her or his characteristics or, as in Daley's study, on the progression to expertise based in large part on previously established stage models of skill development that culminate in expertise. Dreyfus and Dreyfus (1986) provide a five-step stage model that ends in expertise, which is not about expertise, *per se*. Based on studies of fighter pilots and chess players, the stages are novice, advanced beginner, competent, proficient, and expert. These points of development are achieved by passing through stages of qualitatively different perceptions of a task or problem. The stages include the concept of competence and proficiency. Competence is defined as an "efficient behavior" (Gilbert, 1996) and is often categorized as a subset of expertise (Herling, 2000). Herling and Provo (2000) describe competence as the capacity to act in a wide range of situations and define it as a cluster of related factual knowledge, skills, experiences, attitudes, and value judgments directly related to one's job. Experts are individuals whose competencies are highly developed within a specific domain (Sternberg, 2005). The concepts of competence and proficiency are often used interchangeably with the term expertise, but it is important to note that one can be competent or proficient without being an expert. Thus, expertise and how it is learned or developed should be set apart from other concepts.

Although learning and expertise remain ripe for study, there is some promise in the recent emergence of scholarship in the areas of expertise measurement, expertise redevelopment, expert-knowledge elicitation and transfer, and expertise in leading organizations in HRD and other fields. These areas serve as a foundation for leading HRD scholars as they delve into future investigations of expertise.

Expertise Measurement

van der Heijden and Brinkman (2001) state that the management of employee expertise allows organizations to strategically utilize human resources and to plan for long-term goals and needs. Managing expertise is a management objective to improve performance, but also to assess knowledge, experience, problem-solving skills, and some behavioral characteristics at a given point in time. The development of a scale that measures the concept of expertise across a variety of fields can help human resource and management researchers understand the behavioral and attitudinal correlates of both verifiable, objective and subjective expertise and the management of employees' expertise.

Previous methods of assessing expertise have included comparisons of think-aloud verbalizations of experts and novices (Kuchinke, 1997), as well as extensive case studies of single subjects, where data on a large number of different tasks were collected. However, all of those methods have shortcomings and have resulted in different theories of expertise (Kuchinke, 1997). The classification of expertise, without the ability to measure it quantitatively, has limited utility. Yet, no standard tool to measure expertise across domains exists (Chalykoff & Kochan, 1989; Kidwell & Bennett, 1994; Kuchinke, 1997). This is due in part to psychometric challenges (Germain & Tejeda, 2012), such as the accuracy of measurement of the constructs under examination (Barrett, 1972). Even in the face of challenge, scholars are moving forward with scale development, which typically involves the use of quantitative methods. The following are four measurement scales developed beginning in the 1990s, when most of the attempts to develop a standard expertise measurement tool occurred (e.g., Chalykoff & Kochan, 1989; Kidwell & Bennett, 1994; Kuckinke, 1997).

Spencer and Spencer Technical Scale Spencer and Spencer (1993) developed a technical/professional/managerial scale based on four dimensions: depth of knowledge, breadth, acquisition of expertise, and distribution of expertise. These dimensions are in accordance with their definition of expertise: the mastery of a body of job-related knowledge (which can be technical, professional, or managerial), combined with the motivation to expand, use,

and distribute work-related knowledge to others. This scale, however, is not without limitations in describing expertise. For example, their breadth of managerial expertise is a seven-item Likert scale ranging from “none” (individual contributor with no responsibility for coordinating or supervising the work of others) to “broad” (manages large complex multi-division organization), making the assessment imprecise. Similarly, their knowledge dimension has eight items ranging from “primary” (does simple, repetitive tasks that typically can be learned in a few hours to a few days) to “preeminent authority” (nationally/internationally recognized authority in unusually complex professional or scientific fields). These dimensions are inconsistent with almost all definitions of expertise, that is, expertise is independent of the type of position one holds in an organization.

SVT, IVT, and PIT Tests for Measuring Domain Expertise Royer, Carlo, Dufresne, and Mestre (1996) evaluated three procedures for producing tests that measure domain expertise. These procedures were hypothesized to have the property of being consistent with research and theory on expertise and, per these researchers, had practical properties that would enable the application of these procedures in actual training or instructional settings. The procedures for producing tests were chosen to reflect varying degrees of domain expertise as examinees read text from a content domain. The first test uses a technique that measures the ability to comprehend the surface meaning of a text: Sentence Verification Technique (SVT). Royer and his colleagues (1996) also developed a technique for measuring/infering performance that could be easily administered and scored called Inference Verification Technique (IVT). IVT measures the ability to make two kinds of inferences. The first one is “near inferences,” which involve taking two items of information presented in a text and drawing a valid inference that connects the two. The second kind of inference, “far inferences,” involve connecting an item of text information with prior knowledge about the content domain and drawing a valid inference from the two pieces of information. An ITV test is administered by having examinees read a text passage and then read and judge whether each test sentence is a true or false inference from the passage. Simply put, experts typically see principles underlying the problem solution, whereas the novices only see the problem details.

The third technique used by Royer, Carlo, Dufresne, and Mestre (1996) is the Principle Identification Technique (PIT), which involves presenting participants with sets of standard problems and four example problems. The four example problems reflect the combination of surface and deep structure. The participant’s task, when completing a PIT test, is to judge whether each problem involves the underlying principle reflected in the standard problem. Study of PIT indicated that performance on assessment techniques was consistent

with theory and previous research at the general level. The authors suggest that tests measuring different levels of cognitive skill attainment should be useful for two purposes: to evaluate instructional or training effectiveness and to assist in personnel selection decisions. However, these tests only measure competence in reading comprehension, inferencing ability, and problem type recognition. In other words, they simply measure skill attainment.

Cochran-Weiss-Shanteau Index of Performance The CWS is Weiss and Shanteau's (2003) approach to assessing expertise purely from data and is based on the idea that expert judgment involves discrimination—seeing fine gradations among the stimuli and consistency evaluating similar stimuli. The CWS can be used for teams (all team members would generate one score) or for individuals (single-subject design). The CWS index has limitations. It is meaningful only in a comparative sense; it is used to determine which of two candidate experts is performing better. The distribution of expertise within the population is likely to vary across domains. If true expertise is rare for the judgments requested, no expert may be included in a study. Therefore, the identified “experts” may not really be very “expert” (Weiss & Shanteau, 2001). Furthermore, expert judgment may yield high CWS, but high CWS does not guarantee expertise.

Generalized Expertise Measure (GEM) In 2006, Germain developed a measure of expertise, the Generalized Expertise Measure (GEM). The GEM is based on employee expertise as perceived and reported by another person. The term *generalized* shows the intent to have a measure that can be used across various occupations. Both the procedures used to develop the scale and the sample used to do a preliminary validation of the GEM included workers from varied occupations and fields such as education, medicine, and general management.

The GEM was originally composed of sixteen items (five objective and eleven subjective). In 2012, Germain and Tejeda conducted further analysis and the GEM now includes eighteen items (six objective and twelve subjective). Objective items include having the knowledge specific to a field of work and about the field, having the necessary education, having the required qualifications, being trained, and conducting research. Subjective items include being ambitious, having drive, being capable of improving oneself, being charismatic, being able to deduce things, being intuitive, being able to judge what is important, being self-assured, being self-confident, being able to assess when a situation is important, being outgoing, and being able to talk one's way through various situations.

The use of the aforementioned expertise measures can help HRD professionals in developing expert-like skills, in managing performance, and

in selecting employees. For example, knowing which subjective expertise characteristics an employee possesses can help optimize his or her job fit (Rynes, Giluk, & Brown, 2007). Traits such as sociability, initiative, and openness can affect group performance by influencing how the individual will interact with other group members (Robbins, 2003). Employee expertise may also help predict job performance (Hurtz & Donovan, 2000; Kaiser & Kaplan, 2006; Mount, Barrick, & Strauss, 1994; Rynes, Giluk, & Brown, 2007) and potential career success (Gupta, 2005). These scales provide a starting point for determining training interventions and employee development needs to accelerate the acquisition of specific knowledge and skills through practice and training. Yet, HRD professionals should stay cognizant of the fact that some of those measures only assess expertise as perceived by someone else and do not guarantee success in determining with whom to consult.

Expertise Redevelopment

Beyond measuring expertise, HRD scholars have also begun exploring the loss and subsequent redevelopment of expertise. Expertise is framed by context and occurs within natural settings that are subject to change, thus the need for the redevelopment of expertise may be inevitable. Addressing this need is the Model of Expertise Redevelopment (MER) (Grenier & Kehrhahn, 2008). The model (Figure 11.1) presents the cyclical process of expertise redevelopment brought about by changes to a territory of expertise.

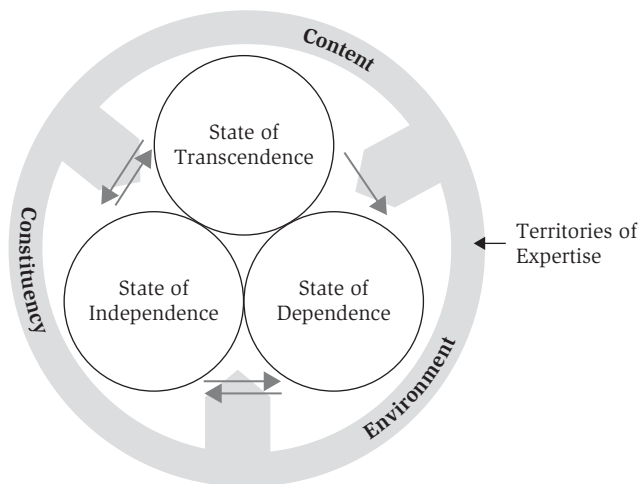


Figure 11.1 Model of Expertise Redevelopment

Based on Grenier and Kehrhahn, 2008.

Territories include three overlapping contexts: environment, constituency, and content. *Environment* is the place or context in which an individual operates and includes the organizational structure and culture. *Constituency* includes those people (individually or groups) who influence or are influenced by the individual. *Content* is an individual's knowledge necessary for demonstrating a skill and functioning in a role.

The interconnectedness of the territories influences the development of expertise, but more significantly—the redevelopment of expertise. Grenier and Kehrhahn (2008) describe the redevelopment of expertise as leading to movement among three states: dependence, independence, and transcendence. Beginning at dependence, an individual relies on standardized procedures and routines, as well as others, for guidance or information. Next, in independence an individual is more comfortable with her new information, skills, and roles, thus allowing for augmentation of existing knowledge. Through continued experimentation and practice, new learning is tested, thus improving upon existing knowledge and skills. Transcendence is the third state, characterized by freedom, tacit knowledge, and heuristics that create a sense of ownership of an expert's knowledge and practice. In this state, there is a command of knowledge and practice and a sense of ownership, which leads to improvisation and experimentation with new ideas and processes.

Since each individual is different in terms of his or her development, the approach to redevelopment of expertise is unique, but includes some combination of formal, informal, and incidental learning (Grenier, 2005). Furthermore, the rate at which an individual moves from state to state varies and is not indicative of time involved in the change of states. In fact, some experts can move very quickly from transcendence to dependence and through independence, returning to transcendence if there is a need to do so.

Elicitation and Transfer of Expertise

In addition to measures of expertise and the concept of expertise redevelopment, a third area of emerging scholarship examining expertise is the elicitation and transfer of expertise. Transactive memory theory states that high levels of awareness of member expertise can help maximize organizational efficiency by making individual expertise available to all members of a group (Wegner, 1995). Yet, expertise knowledge is tacit (Greeno & Simon, 1988) and involves a large number of objective and subjective dimensions (Germain & Tejeda, 2012) acquired or refined over a long period of time. Moreover, experts often resist sharing their expertise because of their self-interest and narrow perspectives (Starbuck, 1992). Together, these conditions make eliciting/retrieving and transferring expertise in organizations difficult.

Expertise is a relational process occurring during interactions with peers (Sié & Yakhlef, 2009) and, as such, individuals who have more positive affective ties also have more expertise retrieval (Yuan, Carboni, & Ehrlich, 2010). Sié and Yakhlef's (2009) case study of petroleum industry experts found that expert interactions can create a transfer of knowledge, as well as learning opportunities for the expert. They assert, "Because it is made manifest through discussion, expertise is a dialogical, not a monological form of knowledge . . . nurtured and fostered in dialogues among groups, rather than an individual, intellectual pursuit" (p. 183).

Karhu (2002) builds on the discursive and affective ties dimension of elicitation and transfer using an expertise cycle framework where knowledge stewards in an organization build personal relationships with experts, thus creating trust to enable knowledge sharing. Stewards are "people dedicated to acquiring information from an organization, further analyzing and formulating it to a form that is useful for knowledge seekers" (p. 433). These individuals "interview the experts and form their own internal models, which are documented, checked in interaction with the experts, and transferred to the knowledge seekers" (p. 445). This approach is similar to the process proposed by Linderman, Baker, and Bosacker (2011), who draw from Dervin's sense-making methodology (Dervin & Foreman-Wernet, 2003). Linderman, Baker, and Bosacker (2011) describe a means of surfacing experts' tacit knowledge (although not with dedicated stewards of knowledge) and transferring it to others within the organization, thus preserving intellectual capital.

Leadership and Expertise

The last area of emerging scholarship in the study of expertise that has great significance for the field of HRD is leadership and its link to expert performance, and expertise in general (see Fernández, Cho, & Perry, 2010; Jing & Avery, 2011; Scherer, Weibel, Morency, & Oviatt, 2012). Intelligence, self-confidence, determination, and sociability are four main characteristics found in experts and in the study of leadership (Germain & Tejeda, 2012; Northouse, 2012). *Intellectual ability* has shown to be positively related to leadership (Northouse, 2012). Also, when addressing leadership from a skills perspective, intelligence is identified as a trait that significantly contributes to a leader's acquisition of complex problem-solving skills and social-judgment skills. This is where the nexus between leadership and expertise traits is clear: experts are also problem-solvers (Germain & Tejeda, 2009; 2012; Swanson & Holton, 2009) and are able to judge situations effectively. *Self-confidence* is another trait that distinguishes individuals who are in a leadership role. It is the ability to be certain about one's competencies and skills and includes self-esteem and self-assurance. Leadership involves influencing others, and

self-confidence allows the leader to feel assured that her or his attempts to influence are suitable. Self-confidence exhibited by experts has been found in studies of teachers, college instructors (Germain, 2006a; Smith & Strahan, 2004), and museum docents (Grenier, 2009). Related to self-confidence is the concept of *determination*—the desire to get the job done—which includes characteristics such as initiative, persistence, dominance, and drive. Again, this trait is clearly a component of expertise, as defined by Germain and Tejeda (2009, 2012). The final trait is *sociability*. It is a leader's inclination to seek out pleasant social relationships and his or her ability to be friendly, outgoing, tactful, and diplomatic. Social leaders have good interpersonal skills (Northouse, 2012), and so do experts (Germain & Tejeda, 2009, 2012).

A closer look at the study of expertise and its relationship to leadership reveals the concepts of organizational management, impression management and social power, and obedience theory as areas in which expertise-related research has taken root. Each provides unique opportunities for further study of expertise in the field of HRD.

Impression Management and Social Power Studies by Bass (1985, 1988, 1990) suggested that charismatic leaders who engage in impression management (IM) to construct an image of competence, increased subordinate competence and subordinate-faith in them as leaders. Self-confidence and self-assurance, both often associated with experts (Germain & Tejeda, 2009, 2012), can be classified as impression management items. Related to impression management, self-promotion highlights one's best qualities and calls attention to one's achievements while downplaying one's deficits. In several studies, self-promotion has been positively correlated with organizational success, especially during the interviewing process (Gilmore & Ferris, 1989). Applicants who used those controlling techniques (self-enhancement and self-promotion) were rated higher by interviewers on factors such as motivation, enthusiasm, and even technical skills, and they received more job offers—most likely because those techniques reflect self-confidence and initiative. When investigating the factors impacting compliance and public conformity, Asch (1955) found that perceived expertise had a direct impact: the greater the perceived expertise, the greater the conformity.

Obedience to Authority and Social Power Human obedience to authority is described as people's willingness to obey direct requests or commands (Colman, 2009). People will often obey those who are in authority over them or those who are perceived as expert. The well-known 1960s Milgram Studies with their "white lab coat effect" provide a good example of how a "visible" expert can influence people's decisions. In "typical" work contexts where employees have learned patterns representative of their own tacit knowledge,

they have immunity to many obedience situations. Their reaction may be “something is wrong here; he wouldn’t ask me to do that.” However, if the patterns learned represent borderline unethical deeds, such as giving rude customers less service than they deserve, moving to practice that actually cheats rude customers may be hard to detect (Werhane, Hartman, Moberg, Englehardt, Pritchard, & Parmar, 2011).

In addition to obedience to authority, another factor in the study of expertise is social power. In a notable study of power conducted by social psychologists French and Raven (1959), power is divided into five distinct forms: coercive, reward, legitimate, referent, and expert. Expert power is the ability to administer to another information, knowledge, or expertise (French & Raven, 1959). Typical examples are doctors and lawyers. As a consequence of expert power, a supervisor is able to convince her subordinates to trust her.

When some people have knowledge and skills that enable them to understand a situation, suggest solutions, use solid judgment, and generally outperform others, others tend to listen to and trust them. As subject-matter experts, their ideas have more value and others look to them for leadership in that area. Also, confidence, decisiveness, and reputation for rational thinking allow the building and maintaining of expert power, which does not require positional power. Finally, studies of persuasion suggest three major components in the persuasive process: the communicator, the message, and the audience. Communicator credibility, largely determined by perceived expertise and trustworthiness, is a key to persuasion (O’Keefe, 2002).

IMPLICATIONS

From unassuming beginnings forty years ago, the concept of human expertise has grown from being embedded in artificial intelligence and the functioning of memory to being connected to emotional intelligence and human behaviors. It is now gaining recognition as a topic of research in the field of human resource development. Moreover, globalization and the increased importance of organizational performance give the construct of employee expertise a prolific future.

Nonetheless, as this chapter demonstrates, the full potential for the study and application of expertise research has yet to be attained. If having a competent workforce allows organizations to maintain a competitive advantage in the marketplace (Herling & Provo, 2000) then the same might be said about an expert workforce. Research suggests that organizations must look past competence and focus on the development of expertise as a desired outcome in the process of improving performance (Herling, 2000). As such, the study of human expertise must be derived through varied business contexts, from

the work of evaluating leaders, the explanation of impression management techniques at the workplace, and challenges to existing social power.

For an organization to grow, it must have employees who are highly knowledgeable, skilled, and capable of solving complex problems, that is, its employees must be experts. Researchers and practitioners are beginning to demonstrate that expertise can be measured (Germain, 2006a; Germain & Tejeda, 2012), elicited, transferred, and redeveloped (Grenier & Kehrhahn, 2008), but an important question still needs to be answered: *Can expertise be learned?* Learning to be an expert is not simply the process of transitioning from being a novice. Of equal importance might be the question: *Can expertise traits and skills be taught?* Just as the question of whether leadership can be learned is a matter of semantics, the same can be said about expertise. Although there are no definite answers, some scholars concur that some aspects of expertise are “teachable.” Other attributes or values, such as ambition, extroversion, or drive, seem to be intrinsic and may simply be “unteachable.”

How expert-like traits can be best taught to employees remains unclear. Despite a few shortcomings, the trait approach provides valuable information about the characteristics of expertise. Although the trait approach does not provide a definitive set of traits, it does provide direction regarding which traits are good to have if one aspires to develop expert-like traits and skills. Moreover, the trait approach suggests that organizations will work better if the people in managerial positions have designated expertise profiles. Organizations can specify the characteristics or traits that are important for particular positions and then use personality and expertise assessment measures to determine whether an individual fits their needs.

As studies of expertise continue, scholars must continue to expand and challenge existing assumptions of expertise practice, including critical thinking and problem solving. Such an expansion would call for a clear delineation among studies of competence, proficiency, and expertise and move beyond examining experts primarily in relation to novices. Previous studies of expertise, although useful in characterizing expert processes in specific contexts, offer little in exploring the complex nature of expertise and HRD's role in broadening our understanding of expertise in organizational contexts.

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Competence

Bases for Employee Effectiveness

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Competencies are measurable personal capabilities that facilitate and enable one to be successful. They are thought of as a collection of skills, which are more specific capabilities for effective action in relation to a particular goal. So, while effective public speaking is a skill, effective communication is a competence. Competencies here are considered at the individual level, relevant to the employee and the job, rather than the organization level, where organizational competencies are considered as a “transformative process combining resources and activity *inputs* into operational *processes* that result in specific competitive performance *outcomes*” (Lewis, 2003, p. 731). Core competencies of an organization are defined as “the collective learning in the organization, especially how to coordinate diverse production skills and integrate multiple streams of technology” (Prahalad & Hamel, 1990, p. 82).

Individuals develop competencies in a number of ways. A social learning perspective (Bandura, 1977) suggests that individuals learn from others, by observing others who model effective competencies and then practicing what they observed. Self-managed learning suggests that individuals take responsibility for assessing their own competence deficiencies and finding development opportunities. This is described in Kim’s (1993), OADI (observe-assess-design-implement) Cycle of Individual Learning in which individuals “experience concrete events and actively observe what is happening. They assess (consciously or subconsciously) their experience by reflecting on their observations and then design or construct an abstract concept that seems to be an appropriate response” (pp. 38–39). “Situational learning, also known as ‘situated learning’ (Lave & Wenger, 1991), is an umbrella term for a number of methodologies including simulations, case studies, scenario-based learning and online role

plays which present learners (working individually or in groups) with contexts involving concrete, real-life problems” (Davenport & Baron, 2007, p. 179).

The organizations that recognize the realities of the new environment no longer offer lifelong employment, but rather emphasize “employability security,” allowing the employee to develop skills and knowledge that will provide lifelong employability. Within this reality the employment contract no longer protects the employee’s tenure, rather the “accumulation of human and social capital—skills, reputation, and connections” (Kanter, 1995, p. 63) provide security. Employability is not just the responsibility of individuals; it also depends on institutional factors such as training, opportunities, reward systems, and networks of collaboration.

The differentiation between a reality of lifelong contracts with responsibility weighing more heavily on the organization to provide sustainable career tracks and favorable retirement options, and lifelong employability with responsibility weighing more heavily on the employees to continually develop themselves such that they can move easily from one organization or career to another, depends very much on the industry, the talent market, and the requisite skills.

Hilton (2008) points out that, while research published in the 1980s showed a greater preference for hiring entry-level employees and providing a career of training and promotion (Osterman, 1984), current trends are toward filling all job vacancies with external candidates (Cappelli, 2008) and relying on colleges and universities to provide specific skills needed. The challenge for colleges and universities to provide technical and interpersonal skills in order to adequately prepare graduates has become greater.

BASE COMPETENCIES

Based on the well-accepted inventory by Evers and colleagues (Evers & Rush, 1996; Evers, Rush, & Berdrow, 1998), the bases of competencies necessary to work in today’s workplace are (1) *mobilizing innovation and change*: made up of ability to conceptualize, creativity/innovation/change, risk taking, and visioning; (2) *managing people and tasks*: coordinating, decision making, leadership/influence, managing conflict, and planning/organizing; (3) *communicating*: interpersonal, listening, oral and written communication; and (4) *managing self*: learning, personal organization/time management, personal strengths, and problem solving/analytic. See Table 12.1 for definitions of the bases and nested skills.

The bases of competence are evident in today’s labor market even more than when they were developed in 1998. We will discuss each of the base competencies relative to the complex business world of today. *Managing self* is defined as “constantly developing practices and internalizing routines for maximizing

Table 12.1 Base Competencies and Skills

Managing Self

Learning: involves the ability to gain knowledge from everyday experiences and formal education experiences

Personal Organization/Time Management: involves managing several tasks at once, being able to set priorities and to allocate time efficiently in order to meet deadlines

Personal Strengths: comprises maintaining a high energy level; motivating oneself to function at optimal levels of performance; functioning in stressful situations; maintaining a positive attitude; working independently, and responding appropriately to constructive criticism

Problem Solving/Analytic: consists of identifying, prioritizing, and solving problems, individually or in groups. Includes the ability to ask the right questions, sort out the many facets of a problem, and contribute ideas as well as answers regarding the problem

Communicating

Interpersonal: involves working well with others, understanding their needs, and being sympathetic with them

Listening: involves being attentive when others are speaking and responding effectively to others' comments during a conversation

Oral Communication: involves the ability to present information verbally to others, either one-to-one or in groups

Written Communication: involves the effective writing of formal reports and business correspondence, as well as informal notes and memos

Managing People and Tasks

Coordinating: involves being able to coordinate the work of others and encourage positive group relationships

Decision Making: involves making timely decisions on the basis of a thorough assessment of the short- and long-term effects of decisions, recognizing the political and ethical implications, and being able to identify those who will be affected by the decisions made

Leadership/Influence: involves the ability to give direction and guidance to others and to delegate work tasks to others in a manner that proves to be effective and motivates others to do their best

Managing Conflict: involves the ability to identify sources of conflict between oneself and others or among other people and to take steps to overcome disharmony

Planning and Organizing: involves being able to determine the tasks to be carried out toward meeting objectives, perhaps assigning some of the tasks to others, monitoring the progress made against a plan, and revising the plan to include new information

(Continued)

Table 12.1 (Continued)

Mobilizing Innovation and Change

Ability to Conceptualize: involves the ability to combine relevant information from a number of sources, to integrate information into more general contexts, and to apply information to new or broader contexts

Creativity/Innovation/Change: involves the ability to adapt to situations for change, at times initiating change and providing novel solutions to problems

Risk Taking: involves taking reasonable risks by recognizing alternative or different ways of meeting objectives, while at the same time recognizing the potential negative outcomes and monitoring the progress toward the set objectives

Visioning: involves the ability to conceptualize the future of the organization or group and provide innovative paths for the organization or group to follow

one's ability to deal with the uncertainty of an ever-changing environment" (Evers, Rush, & Berdrow, 1998, p. 57). The skills within this competency are learning, personal organization and time management, personal strengths, and problem solving and analytic. In "The Bases of Competence" they describe a lifelong employability model. In it *managing self* takes on the dimensions of development and partnering, as opposed to application and compliance of earlier models. Now we move from development and partnering to being personally equipped to thrive in a globally complex world made up of many diverse cultures.

Communicating is defined as "interacting effectively with a variety of individuals and groups to facilitate the gathering, integrating, and conveying of information in many forms (for example, verbal, written, visual)" (Evers, Rush, & Berdrow, 1998, p. 78). The inherent skills are interpersonal, listening, oral communication, and written communication. *Communicating* is successful when the information shared is understood such that the person receiving the information has the same understanding as the person sending the information. This is a critical skill in the globally complex world. Sharing information across cultural and societal boundaries necessitates that the sender and receiver have the same communicating skills in terms of language, cultural nuances, and norms.

Managing people and tasks is defined as "accomplishing the tasks at hand by planning, organizing, coordinating, and guiding both resources and people" (Evers, Rush, & Berdrow, 1998, p. 98). The skills within this competency are coordinating, decision making, leadership and influence, managing

conflict, and planning and organizing. *Managing people and tasks* is accomplished by both managers and workers. The top-down hierarchy of the past has given way to dynamic team approaches of recent years, and now team approaches across global boundaries. Team members will be from across the world in large businesses interacting through planning, organizing, coordinating, and guiding resources and people. The functions have not changed, but the organizational context has changed—dramatically.

Mobilizing innovation and change is defined as “conceptualizing as well as setting in motion ways of initiating and managing change that involve significant departures from the current mode” (Evers, Rush, & Berdrow, 1998, p. 118). *Mobilizing innovation and change* is the most complex of the competencies to formulate and achieve. The skills inherent in this competency are ability to conceptualize; creativity, innovation, and change; risk taking; and visioning. The key to this competency is to develop innovative solutions to managing change. Never has change been more apparent than today. Global organizations are immersed in change. They must develop ways to not only cope with change but to actually thrive in a change context. *Mobilizing innovation and change* is the key to success in a global network.

Today’s employee has need for a more complex set of competencies, and the balance of dominant competencies shift as they progress through their careers. The base competencies of self-management and communication provide groundwork for managing others and complex tasks in increasing uncertainty. The ability to work effectively across cultural boundaries and take a leadership role in global settings proves to be the determining factor between success and failure in a global context. While a high competence in managing people and tasks may earn you the job, being competent in managing self and communicating helps you keep the job, and a competence in mobilizing innovation and change advances your career.

Fifteen years later, the same base competencies are required, but competence demand is more nuanced. The U.S. labor market has been characterized as the “barbell” economy, which “will include many high-education professional and managerial jobs (involving abstract tasks) and low-education service jobs (involving manual tasks), with fewer jobs involving routine tasks and paying middle class wages. Abstract analytical and problem-solving skills will be crucial, but not everyone will have an analytical job. The future economy will be not only a ‘knowledge’ economy, but also a service economy” (Hilton, 2008, p. 63). In this economy, knowledge work will not only become more globalized but will require a greater complexity of skills of its workers. Research shows (Darr, 2006) that for knowledge workers in technology fields such as biotechnology, the interpersonal skills are intertwined with scientific capabilities, requiring a complexity of technical, social, and cultural skills (Hilton, 2008).

GLOBAL COMPETENCIES

The demand for managers and leaders capable of thinking transnationally (Maljers, 1992) and implementing cross-border strategies (Bartlett & Ghoshal, 2003) outpaces the short supply. This shortage of internationally competent managers (Harris & Kumra, 2000) “not unreliable or inadequate sources of capital [has] become the biggest constraint in most globalization efforts” (Bartlett & Ghoshal, 2003, p. 108). The complex nature of global economies (Lane, Maznevski, & Mendenhall, 2004) requires managers with a global mindset (Beechler & Baltzley, 2008; Levy, Beechler, Taylor, & Boyacigiller, 2007) and global competencies (Black, Morrison, & Gregersen, 1999).

Just as Evers, Rush, and Berdrow (1998) found in their longitudinal research of business competencies that foundation base competencies of *managing self* and *communicating* were precursors to the more complex competencies of *managing people and tasks* and *mobilizing innovation and change*, the same is understood in terms of global competencies. Requisite to the more complex global competencies are threshold traits, attitudes and orientations, and interpersonal skills (Bird & Osland, 2004, p. 66).

Leiba-O’Sullivan (1999) differentiates between cross-cultural attitudes that are relatively stable, that is, don’t change over time, and cross-cultural knowledge, skills, and competencies that are dynamic, that is, can be developed over time. She also reminds us that within the dynamic knowledge, skills, and competencies are hierarchies. For example, one needs factual knowledge to know that a country has had a long history of corrupt and violent political dictatorships. A conceptual knowing of that fact will lead one to understand that people from that country have a significant distrust of politicians and strangers. Attributional knowledge will guide expatriates’ behavior when proposing a contractual arrangement with local businessmen.

Osland, Bird, Mendenhall, and Osland (2006, p. 216), in their consideration of the development of global leadership capabilities and global mindset, characterize that development as a “non-linear, mutually causal, emergent process moderated by a variety of key variables across time.” Their Chattanooga Model of Global Leadership Development incorporates these characteristics and suggests that a competent global leader is the product of personal characteristics, as well as a series of experiential and didactic opportunities over time. They describe these as transformational processes.

Oddou and Mendenhall (2008) differentiate types of transformation opportunities according to the degree of experiential rigor and the number and valence of feedback sources offered by each. They suggest that the more experiential or holistic the experience, and the greater the number of sources of feedback that tells people their behavior was inappropriate, the more impact the contact will have. They also suggest that the classroom environment

can provide 20 percent of the requisite learning toward global competencies, information exchange with others can provide 30 percent, and personal work experiences offer 50 percent. While none of these types of learning environments is sufficient in and of itself, when combined and layered over time, the impact is significant.

From these scholars we understand that cross-cultural competencies are hierarchical in nature and need time to develop, and that development opportunities vary by degree and efficacy, and should be offered in stages over time.

THE TECHNO-SOCIO-CULTURALLY COMPETENT EMPLOYEE

Three realities face employers and employees of the globalized 21st century business world: (1) knowledge work is driven by and conducted with technology; (2) personal and interpersonal competencies are required for effective performance; and (3) work is conducted across cultural boundaries. As shown in Figure 12.1, while the balance of these changes over an individual's career, all three realities are present at any time during that career. This is further impacted by the reality that organizations are less likely (and less able) to commit resources to the development of workers, but are more likely to seek workers already proven to be techno-socio-culturally competent. As discussed previously, employability security is dependent on the individuals' ability to manage their own development.

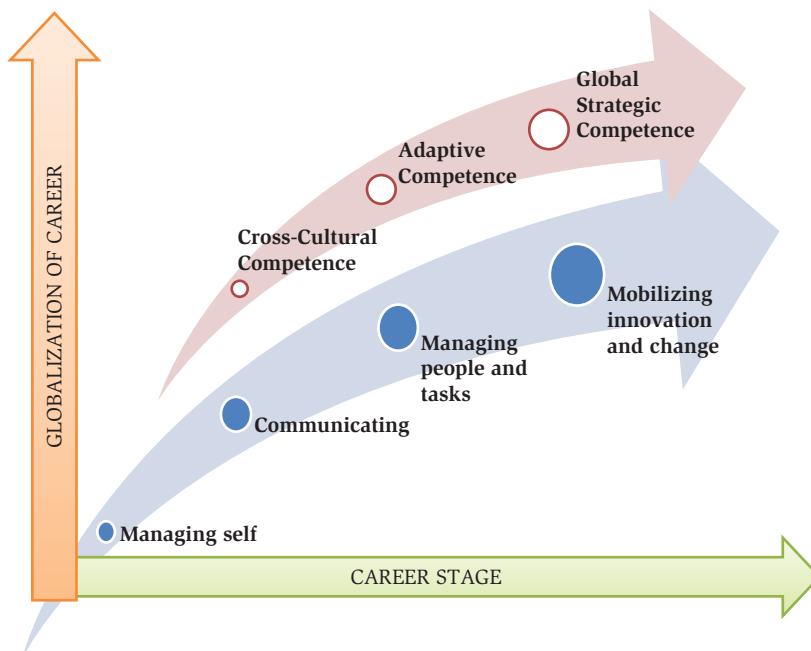


Figure 12.1 Competence Demands Across Career Stages

GLOBAL COMPLEXITY

With a GDP ten times what it was twenty years ago, India is the world's second-fastest-growing major economy today and is projected to become the world's third-largest economy in the year 2025. Currently, it is the twelfth-largest trading partner to the U.S. in goods, and it will soon be the world's most populous country. Given that half of India's population is under age twenty-five, it has a significant demographic edge (Pyatt, 2011). That demographic, a young well-educated population and a low-cost labor pool, makes India the world's source for cheap and skilled software professionals. Multinationals outsource labor-intensive technology-based work to India and India, in turn, provides products and services to the global market. According to NASSCOM, the number of U.S. Fortune 500 companies off-shoring work to India increased from 125 in 2000 to 285 in 2003 (Atkinson, 2004). IBM alone employs about seventy thousand workers in India. In 2002, NASSCOM reported that India exported \$2.8 billion worth of software to the United States (Atkinson, 2004), and India's IT industry accounts for 7.5 percent of India's 2011–12 USD GDP (Government of India, 2011–2012, p. 241). But India is not the only player in the global employment marketplace. The 2009 World Investment Report issued by the United Nations estimates there are 82,000 transnational corporations with over 810,000 foreign affiliates who employ seventy-seven million workers worldwide—more than double the labor force of Germany. This one metric alone demonstrates the extent of the globalization of business. So what impact does India's demographic and economic reality have on competency supply and demand?

In August of 2012, three of India's five transmission grids collapsed, cutting power to states where some 670 million people live. The blackout, one of the world's worst, followed a similar breakdown across the north the previous day. While a lack of an integrated energy plan and stringent grid management is being blamed, the initial problem was that a poor monsoon season caused greater-than-expected demand by farmers to pump water for irrigation (Jalan, 2012). Multinational enterprises (MNEs) know the risk of depending on India's power generation infrastructure so rely instead on their own fossil fuel and alternative source power generators. However, the use of diesel power to keep companies running during such power outages could lead to a deficit in India's diesel supplies and turn it from a net exporter of diesel to a net importer in the future (Yep & Sharma, 2012). Senior and operating managers in those MNEs need dexterity in their consideration of interrelated issues in order to generate effective, innovative, and responsible solutions. Foreseeing a future that steers the company clear of risks in this world of uncertainty is critical to survival and competitive advantage.

This story of India characterizes the new reality of a globalized business world. Traditional economic definitions of globalization as the movement of resources across national boundaries do not help explain how a poor monsoon season in India can potentially cripple an American multinational's customer service. Lane, Maznevski, and Mendenhall (2004) define globalization in terms of complexity and identify four conditions: multiplicity, interdependence, diversity, and flux. Basically, globalization involves more activities that we know less about, all of which are interrelated and changing very rapidly. The story of India exemplifies this complexity.

Multinationals outsourcing operations to India, whether software development or call centers, need to be familiar with the economic, social, legal, and political realities. In order to negotiate with the right partners and minimize their risk, they need to understand both regional and national realities, as they must for all countries in which they operate. Yet, how do you anticipate the possibility of an energy crisis shutting down whole cities? How do you quickly respond such that the impact doesn't ripple through the whole organization? The implication for the people working in this global complexity is that, in addition to business expertise and competence, they need a *global mindset*. "This means having the ability to develop and interpret criteria for personal and business performance that are not dependent on the assumptions of a single country, culture, or context; and to apply these criteria appropriately in different countries, cultures, and contexts" (Lane, Maznevski, & Mendenhall, 2004, p. 19).

Lane, DiStefano, and Maznevski (1997, p. 16) suggest that effective global management action requires that the global manager have (a) conceptual and specific knowledge about the business, the situational context, and culture, and (b) the skills and experience to effectively apply that knowledge to his or her decisions and actions. At the CEO level, concerns about India engaging in a war with Pakistan over water (Daly, 2012) might encourage Azim Premji, CEO of Wipro, to work with the Indian government in finding alternative solutions. At the operations level, finding alternative independent sources of energy to keep up with the incredible power demands of high-tech companies is a concern for managers. The workers of customer service divisions for multinational companies need to deal with customers from around the world while imitating foreign accents and interpreting complicated online search behaviors to identify unmet consumer demand, all while negotiating with their parents for permission to take jobs that require them to work at night. Back in the United States, managers working with their Indian counterparts and team members negotiate mutually acceptable meeting times across time zones, languages, and priorities and build working relationships with people they may never meet face-to-face.

The four base competencies are relevant to today's global world of business, but each has evolved over time to emphasize complex interactions within and among the competencies. Workers in the United States must be able to deal with colleagues in India. They must be able to manage themselves such that they understand the culture of India. They must also be able to communicate effectively with their peers. Managers in India working with a team in the United States must be able to plan, organize, coordinate, and guide without language and cultural nuances getting in the way. And perhaps most importantly, workers and managers must be able to effectively deal with change in today's complex world. The requirement for success is for employees to become techno-socio-culturally competent by using the base competencies.

For human resource managers, identifying and sourcing people with the competencies needed for this complex business environment is more challenging than ever before. The supply and demand gap (Evers, Rush, & Berdrow, 1998) has not closed. If anything, as the demand for different and higher levels of employment competencies has sped forward, the supply of globally minded, competent graduates coming out of traditional education systems has still not kept up. But a burgeoning supply of well-educated, motivated, employees willing to relocate is cropping up around the world, if one knows where to look and how to recruit.

ORGANIZATIONAL COMPLEXITY

The complexity in global business is mirrored by organizational complexity. "Organizational complexity is *the amount of differentiation that exists within different elements constituting the organization*" (Dooley, 2002, p. 4). Organizations are complex in their hierarchical structure, their vertical work distribution, their multiplicity of activities and locations, and their diversity of workforce demographics. Organizational members need to make sense of their environment in order to determine and implement effective action (Dooley, 2002). Complex organizations and environments, complex work settings, greater work demands, all lead to the demand for more sophisticated considerations of employee competence. Results of the worldwide Program for International Student Assessment (PISA) show a global competition for talent. "The routine cognitive skills, that can be digitized, automated or outsourced, are no longer sufficient to be successful in the global economy" (Pfeiffer, 2009, p. 11). Top performers must be able to extract knowledge and apply it to personal, social, or global situations.

This new reality requires new ways of understanding the demand for competencies, including the correlation between competencies and career path; identifying the requisite competencies in potential and existing employees, and their ability/propensity to take responsibility for their own development;

and developing a competence portfolio that is manageable, useful, and globally appropriate.

The base competencies necessary for success in the dynamic, competitive environment of the 21st century *new economy* have been empirically determined to be *managing self*, *communicating*, *managing people and tasks*, and *mobilizing innovation and change* (Evers, Rush, & Berdrow, 1998). In the fifteen years since that research, the world has become more complex, placing greater demands on the competencies of employees at all levels of the organization. Managing a culturally diverse workforce across geographic, social, and political boundaries is a strategic issue for organizations. Our understanding of the requisite competencies of a global workforce is a key factor in successful management.

IMPLICATIONS FOR HR MANAGERS

The realities of the global marketplace for employees are challenging: more complex needs; more regions offering talented, educated recruits; and greater organizational complexity. In their review of the talent management literature, Tarique and Schuler note that “the environment for most organizations today is global, complex, dynamic, highly competitive, and extremely volatile, and is likely to remain so for years to come. In addition to these external conditions, most organizations are also facing several global challenges including those related to talent flow; the managing of two generations of employees; and a shortage of needed competencies. One major result of these challenges for organizations is that they have to be global and that they have to be systematic in managing their human capital if they wish to have any hope of gaining and sustaining a competitive advantage in the years ahead” (2010, p. 122). They provide a useful differentiation between international human resource management (IHRM) and global talent management (GTM), suggesting that “global talent management is about systematically utilizing IHRM activities (complementary HRM policies and policies) to attract, develop, and retain individuals with high levels of human capital (e.g., competency, personality, motivation) consistent with the strategic directions of the multinational enterprise in a dynamic, highly competitive, and global environment” (2010, p. 124).

As the demand for the techno-socio-culturally competent employee grows, a number of factors have impacted the global supply of techno-socio-culturally competent employees: demographics (Strack, Baier, & Fahlander, 2008), workforce mobility, changing preferences for contingent workers, in-house and higher education training deficiencies, shrinking resources, growing inter-corporate competition, and the ability to attract workers given the cultural variation in motivators and expectations (Vance & Paik, 2010).

Finally, the reality is that an organization's workforce is no longer defined by a single organizational boundary nor a single national boundary. The situation mandates a global perspective on the identification and articulation of the competency requirements of jobs as well the competency supply available to the organization.

THE COMPETENT EMPLOYEE

A career development perspective on the part of employees, along with a competence supply/demand perspective on the part of organizations, is mandated for competitive advantage in a complex global business environment. Base competencies of *managing self*, *communicating*, *managing people and tasks*, and *mobilizing innovation and change*, plus global competencies, are the threads of the techno-socio-cultural employee. The organization's strategic commitment to attract, recruit, and retain techno-socio-cultural employees across a globally dispersed footprint will weave those threads into strong, versatile fabric.

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Workplace Learning

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Since the 1990s, workplace learning (WPL) has become one of the crucial topics in the area of human resource development (HRD). The significant research work done in the 1980s on transfer of training (Baldwin & Ford, 1988; Holton, 1996) not only showed us how corporate training might be made more effective. It also (or even primarily) taught us that, no matter how well prepared and executed a formal training course is, the ultimate effect on the workplace is affected much more by the characteristics of the learner (e.g., motivation, intention to apply) and, of course, by the characteristics of the workplace (e.g., supervisor, climate, organization of work) (cf. Holton, Bates, & Ruona, 2000; Van der Klink, Gielen, & Nauta, 2001). This finding sparked a renewed interest in the concept and practice of workplace learning.

PURPOSE OF THE CHAPTER

The purpose of this chapter is to provide a critical evaluation of workplace learning theories and practices. It will first provide an overview of the various concepts associated with workplace learning and their definitions. It will then proceed to cover the historical background of the concept. After an overview of some applications of the concept in organizational practice, the chapter will continue with a discussion of the various claims and criticisms associated with workplace learning, as well as an assessment of their legitimacy. It finishes with a brief overview of alternatives that have been proposed for the concept.

I will draw on the actor perspective that has informed my writing on the subject in the past twenty years (e.g., Poell & Van der Krogt, 2003a). This means that workplace learning in the following will be understood as an activity that can only be undertaken by employees; other actors (e.g., managers, HRD practitioners, professional associations, and so forth) can only influence the environment in which employee learning takes place, for example, by

offering (and/or making employees go on) formal training courses, by changing the work itself or the work conditions, and by increasing various opportunities for development in the organization (Poell & Van der Krogt, 2003a).

The chapter will argue that workplace learning is often, and unrightfully, equated with workplace training or even structured on-the-job training. Changing the emphasis from corporate training to workplace learning obviously has been much more than a play of words, or at least it should have been. While I do not believe workplace learning can be a tool of management (any more than a potential tool of employees, HRD practitioners, or any other actor), this does not mean that workplace learning is a given, stable reality that can nor will change over time as actors try to impact upon it. All in all, the relatively recent attention to workplace learning is an understandable reaction to the largely unfulfilled expectations of formal training efforts. Workplace learning, however, has always been at the heart of work practices and is not suddenly now the panacea for improved organizational effectiveness. Over-formalization of workplace learning could, instead, even diminish its considerable potential.

DEFINITION OF WORKPLACE LEARNING

Stephen Billett, who is a key author on workplace learning, defined workplace learning as the learner's participation in situated work activities. He conceived of the workplace as "a learning environment focusing on the interaction between the affordances and constraints of the social setting, on the one hand, and the agency and biography of the individual participant, on the other" (Billett, 2004, p. 312). Poell and Van Woerkom (2011) likewise described workplace learning as a natural and largely autonomous process derived from the characteristics of the work process and its inherent social interactions, often implicit and sometimes even hard to differentiate from doing the daily work. According to Felstead, Fuller, Jewson, and Unwin (2009), learning that goes on in workplaces includes everyday work activity (as well as on-the-job instruction and off-the-job training events).

There are, however, several terms related to workplace learning that one may encounter. Many authors talk about learning *in* or *at* the workplace, rather than about workplace learning. As far as I am concerned, these terms can be used as synonyms to a large extent. A more general concept is work-related learning, which stands for basically any learning activity that takes place in the context of work. This term should, however, not be confused with work-based learning, which refers to learning based predominantly in a work setting as part of a formal education program (often in higher education). I will return to this definitional issue later in the chapter.

Looking at the various definitions of workplace learning and its related concepts, a number of key elements can be discerned. First of all, learning in work contexts is regarded by many as an activity only the learner can do (cf. Kwakman & Kessels, 2004); the only thing that managers, HRD practitioners, professional associations, and so forth, can do is to influence the context where employee learning takes place. Learning itself has, of course, been described using many perspectives; a distinction often made in this connection is among behaviorist, cognitivist, and constructivist approaches. Constructivist approaches have become dominant since the 1990s, certainly in the work and organizational literature on learning. Learning has increasingly been understood as a process of construction, where the learner(s) and the work context influence one another continually (Billett, 2004; Felstead, Fuller, Jewson, & Unwin, 2009; Poell & Van der Krogt, 2002). Three types of learning activity are often distinguished (Poell, 2005):

- Learning as a by-product of working or “incidental learning.”
- Self-initiated learning, often referred to as “informal learning,” which, however, is not a very useful term if participating in work practices is considered learning (Billett, 2002). Self-initiated learning is an intentional, conscious pursuit on the part of the learner.
- Learning in formal settings (training courses, seminars, and so forth), where other actors than the “designated” learners have created a program or curriculum, which the learners “follow.”

The first two activities have traditionally been associated with workplace learning; the third one can be part of it but would not by itself be considered workplace learning. Poell and Van der Krogt (2009) have used the term “learning path” to refer to a particular combination of these three types of learning activity into something that is coherent and meaningful to the learner (see also Poell, 2005).

ORIGIN OF THE TERM “WORKPLACE LEARNING”

Victoria Marsick is another key author on the topic of workplace learning. As early as 1987, she had published a book entitled *Learning in the Workplace*, soon followed by a collaborative effort with Karen Watkins in the influential *Informal and Incidental Learning in the Workplace* (Marsick & Watkins, 1990). It seems, with hindsight, as if in the late 1980s and early 1990s the world was ready for a (renewed) focus on learning rather than on training and education. Pedler, Burgoyne, and Boydell (1991) had coined the term “learning company” in the United Kingdom, while Peter Senge (1990) had

done the same for “learning organization” in the United States. Lave and Wenger (1991) talked about “situated learning” on the job to explain how an employee learns the ropes. Learning (in the workplace) was fast becoming the new buzzword in the 1990s, sometimes without thinking through the implications of such a crucial new focus on activities conducted by the employee rather than by the trainer.

Another fertile ground for the concept of workplace learning to gain new prominence was created in the 1980s, when notions around experiential learning and reflective practice became popular among practitioners and academics alike. David Kolb put forward experience as a powerful source of learning and development in the decade when the belief in corporate training (that is, separating learning from work) was perhaps at the height of its power (Kolb, 1984). Nobody has since doubted the potential of workplaces to act as powerful contexts of experiential learning—even though that potential is not always capitalized upon or realized (Nijhof & Nieuwenhuis, 2008). Donald Schön showed us how professionals can learn and develop by reflecting both *on* and *in* practice (Schön, 1983), which again contributed greatly to the idea that work can be a rich context for further professional growth. Like experiential learning, the notion of reflection as a crucial activity (or even prerequisite) for learning to occur has never since been challenged much in practice, although it has drawn criticism of academics for its cognitive bias (Jordi, 2011).

THE HISTORY OF WORKPLACE LEARNING

Of course, workplace learning as such had always existed and was never really gone. One might say that it was “rediscovered” in the 1990s. The Industrial Revolution had created a need for large-scale organizations to have trained employees capable of operating context-independently. Education systems were created in the 19th and 20th centuries to fulfill that need. Learning was deliberately separated from working, and the new focus was on schooling and training. In terms of enabling mass production, this was a great success, of course. It also, however, led to the ultimate realization that creating a lot of distance between learning and working caused many problems related to the transfer of training to the workplace. At first, solving these problems was attempted by adding transfer-enhancing measures to training (e.g., Robinson & Robinson, 1989). After a while, however, scholars were starting to question the whole idea of separating learning from working in the first place (Billett, 2002; Wenger, 1998). After Sfard (1998) had distinguished between the acquisition and participation metaphors for learning, adding that they cannot do without each other, constructivism had basically taken over from cognitivism

as the leading learning theory, and the world was finally ready to start looking at workplace learning seriously again.

APPLICATIONS OF WORKPLACE LEARNING

First, a disclaimer is in order here. I think of workplace learning as something that is always there, in all workplaces at all times. Employees continually (although usually implicitly) adjust their individual action theories in order to be able to do their jobs, improve their performance, become or remain good team members, further their career interests, fulfill their personal development needs, and so forth. Most (but certainly not all) workplaces actually provide a conducive environment for employees to be able to do this. Employees can learn, for example, by doing their regular jobs (assuming they are not too static for too long), by taking on new tasks, by interacting with colleagues (preferably with other skill sets), by reflecting on the way they (and others) do things, by looking for already available knowledge and information, by modeling an experienced colleague, by changing work procedures that do not seem adequate to them, by taking lessons learned outside of working life and applying them to the job, by going on a training course that they feel would benefit them, and so forth. My point here is that something that is always there cannot really be “applied”; it is applied already, all the time, by all involved.

A brief clarification is needed here. One of the problems with the word “learning” is that it is used both to describe a process and a product that lends itself to issues of product-process ambiguity in literature. Learning (as a noun, a product) could result from workplace learning (as a verb, describing a process). I normally refer to learning as a verb, a process, rather than a noun, a product.

Having clarified that, in my opinion, workplace learning (as a process) is *not* an intervention and, to the extent that actors attempt to treat it like that, it will probably not deliver what they hope it will. Workplace learning has its own dynamics, which are shaped by the cultural and historical context in which it takes place as well as by the constant actions undertaken by *all* actors to get it to work for their best interests (Felstead, Fuller, Jewson, & Unwin, 2009; Poell & Van der Krogt, 2003b). This does not mean, obviously, that actors do not try to influence the learning that takes place in the workplace; they do so all the time. As soon as other actors than the ones doing the actual learning (the employees) start consciously influencing that very process, however (for example, by setting goals for the employees, by expecting them to develop certain predetermined skills or attitudes, or by simply making them go to a seminar they need to attend), I would argue that they are engaged in training rather than learning in the workplace.

The Link with Workplace Training

Many of the practices referred to as workplace (or, per the above, work-based) learning, therefore, are actually workplace training—although the outcomes of such training could be classified as learning gained in the workplace. This terminological confusion is problematic. For example, teacher training institutes (and many other professional bodies) expect their students to learn a lot of their teaching skills on the job, that is, in schools. Hence, they attempt to formalize the learning that should go on in that workplace, by setting learning goals, specifying activities that students should engage in, appointing mentors to guide them through the process, and so forth. Naturally, however, the workplace has its own dynamics that cannot be formalized by an outside actor (teacher training institutes). So students gain all kinds of experiences depending on what that particular workplace (and their mentors) can afford them, and depending on what initiatives they themselves take. There is obviously a lot of workplace learning going on there, but not necessarily the learning that the teacher training institute deems the most important. Yet they refer to this activity as workplace learning, part of the formalized curriculum (Timmermans, Poell, Klarus, & Nieuwenhuis, 2011).

Workplace training (e.g., structured on-the-job training; Jacobs, 2003) can actually be a powerful and effective way for employees to develop the necessary knowledge, skills, and attitudes. It can be more efficient than classroom training, as it takes out part of the transfer of training gap. Employees get to learn and apply the skills they are supposed to develop in the same workplace where they should ultimately use them. Structured on-the-job training, however, presupposes that the work skills to be developed can actually be broken down into neatly structured instructions. This may be true for some types of job, but certainly not for all of them, especially the more knowledge-intensive ones (Poell & Van der Krogt, 2003b).

As long as workplace training is not equated with workplace learning but rather is understood as (only) one way to increase the chances that employee learning will actually happen, there is not too much of a problem using both terms in the same sentence. They should not, however, be treated as synonyms, as this will only add to the already existing confusion around the term “workplace learning.” One useful framework that helps to flesh out these differences was presented by De Jong, Thijssen, and Versloot (2001). They started from the notion of workplace training, distinguishing among four models, which really form a continuum from workplace training to workplace learning (see Table 13.1). All four forms would be expected to exist in most organizations, although the extent to which one or two of them dominate likely differs across organizations.

Table 13.1 A Proposed Typology of Planned Training on the Job

| | <i>Job Instruction</i> | <i>Apprenticeship</i> | <i>Inquiry</i> | <i>Self-Evaluation</i> |
|------------------|----------------------------|---------------------------|--------------------------|--------------------------|
| Learning Process | Systematic skills training | Socialization/modeling | Analysis/problem solving | Feedback plus reflection |
| Trainee's Role | Application/practice | Participation/observation | Exploration/orientation | Goal setting/evaluation |
| Trainer's Role | Instructor | Master | Tutor | Coach |

From De Jong, Thijssen, and Versloot, 2001.

CLAIMS ASSOCIATED WITH THE CONCEPT

A key claim associated with workplace learning is that it is always there, in all workplaces. This was documented empirically by Marsick and Watkins (1990) as well as by Lave and Wenger (1993) and Billett (2001). Among others, Poell and Van der Krogt (2003a) have shown, however, that workplace learning differs from one type of work to the other (cf. Felstead, Fuller, Jewson, & Unwin, 2009). An important if much more general claim is that, actually, most learning employees engage in takes place in the workplace. Marsick and Watkins (1990) asserted that a mere 20 percent of what employees learn happens through formalized, structured training. A recent Dutch study even found that just 6 percent of all time that employees spend on work-related learning occurs in training courses and education programs; the rest is workplace learning (Borghans, Golsteyn, & De Grip, 2007). Some authors have gone so far as to say that workplace learning is “more effective” than formal training. While this may actually be more of a testament to the limited effectiveness of formal training, workplace learning is not an intervention, so it is difficult, not to say impossible, to isolate its effects.

Related to the aforementioned (flawed) idea that workplace learning can be equated to workplace training is the claim that workplace learning can be “used” by managers, HRD practitioners, and educators as effective ways of achieving complex goals in employees (some things are just best learned in practice). Workplace learning, however, can never be a tool of management if it is always there anyway. It should be kept in mind that workplace learning is a contested domain as much as the organization of work is; the different actors have different interests and ideas about what and how people should learn on the job (Felstead, Fuller, Jewson, & Unwin, 2009; Poell & Van der Krogt, 2003b). Still, Poell and Van Woerkom (2011) have managed to show that workplace learning can be supported through mentoring, coaching, facilitation, various team interventions, and so forth.

A final claim often heard in relation to workplace learning is that it, especially in its incidental guise, “cannot be managed or governed.” While this is true to the extent that workplace learning can never be an intervention, one should realize that employees who take (or are brought) to doing new work (especially in a new work environment) will learn new things in new ways (Billett, 2001; Poell & Van der Krogt, 2003b). Nevertheless, it can never be predicted exactly what and how they will learn. By changing the work, the learning that occurs through work changes as well. This is actually one strategy that all actors (not just managers) can use to make things happen in the organization.

CRITICIZING WORKPLACE LEARNING

In view of the above, criticizing workplace learning is like criticizing the earth we walk on and the air that we breathe. It is just there. So while there is not much point criticizing the practices of workplace learning, there are certainly some misconceptions surrounding the term that have been aired. One such misconception is that workplace learning is always good, positive, to be encouraged. There are many arguments against this claim. A prison is probably one of the best places for self-directed workplace learning, but not necessarily the kind we want as a society. Furthermore, workplace learning can make “undesirable” practices continue; innovation and double-loop learning do not come easily from workplace learning either. Also, sometimes it is just much quicker and much more effective to send people on a training course. Finally, sometimes it is necessary to formalize the learning process in a much more structured format; when security is an issue (think of pilots) or when employees are after the civil impact of learning (think of diplomas and careers).

Another common misconception around workplace learning is that it is not worth looking at because you cannot really manage it. This is probably why governments and (large) organizations keep emphasizing formal training, even though they may understand that the transfer of training is a big problem. Studies from several countries have shown how much HRD practitioners are struggling with this, aware of the importance of everyday and employee-initiated learning but largely unable to influence it (Chivers, Poell, & Chapman, 2001; Oostvogel, Koornneef, & Poell, 2011; Poell, Pluijmen, & Van der Krogt, 2003). On the other hand, the 1990s did see interesting experiments with employee development schemes and the accreditation of prior (experiential) learning, which have shown organizations the value of encouraging and recognizing workplace learning, even though it does not lend itself to functioning as a traditional tool of management all that well.

A final misconception I should like to highlight here is the idea that, if workplace learning is just there all the time, there is no need to try and improve it. One needs to keep in mind that the fact that learning in the workplace is a largely autonomous process, often hard to differentiate from daily work, is its strength as much as it is a weakness. On the upside, transfer problems are far less likely to occur; fewer investments are needed for training materials and personnel; and employees spend less time being unproductive, compared to formal training. Besides these advantages, however, there are a number of potential disadvantages to workplace learning. Some workplaces are badly equipped for learning, both materially (time, space) and socially (coaching, support); creativity and innovation are not necessarily encouraged by forging close links between work and learning; employees may learn the “wrong” things if there is no careful analysis, delivery, and evaluation (Poell & Van Woerkom, 2011). While the lack of creativity and innovation coming from workplace learning is probably difficult to avoid, workplaces can be changed by managers and employees so as to “invite” more learning, and collaborative reflection can be a powerful means to prevent employees and managers from learning the “wrong” things (cf. Tjepkema, 2003). To what extent HRD practitioners can play a role in the improvement of workplace learning remains to be seen, as they have relatively little influence on the way in which the work process is organized (Nijhof, 2004).

ALTERNATIVES SUGGESTED FOR THE CONCEPT

Again, there really is no alternative for workplace learning if it is conceived of as participation in work practices rather than as an intervention. It is just there. As I have mentioned above, those actors wanting to change workplace learning will have to change the work process itself. Nevertheless, many people think of workplace learning as another tool of management. Although managers can influence the organization of work and HRD practitioners can influence the organization of training programs, ultimately, employees are the only ones who can influence what learning takes place. No one else can learn on their behalf or force them to do so (Kwakman & Kessels, 2004). In organizations in which managers can actually decide to a very large extent on the organization of work (that is, not in professional organizations), there is a chance that they will have an impact on the WPL that employees engage in through the way they organize work. In most other organization types, workplace learning is a constantly contested domain that all actors try to influence: employees, managers, HRD practitioners, trade unions, and so forth. Whose influence dominates, or whether that can happen at all, will depend on the existing relationships among all actors (Poell & Van der Krogt, 2002, 2003b).

As was mentioned before, concepts related to workplace learning have been used by managers and HRD practitioners to influence what and how employees learn on the job, especially work-based learning and structured on-the-job training. Crucially, despite what the first term seems to imply, these are both training concepts rather than having anything to do with learning as such. There is definitely always a lot of learning going on in a training setting; however, to what extent this was the learning intended by the training providers is not easily established (Sloman, 2010). Of course, managers can (and often do) ask HRD practitioners to formalize and structure the learning that is supposed to go on, in their view, by conducting training needs analysis, by setting learning goals for the employees, by offering them training materials in line with those goals, and by evaluating to what extent the employees have “learned” the intended goals. It is easily overlooked, however, that as much as managers are trying to realize their strategies through learning, employees do exactly the same; and compared to managers, they may even hold a much stronger position of power when it comes to learning. Employees acting strategically in the area of learning or professional development have been little researched thus far, but this seems to be a key domain for better understanding the dynamics of workplace learning and HRD at large (Poell & Van der Krogt, 2010).

CONCLUSION

For employees, managers, HRD practitioners, and other actors alike, gaining a good understanding of what WPL is and what it can do for them is crucial. Research into workplace learning should have the aim of helping each of these actors, especially employees, better understand how they can influence workplace learning for their own interests and purposes. Just attempting to have HRD practitioners formalize and structure the workplace learning that goes on seems awkward, difficult, and ultimately ineffective. Employees are strategic actors as much as managers and HRD practitioners are (Poell & Van der Krogt, 2010). But how and to what extent do they act strategically? Does this differ from one organization or type of profession to the other? And how and to what extent do the various actors operate in learning, work, and HRM processes to have their ideas and interests realized?

In terms of implications for HRD practice, one might propose that the vision espoused in this chapter suggests that HRD practitioners should have more involvement in structuring workplaces and work practices to help create environments conducive to learning (the role of HRD practitioners as learning architects). This, however, is not as unproblematic as it may seem. HRD practitioners still have very little influence on what happens

in workplaces, where employees and managers “rule,” and this may not change overnight. I do believe that HRD practitioners can make a very worthwhile contribution here; however, they will first need to gain a foothold in the workplace—and, obviously, out of the training room and into the boardroom (cf. Yorks, 2005).

Having said that, HRD practitioners should put more effort into diagnosing what learning is happening in the various workplaces that make up their organization. It would also be worthwhile if they teamed up more with the key stakeholders, the learners themselves, to help them develop more understanding of their own learning in the context of the workplace and the organization, which could contribute to their further empowerment. Taylorist practices that are still prevalent in many organizations, however, may not be very conducive to this role of HRD practitioners, while at the same time such an HRD role holds the potential of furthering more participative management practices. As ever, it will be up to HRD practitioners to show to managers and to employees what their added value is, not just by presenting strategic policy plans and offering sound learning and development programs, but also by gaining a more in-depth understanding of the learning processes that occur in the workplace on an everyday basis, so that their plans and programs will land on fertile ground.

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CHAPTER FOURTEEN



Guiding HRD Research in the Work/Life Interface

The Importance of Work/Life Harmony in the Development of Interventions

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The line of sight strategically reflecting how and why work/life initiatives are beneficial to individuals, organizations, and communities continues to increase clarity and focus (Morris & Madsen, 2007). As reported in the work/life literature across multiple disciplines (e.g., management, family studies, psychology, sociology), the focus sharpens because work/life initiatives have altered, alleviated, and/or ameliorated the frequency and severity of various forms of work/life (sometimes called “work/family”) stress (Morris, 2008; Pitt-Catsoupes, Matz-Costa, & MacDermid, 2007).

Besides stress reduction, work/life initiatives have also demonstrated clear and measureable linkages to a number of value-added improvements and impacts involving absenteeism, tardiness, recruitment, health care costs, employee engagement and productivity, and firm performance (Arthur & Cook, 2003; Cascio & Young, 2005; Gilbreath & Montesino, 2006; Morris, Storberg-Walker, & McMillan, 2009; Perry-Smith & Blum, 2000). To illustrate, the Corporate Leadership Council (2012) recently reported findings from one of its longitudinal research studies on employee value proposition attractiveness (that is, the value-added employees receive from working for an organization) that work/life balance ranked second to compensation (which was ranked first) out of thirty-eight different EVP attributes (for example, benefits

Note: In this chapter, we will use the verbiage “work/life” unless specifically addressing family-related issues.

and co-worker quality). Additional research on these value-added improvements have been found in a wide variety of employment settings (Hill, Grzywacz, Allen, Blanchard, Matz-Costa, Shulkin, & Pitt-Catsouphes, 2008; Madsen, 2003), occupational groups (Morris, Heames, & McMillan, 2011), marital partnerships (Halbesleben & Rontodo, 2007; Hornsby & Munn, 2009), and cultural contexts (Lim, Morris, & McMillan, 2011).

As a complement to the scholarship found in other disciplinary areas regarding work/life initiatives, the disciplinary role and scholarly interest in work/life initiatives within the HRD community has begun to emerge. In fact, work/life issues were identified and highlighted by special issue co-editors Ruona and Coates (2012) as one of the leveraging pull forces (such as emerging trends, opportunities, challenges) that is stretching the HRD discipline and knowledge base (McMillan & Morris, 2012).

The purpose of this chapter is to further stimulate, guide, and promote scholarly contributions within the HRD discipline in the work/life arena (Kahnweiler, 2008). Because of the diverse and interdisciplinary subject matter expertise existing within the HRD discipline (research methods, assessment/evaluation, development interventions), we strongly believe that HRD scholars are uniquely positioned and qualified to be disciplinary leaders on the subject of work/life research and practice. As the number of HRD researchers and scholar-practitioners interested in pursuing the work/life area as a line of research inquiry or intervention development increases, we believe that the music metaphor of “*work/life harmony*” provides a positive, proactive, and promotable approach to exploring and understanding work/life dynamics (Dunst, Trivette, & Deal, 1988). The metaphor of *work/life harmony* was recently introduced in the HRD discipline by several scholars (Hill, Allen, Jacob, Bair, Bikhuazi, Langeveld, Martinengo, Parker, & Walker, 2007; McMillan, Morris, & Atchley, 2011). Through this chapter, we will attempt to provide a grounded rationale for how/why *work/life harmony* is consistent with the core beliefs (e.g., development, unleashing expertise, improving performance) that “motivate and frame” the HRD discipline (Swanson & Holton, 2009, p. 10).

In this chapter, the authors will

- Define work/life harmony and propose, identify, and describe the properties of work/life harmony; and
- Briefly explain “why” work/life harmony is a useful construct (as opposed to “balance”) for HRD scholars interested in researching, understanding, and developing interventions associated with the dynamics between the contexts of work and life.

Before discussing work/life harmony, it is important to briefly identify other work/life metaphors (constructs) that have historically influenced and

informed the work/life research and intervention landscape. Those work/life metaphors include enrichment (Friedman & Greenhaus, 2000; Greenhaus & Powell, 2006), facilitation (Frone, 2003; Grzywacz, 2002; Hill, 2005), balance (Greenhaus, Allen, & Spector, 2006; Greenhaus, Collins, & Shaw, 2003; Grzywacz & Carlson, 2007), enhancement (Graves, Ohlott, & Ruderman, 2007; Voydanoff, 2002), resource drain (Edwards & Rothbard, 2000), conflict (Greenhaus & Beutell, 1985; Gutek, Searle, & Klepa, 1991), compensation (Edwards & Rothbard, 2000), spill-over (Edwards & Rothbard, 2000; Grzywacz, 2000; Zedeck & Mosier, 1990), congruence (Edwards & Rothbard, 2000), segmentation (Edwards & Rothbard, 2000), integration (Bailyn, Drago, & Kochan, 2001; Friedman & Greenhaus, 2000), and enmeshment (Olson, Russell, & Sprenkle, 1989). Interested scholars should consult Morris and Madsen (2007) and McMillan, Morris, and Atchley (2011) for more details on these interesting work/life metaphors.

INTRODUCING WORK/LIFE HARMONY

The broader concept of *harmony*, as applied to the discipline of management and other non-management disciplines (e.g., counseling/therapy), is relatively new. According to Vallejo-Martos (2011), the idea of *harmony* was initially promoted in the Human Relations School as a way to describe cultures (working atmosphere/environment), organizational dynamics (participation, decision-making processes), and relationships (trust, cooperation, support) with the intent of improving the way individuals, families, and businesses functioned and operated. Since then, the idea of harmony has found acceptance from scholars interested in research involving human resources (Stum, 2001), family psychotherapy (Yap & Tan, 2011), family business/firm (Kidwell, Kellermanns, & Eddleston, 2012; Vallejo-Martos, 2011), and work/life facilitation (Hill, Allen, Jacob, Bair, Bikhuazi, Langeveld, Martinengo, Parker, & Walker, 2007). However, the number of scholars who have also provided definitions and subsequent conceptualizations of harmony has been limited or underdeveloped (McMillan, Morris, & Atchley, 2011). A rare exception to this pattern has been found in family firm/business research (Kidwell, Kellermanns, & Eddleston, 2012). Kidwell and colleagues (2012) defined harmony in the context of *family norms* within family businesses in the following manner: “the degree to which a family perceives standard patterns of family behavior that demonstrate synchronization and integration among family members that can also be indicated through family members’ interaction in the family firm” (p. 507).

Regarding the construct of *harmony* in the work/life context, McMillan and colleagues (2011) extensively reviewed the available peer-reviewed literature on work/life harmony and found that, in most cases, researchers

and practitioners have utilized the term *harmony* for descriptive (peacefulness) and conventional purposes (inserted in the title of an article, describing the qualities) (Vallejo-Martos, 2011; Yap & Tan, 2011). Thus far, work/life researchers have begun adopting and using the construct without providing a clear definition or conceptual framework (a) in their research (Broman, 2001; Hill et al., 2007; Vallejo-Martos, 2011); (b) in their development and/or evaluation of training programs and interventions (Wiley, Branscomb, & Wang, 2007); and (c) in their preparation of trade articles and/or government publications intended to make recommendations to employers on how to use work/life strategies to optimize business performance (Hawkins, 2007; Singapore Ministry of Manpower, 2005). As noted earlier, this is a similar pattern found in the broader use of the term among other disciplinary areas.

THE DNA OF WORK/LIFE HARMONY AND ITS PROPERTIES

The modern-day word “harmony” originated from the Greek word *harmonia*, which means “the just adaptation of parts to each other, in any system or combination of things, or in things, or things intended to form a connected whole.” Synonyms of harmony include: “concord,” “unity,” “peace,” “consistency,” “agreement,” “accord,” and “joint” (“Harmony,” n.d.). Most frequently, the word harmony is used in the fields of music and literary works. According to music theory, harmony occurs when the ear hears a pleasing, desired, relaxing, and blended balance of simultaneously created combinations of consonant (stable, relaxing) versus dissonant (unstable, tension-producing) notes or sounds. Applied to literary works, harmony involves the bringing together or systematic arrangement of parallel passages or events to show agreement or consistency.

Based upon this understanding, in conjunction with an expansion of our original thinking about this concept (McMillan, Morris, & Atchley, 2011; Morris & McMillan, personal conversation, May 20, 2010), we now propose that “work/life harmony” be defined as follows:

Work/life (family) harmony is a state-like indicator of well-being influenced by adaptive strategies used to intentionally create a synchronized and complementary arrangement of work and life (e.g., personal, friend, spouse, parent, child) roles, relationships, responsibilities, and resources that are aligned and positively reinforce an integrated narrative of work and life that is productive, satisfying, and fulfilling in both domains.

Exegesis of this definition now follows to identify, interpret, and explain what we believe are the key operating (i.e., DNA) properties that are centrally important to understanding and producing work/life harmony.

First, our definition includes work/life harmony is a *state-like indicator of well-being*, rather than a trait-like indicator of well-being. According to Luthans, Avolio, Avey, and Norman (2007), states and traits operate along a continuum determined by the relative degrees of stability in measurement and openness to change and development (p. 544). Further, states or state-like constructs are more momentary, relatively malleable, and open to development. Conversely, trait-like constructs are more stable, fixed, or difficult to change. As a more state-like indicator of well-being, harmony is dependent on the moment, with the potential to change. As a lived experience, harmony is highly dynamic and fluctuating and, therefore, cannot be taken for granted like traits (e.g., intelligence). More importantly, because harmony is more state-like, we also believe that it can be developed through increased awareness and practice.

Second, we believe work/life harmony includes the influence of *adaptive strategies* that promote flexibility and adjustment capabilities between the spheres of work and life. The value-added importance of flexibility and adjustment in adaptation has been repeatedly recognized in the work/life and stress literatures. Moen and Wethington (1992) defined adaptive strategies as “the actions that are devised for coping with, if not overcoming, the challenges of living, and for achieving goals in the face of structural barriers” (p. 234). As examples of adaptive strategies, Haddock, Zimmerman, Ziemba, and Current (2001) used a grounded-theory interview approach and found that successful dual-career couples structured their work/life arrangements around ten themes that included: valuing family; valuing time together; striving for partnership; deriving meaning from work; boundary maintenance; focus and productivity; taking pride in dual earning opportunities; possessing a simple, less complex lifestyle; prioritizing family fun; and making decisions proactively.

Third, we believe work/life harmony is optimized when roles, relationships, responsibilities, and resources are *intentionally* arranged in *synchronized and complementary* ways. Being *intentional* assumes that individuals and their families are competent, empowered actors capable of engaging in an active, creative, participatory, and decision-making process to respond, reduce, and rework and/or reframe constraints/barriers that they encounter in their work and/or life situations. Individuals (and their families) are not considered passive, submissive, or compliant. Instead, they are thought of as assertive, rational, flexible (adaptive), and goal-directed agents who are empowered to influence, function, and operate with and around the work/life constraints/barriers/challenges they encounter.

Synchrony means *to occur at the same time* (“Synchrony,” n.d.), whereas *complementary* means *to arrange things in such a way as to mutually enhance or emphasize the other’s qualities* (“Complementary,” n.d.). A *synchronized*

and *complementary arrangement* of work/life roles, relationships, responsibilities, and resources means that harmony recognizes that simultaneous and parallel experiences of work and life activities occur at the same time, and while doing so, the domains of either work and/or life operate in ways that positively reinforce and “bring out the best” qualities in either domain. In other words, harmony can be created, sustained, and benefitted from when individuals, families, supervisors, and organizations recognize that the healthy arrangement of work *and* life roles, relationships resources, and responsibilities matter to both domains. The concept of *synchrony* helps us realize that work and life roles, relationships, responsibilities, and resources constantly occur at the same. As a result, when individuals are primarily focused on “work-related” roles, relationships, responsibilities, and resources, there is another complete set of salient “life-related” roles, relationships, responsibilities, and resources simultaneously occurring in the background. The same is true in the opposite direction. Thus, the notion that individuals are expected to focus on one part of their lives, while being simultaneously expected to segment, detach, or “place on hold” other parts of their lives is contrary to harmony. Work/life harmony considers the experiences of work and life—holistically. Further, the concept of *complementary* helps us realize that both sets of work and life roles, relationships, responsibilities, and resources collaborate together, rather than compete against each other, to energize, enhance, enrich, reinforce, and elevate the other. In other words, with harmony, a lopsided zero-summed approach does not exist whereby one domain benefits at the expense of the other domain. Instead, because both domains seek optimized outcomes, they work together for win-win solutions, recognizing that wins in one domain are more likely to contribute to wins in the other domain.

Fourth, we believe work/life harmony includes properties that are *aligned and contribute to an integrated narrative of work and life that is productive, satisfying, and fulfilling*. Embedded within this final portion of the harmony definition that we have offered are several principles that are blended together and contribute positive outcomes. Those properties are as follows: (a) alignment; (b) positive reinforcement, (c) integration; and (d) outcomes or consequences. According to Holbeche (1999), the property of *alignment* includes bringing together every aspect and activity of a system in order to move in the same direction to achieve goals and objectives. Applied to work/life issues, the “system” refers to the overlapping interface existing between the system of work and the system of life. The work system and the life system have a symbiotic relationship, working collaboratively together to *positively reinforce* each other (that is, not at the expense of the other) to produce harmony. With work/life harmony, the domains of work and life mutually experience positive synergistic outcomes.

Integration is a solution representing a holistic strategy, including efficient and effective coordination of efforts and energies among all interested parties to fulfill their work/life obligations (Morris & Madsen, 2007). As a healthy system of flexible and permeable boundaries, integration enables and promotes equal attentiveness and connection with priorities and valued activities originating in the work and life domains (Ashforth, Kreiner, & Fugate, 2000; Bailyn, Drago, & Kochan, 2001; Christensen, 1997; Clark, 2000). Living within a holistic system of support, individuals are never expected to permanently lose sight of the “greater whole” (Morris & Madsen, 2007). While the individual’s line of sight is temporarily focused on a primary domain, integrated individuals never lose sight of the other domains, which are always viewed in the background.

We propose that the ultimate goal and outcomes of work/life harmony are increased *productivity, satisfaction, and fulfillment* in the dual domains of work and in life. As a caveat, we do not believe genuine harmony in the work/life domain is limited to just three outcomes: productivity, satisfaction, and fulfillment. Our hope is that harmony will become a more frequently researched construct (quantitatively and qualitatively) in the HRD discipline and potential antecedents, mediators, moderators, and outcomes can be credibly identified and explored. With that stated, however, we do believe these three outcomes are a good holistic gauge of “what” and “how” individuals and organizations are doing and developing in a positive direction (e.g., thriving) (Porath, Spreitzer, Gibson, & Garnett, 2012; Spreitzer, Sutcliffe, Dutton, Sonenshein, & Grant, 2005).

More specifically to the outcomes of productivity, satisfaction, and fulfillment, we envision that these indicators should include measurement on both sides of the work and life domains. For example, in terms of work, productivity measures could include indicators of participation-related outcomes (attendance, tardiness) and other performance-related outcomes (e.g., citizenship-behaviors engagement) (Morris, Heames, & McMillan, 2011; Morris, Storberg-Walker, & McMillan, 2009). At home, productivity measures could include indicators of division of labor, school performance, family functioning, family engagement, and resource management (Zvonkovic, Notter, & Peters, 2006). Similarly, regarding work satisfaction, measures that explore constructs like supervisor/peer support, workplace conditions, advancement, and development opportunities would be important to investigate (Biron & Bamberger, 2012; Judge & Church, 2000). Within the family, indicators of satisfaction could include measures like the quality of communication within the context of marriage and/or parenting, emotion regulation, closeness, and cohesion (Sanford, 2012). Additionally, regarding fulfillment, Park and Peterson (2003) have indicated that fulfillments “reflect effort, the willful choice, and pursuit over time of morally praiseworthy activities” (p. 38).

Lopez, Snyder, and Rasmussen (2003) have indicated measures of fulfillment are “quite complex in their make-up, thus rendering them difficult to operationalize” (p. 8). However, proxy measures for work and life fulfillment could include measures that assess well-being, meaningfulness, and connectedness (Lopez, Snyder, & Rasmussen, 2003).

Figure 14.1 provides a visual representation of our understanding of work/life harmony illustrating how adaptive strategies establish and promote the essential DNA properties (synchrony, alignment, complementary, reinforcement, integration) that bind the intertwined domains of work and life to produce productive, satisfying, and fulfilling experiences of work/life harmony.

Now that we have provided a definition and detailed analysis, interpretation, and explanation of the DNA properties operating within our proposed definition of work/life harmony, in the next section of this chapter we would like to briefly explain “why” harmony is a useful construct (as opposed to “balance”) for HRD scholars. Then, in the final section, based on our understanding

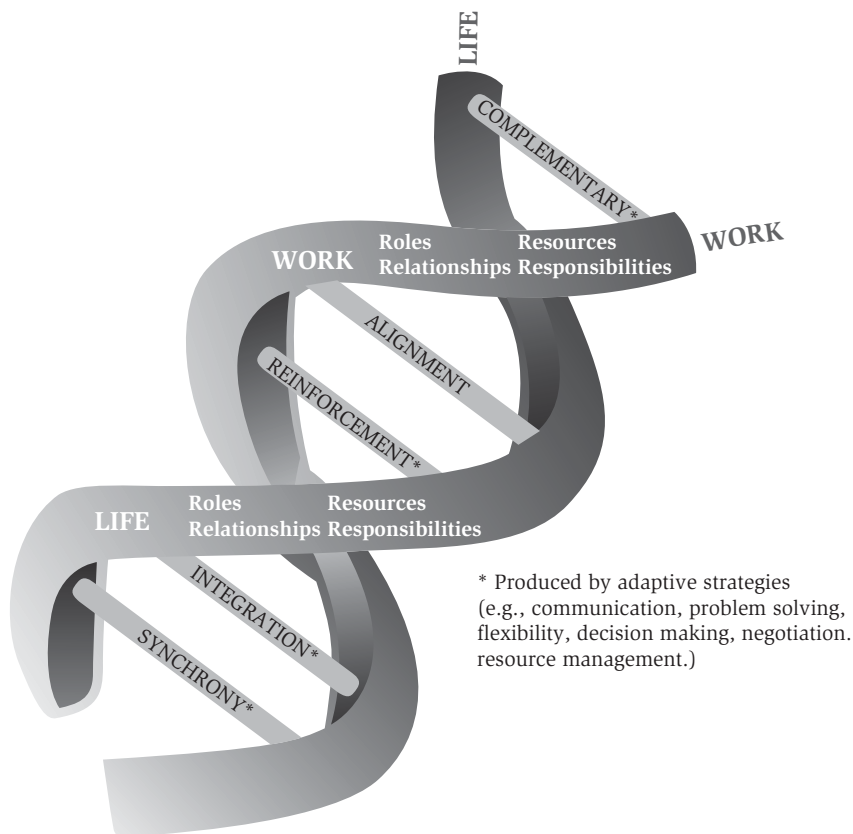


Figure 14.1 The DNA of Work/Life Harmony

of harmony, we want to offer the reader some potential research questions and areas for developing interventions associated with the dynamics between the contexts of work and life.

WHY WORK/LIFE HARMONY IS A BETTER METAPHOR FOR EXPLAINING WORK/LIFE DYNAMICS

First, no doubt, other metaphors like “*work/family balance*” receive considerable attention and are frequently referenced in our everyday language by a wide variety of audiences (Morris, 2009). In fact, Pitt-Catsoupes, Kossek, and Sweet (2006) indicated that metaphors like the “work/family balance” phrase are “almost taken for granted” as work/life metaphors (p. 9). As a result, although some very useful definitions have been offered (Grzywacz & Carlson, 2007), finding *commonly accepted* definitions of metaphors like “work/family balance” within the work/life literature has been challenging (Frone, 2003). For example, Carlson, Grzywacz, and Zivnuska (2009) indicated that, despite the work/life balance metaphor’s appeal and use in the popular and scholarly literature, “work-family balance” is an underdeveloped concept (p. 1462). Generally speaking, everyday language metaphors do not guarantee usefulness for developing theory, psychometrically sound measures, or creating, implementing, or evaluating interventions. Definitions serve as a roadmap in developing the methods and content we use to research with and assist others in juggling the interface challenges between work and life.

Second, metaphors like “balance,” when compared with “harmony,” in the work and life context setup implied cognitive dualities. Caligiuri (2008) noted that *balance* sets up a win-lose competition between the world of work and life and, usually, demands of work always prevail over the needs of life. Friedman, Christensen, and DeGroot (1998) labeled this win-lose competition a “zero-sum game,” in which gains in one area represent losses in the other area. Similarly, Nicholls (n.d., para. 2) indicated *balance* reinforces a dual agenda for life—“one at work and one away from work.”

In contrast, the metaphor of harmony promotes collaboration (not competition) between work and life so that the mutual desires of both domains can be realized. Building upon the applications of harmony within music, Hill (2008) contended that harmony provides more composing, orchestration, and direction in life. Because harmony is more inclusive to all aspects of life, we believe harmony is more holistic and provides greater opportunities for long-term satisfaction and fulfillment. McMillan, Morris, and Atchley (2011) contended that harmony extends beyond metaphors like balance because it integrates the concepts of conflict and enrichment, thereby creating

a situation of negotiation and sharing in work *and* life roles, relationships, resources, and responsibilities. Work/life harmony recognizes that individuals will experience times of conflict and enrichment in their respective work/life roles, relationships, and responsibilities, as these experiences are not self-contained or mutually exclusive to a particular work or life domain. As previously noted, harmony allows for the individual to intentionally create a synchronized and complementary arrangement of roles, relationships, resources, and responsibilities . . . [that] contribute to an integrated narrative of work/life that is productive, satisfying, and fulfilling. Individuals can choose to sacrifice time, engagement, or satisfaction in any role at any time to fulfill the needs of another role, and still maintain their overall feeling of “harmony.”

Finally, and of particular benefit to HRD, work/life harmony goes beyond balance because it can be applied to individuals or organizations. Because of the inconsistency in construct definitions, work/life balance has been difficult to conceptualize, and ultimately, measure (McMillan, Morris, & Atchley, 2011). Therefore, little research exists examining the strategic impact of work/life balance on organizations. The only research of note available has examined the impact of work/life balance, as measured by work/life practices and programs, on organizational outcomes (Beauregard & Henry, 2009). In their meta-analysis, Beauregard and Henry found that work/life balance practices and programs have little, if any, direct effect on traditional organizational outcomes, like ROI and profitability. Instead, and corresponding with Morris et al. (2009), work/life balance practices and programs affect outcomes like turnover and productivity. However, Beauregard and Henry note that it is possible that positive effects are moderated by any number of factors (e.g., managerial support and job context), thereby making the benefits difficult to contribute to work/life balance (2009). We believe that the difficulty in making the connection between work/life balance and organizational outcomes stems from two factors: (1) inconsistency in the definition and measurement of balance and (2) the incompatibility between the narrow, individual focus of balance and the broad focus of organizational outcomes.

Harmony overcomes this disconnect because it can be evaluated at the individual or organizational level. At the organizational level, the health of specific departments, or the organization as a whole, can be “spot-checked” to determine whether sufficient developmental (e.g., additional skills training) and efficiency (e.g., managerial support to focus on specific tasks) resources are available. This spot-check occurs by examining the reported levels of conflict and enrichment of all individuals within the department. In checking the “health” of these departments, HRD practitioners can develop and apply interventions specifically designed to benefit the needs of the department at that time. This examination is particularly useful in times of organizational

change or uncertainty (McMillan, Morris, & Atchley, 2011). Departmental (and individual) outcomes from before and after the intervention can be compared to determine the impact of the intervention.

RECOMMENDATIONS TO HRD RESEARCHERS AND PRACTITIONERS

Because work/life harmony is a relatively new concept in work/life and HRD, considerably more needs to be done by researchers and practitioners to develop an agenda for research and practical applications. The recommendations for research and practice offered below are only the beginning of an extensive number of research and practice opportunities.

Recommendations for Research

Many factors exist that benefit the development of a research agenda for work/life harmony. First, there is a great deal of interest on behalf of organizations to understand how an individual's experience of work/life influences organizational outcomes (Morris, 2008). Second, because of the multidisciplinary interest in work/life issues (e.g., HRD, industrial/organizational psychology, family research, and stress research), there are multiple approaches for discovering the *what*, *whys*, *whos*, and *hows* of harmony. Specifically, *what* are the specific factors (e.g., alignment, synchrony) around work and life roles, relationships, resources, and responsibilities that contribute to the productive, satisfying, and fulfilling experiences of harmony and *why* are they important? Additionally, *who* is most likely to benefit from interventions and *how* do adaptive strategies assist individuals and their organizations to manage their work and life situations in order to create flexibility that produces a more harmonious work/life experience? Having multiple approaches allows for a cross-domain reinforcement of findings, which speeds the development of the research agenda.

To best further our knowledge of work/life harmony, two lines of research should be occurring simultaneously: theoretical development and measurement development. Our first charge to researchers is to examine how existing theories, alone or in combination, provide a lens for examining harmony. Because measure development is also necessary, and can potentially contribute to theoretical understanding, we believe that a grounded theory approach may be the most useful to researchers. As described by Martin and Turner, grounded theory "is an inductive, theory discovery methodology that allows the researcher to develop a theoretical account of the general features of a topic while simultaneously grounding the account in empirical observations

or data” (1986, p. 141). Additionally, grounded theory research allows for inductive theory development: essentially, we believe that work/life harmony exists, but we don’t know why. Our call to researchers, regardless of discipline, is to explain what we believe to be true. It is also imperative for researchers to consider both individual and organizational approaches in their theoretical development activities. As previously discussed, because harmony is applicable at both levels, it is important to ensure that researchers investigate theoretical drivers at both levels.

Regarding the second line of research development, it is necessary to create a psychometrically sound measure of work/life harmony. While the focus should begin with the individual, it is important that measurement development continue on to the organizational level. Additional efforts should be devoted to examining the spillover and crossover effects of one individual’s reported harmony to spouses/partners, children, and co-workers. Identifying areas of spillover and crossover, both positive and negative, can be useful to practitioners for developing interventions. Finally, based on theoretical research and measurement development, it is necessary to determine the antecedents, outcomes, and mediators/moderators of harmony. Once a tool is developed to accurately assess harmony, then additional studies can be conducted to determine its antecedents, as well as how it interacts with other variables, such as self-esteem, narcissism, citizenship behaviors, engagement, turnover, and goal orientation, to affect individual and organizational outcomes. These individual and organizational outcomes are nearly infinite, but can include life, job, couple and parental satisfaction, personal health, organizational return on investment, profitability, productivity, and retention (Morris, Storberg-Walker, & McMillan, 2009).

Recommendations for Practice

Morris and Madsen (2007) note that “by better understanding work/life theory, issues, challenges, and possible solutions, HRD professionals can strategically change the work culture, redesign work, implement training programs, and tailor career programs or assistance strategies enabling employees to be more engaged, productive, and fulfilled” (p. 440). Achieving increased family-related and organization-related productivity and engagement through initiatives requires HRD professionals to fully understand the nature of family and organizational system implications of their employees’ work/life issues. We believe that by focusing on harmony, HRD professionals can more accurately target specific employee issues for intervention, thereby providing more effective and efficient interventions. In this instance, interventions include any policy, program, practice, or benefit designed to promote harmony (Morris, Storberg-Walker, & McMillan, 2009). Interventions work in one of two ways,

either by alleviating or ameliorating stress manifested through work/life conflict, or by providing new or expanding existing resources available through enrichment gains. As Morris and colleagues said, “as an OD [HRD] intervention, work/life interventions enable individuals to experience greater and more optimal work/life situations . . . enabling them to unleash levels of human expertise for maximized levels of performance” (p. 421).

Specifically, we call on practitioners to help further our understanding of work/life harmony by not only developing and implementing harmony interventions, but also measuring their impact on individual, family, and organizational outcomes. This requires practitioners to craft interventions that address, foster, and support adaptive strategies (e.g., communication, time management, negotiation, and problem-solving skills) that produce flexibility in their roles, relationships, resources, and responsibilities in order to cope with their sometimes diverging or incongruent personal, family, and work-related goals and expectations. However, simply developing interventions is not enough to further the harmony agenda. Practitioners must also develop delivery methods that most effectively and efficiently get the interventions in the right amount of dosages to employees and their families. Interventions that assist employees in maximizing their organizational productivity are effective and efficient uses of organizational resources. Not only is this beneficial to employees, families, and their organizations, but to the HRD discipline as a whole.

Our belief is that as the new metaphor (construct) of work/life harmony begins to take root in the work/life arena, we must have a clearly defined construct. As we have presented in this chapter, continuing to use a metaphor, without providing a conceptual definition, undermines the potential usefulness and credibility of the construct for theory development, research exploration, and practitioner applications. Similar omissions have occurred with other concepts within the work/life research domain (balance, flexibility) (Grzywacz & Carlson, 2007; Hill, Grzywacz, Allen, Blanchard, Matz-Costa, Shulkin, & Pitt-Catsouphes, 2008). Cleveland (2005) and Grandey and Cropanzano (1999) have challenged work/life researchers to better define their research theories, constructs, and conceptual frameworks. Through the use of the conceptual definition and DNA model, we believe that this chapter provides this foundation for the construct of work/life harmony.

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The Inner Work of Self-Formation in Work-Related Learning

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In 1977, Johnny Paycheck's hit song, "Take This Job and Shove It," seemed to crystalize the bitterness and resentment that many felt about their work. Over the last thirty-five years, however, we have seen little improvement in worker satisfaction. In fact, it may have gotten worse. In a review of the literature on job satisfaction, Kalleberg (2011) concluded that "the overall level of job satisfaction in the American labor force has declined since the 1970s" (p. 176). In describing their relationship to their work, many individuals reflect a sense of alienation, dissatisfaction, and a general lack of meaning and purpose in their work. Kalleberg reported that, in the 1980s and 1990s, wages did not rise significantly, while jobs became more demanding and more pressured (Cartwright & Holmes, 2006). Work is perceived as a form of performance that is measured by its levels of productivity and its ability to contribute to the corporate bottom line (Burke & Cooper, 2006).

Yet, a takeoff title, "Take This job and Love It," spawned publication of numerous books, articles (e.g., Bodian, n.d.), and workshops. Some thirty years later, this re-working of Paycheck's original title was even featured as an episode in the television series *Hannah Montana* (http://en.wikipedia.org/wiki/Take_This_Job_and_Love_It!#ep34). Unlike the album and the television episode, our feelings toward our work are typically more complicated. We often feel like we want to both "love it" and "shove it," sometimes at the exact same time. Writing about how individuals held in an internment camp in China during World War II organized their common lives, Gilkey observed the work had become for the community both central and problematic: "Work and life have a strange reciprocal relationship: only if man works can he live, but only if the work he does seems productive and meaningful can he bear the life that his work makes possible" (Gilkey, 1966, quoted in Meilaender, 2000, p. 1).

The spirituality of work movement (Brown, 2003; Butts, 1999; Ottaway, 2003) suggests that work can and often does mean more to individuals, groups, organizations, and communities than the sheer drudgery suggested in Paycheck's song. Across a wide range of historical contexts and manifest through an array of media, work for many seems to express a sense of the self of the individual worker or the group (Taylor, 2000; Whyte, 2001). They want to feel that what they do has purpose and meaning, not just to themselves and their own lives but to others and to the broader world.

This chapter reflects an ongoing effort in which I have been engaged to learn more about and to elaborate purpose and meaning within the everydayness of our lives, especially as this question relates to contexts of teaching and learning. Spanning almost twenty years, this ongoing inquiry has largely focused on our experiences of work, the workplace, learning related to one's work or profession, and the significance of these experiences for the larger context of our lives (Dirkx, 1995, 1996, 1997, 1999, 2001, 2005, 2008, 2011; Dirkx & Deems, 1996; Dirkx, Gilley, & Gilley, 2004; Kovan & Dirkx, 2004). There is little evidence that the spirituality of work movement has had much impact on formal and informal forms of work-related learning. With few exceptions (English, Fenwick, & Parsons, 2003; Gallagher, Rocco, & Landorf, 2007), a scholarship of spirituality of work-related learning is almost nonexistent.

This chapter builds on the spirituality of work literature, especially as this literature reflects a concern for self-formation within the context of work. In this chapter, I argue for the importance of attention to self-formative processes inherent in formal and informal work-related learning contexts, and to develop pedagogical and curricular structures that support such processes. Framed largely within Jungian and post-Jungian thought, this perspective emphasizes the importance of the unconscious in shaping and forming meaning in work at individual and collective levels (Hillman, 1989; Stein, 1998; Stein & Hollwitz, 1992), and imaginative engagement in the everydayness of work and its emotion- and image-laden contexts (Jones, Clarkson, Congram, & Stratton, 2008; Moore, 2008).

THE MEANINGS OF WORK-RELATED LEARNING

How we understand the meaning of work and learning associated with it is critical to developing a deeper understanding of work-related learning beyond traditional rational-functionalist perspectives. Approached broadly, I define work-related learning as learning that occurs within education for work and training programs, as well as within the context of performing work itself (Dirkx, 2011). This definition includes formal programs intended to prepare

individuals for a profession, a trade, or a particular skill of some kind, such as medicine, nursing, engineering, law, teaching, accounting, automotive mechanics, tool and dye making, and so forth. Formal programs of work-related learning also include continuing education or training for incumbent workers, often referred to as in-service education, in-house or on-the-job training, or continuing professional development. Examples of these forms of work-related learning include continuing professional education for a variety of professions, such as nursing, medicine, accounting, and teaching, as well as on-site or off-site training programs offered through particular businesses.

Occupying a somewhat ambivalent location in work-related learning are academic programs often used by practitioners to further or advance their knowledge, skill, or careers. Included in this group would be graduate-level programs in a variety of fields, such as master's or doctoral programs in education and business. Examples include a successful electrical engineer in the early stages of her career decides to pursue an MBA as part of her career development, or a director of faculty development at a community college returns to school to obtain a doctorate in higher education so that he may pursue higher level administrative positions within his field. As part of an effort to switch careers or respond to the loss of prior positions, adults also can pursue certificate or degree programs within the community college or university settings. A forty-year-old millwright who lost his job because his factory closed may seek retraining as a lineman in a program within the local community college. A thirty-five-year-old nursing assistant may decide to fulfill a lifelong dream of being a school teacher and enroll in a university teacher education program.

In addition to formal work-related learning programs, I am also interested in learning that occurs more informally, within the context of one's everyday work. For example, we have studied learning experiences of workers that arise within the context of front-line production (Brockman & Dirkx, 2006) and deeper forms of learning that occur among environmental activities within the context of the work that environmental activists perform (Kovan & Dirkx, 2004). Others have studied the developmental role that managers play in facilitating the learning of those in their charge (Ellinger, Watkins, & Bostrom, 1999).

For purposes of discussion, we may consider all of these forms of learning as work-related, as processes intended to increase the capacity of the individual to perform at satisfactory or acceptable levels within a given occupational role or position, to meet the needs of the workplace reality, or to cope with the changing needs and demands of the workplace. Work is what the individual produces or puts out, and learning and development is what is needed or required for the individual to stay at these levels of performance or even increase it. Clearly, important differences exist across these various contexts and I don't mean to minimize issues that require further and more extensive

consideration. I leave for a later time exploration of the nuances for a spirituality of work-related learning that specific disciplines might pose. Learning within these various contexts may actually encompass more than the specific requirements of a given job or profession. These broader dimensions of work-related learning, however, actually suggest meanings for work-related learning that extend beyond its often functional orientation, a point from which this current argument develops. To go beyond the meaning of work-related learning as simply the acquisition of specific knowledge and skills for a given occupation or profession, it is important to consider the various meanings that have been attributed to work.

DIFFERENT WAYS TO UNDERSTAND THE MEANING OF WORK

As Hall (2011) points out, many dictionary definitions of work exist, both as a noun and a verb. Such a multiplicity of definitions suggests that the term refers to a variety of forms of activity embedded within human experience, including both paid employment and formal jobs, as well as other forms, such as the unpaid work of being a parent and some leisure activities. For purposes of this discussion, however, I am focusing on work as paid employment, and that usually involves formal jobs or occupational positions, “purposeful human activity involving physical or mental exertion that is not undertaken solely for pleasure” (Hall, 2011, p. 2), and that holds economic value. My primary focus here is on forms of work that require some kind of formal preparation or learning in order to perform the activity, as well as ongoing learning once one is in a paid position.

No single meaning can be attributed to or associated with work, as illustrated by the story of the three workers breaking rock into little pieces. “Asked what they were doing, the first answered, ‘Making little rocks out of big rocks.’ The second replied, ‘Making a living.’ And the third said, ‘Building a cathedral’” (Meilaender, 2000, p. 1). These responses somewhat parallel the general themes of thinking about work that are reflected in the scholarship on the meaning of work. Meilaender described a typology of four broad approaches: (a) work as co-creation, (b) work as necessary for leisure, (c) work as dignified but irksome, and (d) work as vocation. These four approaches roughly encompass the eleven different, more specific “thoughts” of work reported by Hall (2011). The following sketch of the meanings of work, on which the present work is based, is largely derived from a synthesis of the writings of Meilaender and Hall about the meanings typically associated with work.

One way of thinking about the meaning of work is as a commodity, a “productive effort that has tradable value” (Hall, 2011, p. 14). This meaning is portrayed in the second worker in the story who described his work of breaking

rock as “making a living” and also in Meilaender’s (2000) notion of work as necessary for leisure. In this sense, work means to the individual activity pursued to provide one with the economic means to provide or pursue other interests, such as supporting a family or a particular lifestyle. It reflects a kind of exchange—one’s effort or expertise for certain monetary gains. As such, this meaning suggests relatively little engagement of the person of the worker, other than to the extent that one’s choice of work or career might be influenced by perceived economic needs one’s lifestyle may generate and the kind of work necessary to adequately address these needs. For many workers, work as an economic necessity is accompanied by a pervasive sense of work as a negative quality or factor within one’s life. In this sense, work represents a kind of burden that is accepted for one’s own survival or the survival of society.

Related to the meaning of work as a commodity is the idea that work can provide a certain degree or level of freedom, either from nature or fellow humans, or both (Hall, 2011). For example, in some developing countries in Africa, emphasis is now being placed on helping subsistence farmers learn to farm in ways that make them less vulnerable to fluctuations in the weather (Fritsch, Wegener, Buchenrieder, Curtiss, & Paloma, 2010). Recent interest in self-employment and starting one’s own business (Guillebeau, 2012) indicates an interest among a number of persons to be less dependent on employers and be in more control of their own destiny. This notion is also reflected in Meilaender’s (2000) notion of work as leisure, in which work makes possible given amounts of one’s time that is considered one’s own to do with as he or she feels fit.

For many, however, work provides meaning beyond its value as a commodity, burden, or a capacity to achieve a certain level of financial independence. For some, work provides opportunities to engage with and provide service for others. Like one of Houle’s (1988) three motivational orientations to learn, some work to enjoy the social relationships they form with others in the workplace, and the specific nature of the work seems less important to them. Others derive meaning from performing work that involves caring for others in different ways. The emphasis in this interpretation of one’s work is on caring (Hall, 2011) and less on the economic or social benefits derived from the work. This notion of caring is reflected in the individual who described his work breaking rock as “building a cathedral.” While work may be considered irksome at times, it nonetheless retains a certain degree of dignity and the sense that one is participating in the co-creation of God’s work (Meilaender, 2000).

Finally, work can mean engaging in activity that is deeply and personally fulfilling. In this sense, the work that one does seems to satisfy particular psychological or physical needs. For example, one might derive great satisfaction from performing the responsibilities of one’s position because the person takes enjoyment in the actual performance of these particular activities.

For example, a farmer might take great pleasure in turning over the soil in preparation for spring planting. A nurse can derive satisfaction from helping his patients be more comfortable or alleviating some of their discomfort. A coach might enjoy opportunities to interact with young people around athletic performance.

In these instances, the satisfaction and fulfillment seem to be derived from the performance of particular kinds of activities associated with one's job. One can also derive fulfillment from the act of providing service to others, either individuals or representative agencies of one's society, such as the community or a branch of government (Hall, 2011). Again, in this sense the particular activity performed seems less important than the fact that it is performed in the service of others. In this sense, one might feel as if one is called by a force or power greater than one's self, and work is experienced as a kind of vocation. Originating with the notion that one's work is a calling from God, more contemporary and less religious interpretations would think of "work as a vocation within a whole system of vocations [which] emphasizes that work is a social activity contributing in some way to common good of all" (Meilaender, 2000, p. 12).

As an activity that is personally satisfying or fulfilling, work can also represent an expression of one's sense of self or identity. In terms of a social identity (Hall, 2011), the meaning of one's work might be related to the perception of one's social status. But work as an expression of one's sense of self may also be more closely related to the notion of vocation or calling. In this sense, one's work is perceived to be an expression of one's inner self (Whyte, 2001) or the realization of birthright gifts (Palmer, 1990, 1998, 2004). In terms of the implications of fostering self-formation through work-related learning, it is this latter sense—the meaning of work as a vocation or calling—that I would like to pursue further here. Through our experience of and deeper relationship with our work, we are provided opportunities to learn more about who we are and to expand and elaborate our sense of self and our being in the world.

VOCATION, WORK-RELATED LEARNING, AND THE PROCESS OF SELF-FORMATION

While one's understanding of work may portray any one of the meanings described above, or some mixture of them, much of the spirituality of work literature (Brown, 2003; Butts, 1999; Ottaway, 2003) reflects either the first or fourth of these meanings—work as co-creation and work as vocation or calling—with the latter being the most prevalent. This characterization of work refers to spirituality as the experience of purpose and meaning, involving

development in some way, and also connecting with a force beyond or greater than one's self. In defining spirituality, Benefiel (2005) "includes the intellectual, emotional, and relational depth of human character, as well as the continuing capability and yearning for personal development and evolution" (p. 9). Benefiel argues for the spiritual innateness of the human condition. Her definition is an example of and consistent with Meilaender's fourth notion of the meaning of work.

The perspective on the meaning of work developed here is consistent with the experience of work as vocation or calling (Dik & Duffy, 2009; Fox, 1995; Hansen, 1995; Moore, 2008). Hansen (1995) defines vocation as "a form of public service that yields enduring fulfillment to those who provide it" (p. xiii). The central argument being developed here is that work carries with it at least the potential to be experienced as a vocation or calling. The interrelationship of these two ideas is reflected in the Latin root of vocation or *vocare*, which means "to call" (Hansen, 1995). It suggests a kind of summons to service, reflecting both secular and religious commitments. Meilaender (2000) points out that explicit reference to this meaning of work can be traced to the Protestant Reformation, when people "came to think of their everyday life in the world as God's call that sanctified their work and gave significance to it" (p. 10). This way of thinking about the meaning of work transformed, through the call of God, the drudgery of work into an experience of the divine. This concept of the meaning of work, emphasized in more contemporary literature, suggests that "work is a social activity contributing in some way to the common good of all" (p. 12), and the idea that "work is integral to human identity and fulfillment" (p. 13). In this sense, Meilaender concurs with Hall's (2011) notions of work as personal fulfillment, identity, and service to others.

Two scholars who have spoken to the notion of work as calling or vocation are David Whyte and Parker Palmer. Quoting the poet William Stafford, Palmer (2000) cuts to the chase with regard to the central question about work as vocation: "Ask me whether what I have done is my life" (p. 1). With these words, Palmer reminds us that the life we are living is not the same as the life that wants to live in us. However, getting in touch with this life that wants to live within us involves learning to "listen to my life and try to understand what it is truly about—quite apart from what I would like it to be about" (Palmer, 2000, p. 4). Palmer states, "Vocation does not mean a goal that I pursue. It means a calling that I hear. Before I can tell my life what I want to do with it, I must listen to my life telling me who I am" (p. 4).

In his writings on the meaning of work, David Whyte further elaborates this sense of vocation or calling. In the opening to his 1994 book, Whyte states, "*The Heart Aroused* attempts to keep what is tried and true, good and efficient, at the center of our work life, while opening ourselves to the appreciation of the hidden and often dangerous inner seas where our passions

and creativity lie waiting” (p. 3). Whyte asserts that the “split between our work life and that part of our soul life forced underground seems to be the root of much of our current unhappiness” (p. 4). Learning to listen to what is below the surface or beyond the literal within our experience and explorations of work represents an important dimension of realizing a spirituality of work-related learning.

Whyte (2001) also understands this process of connecting with and learning to listen to what is below the surface of our work lives as one of a journey of struggle for identity, a deep sense of commitment that is central to our lives as human beings, and he stresses the importance of conversation and dialogue with these inner aspects of ourselves: “the great questions that touch on personal happiness in work have to do with an ability to hold our own conversation amid the constant background of shouted needs, hectoring advice and received wisdom . . . work, like marriage, is a place you can lose yourself more easily perhaps than finding yourself . . . it is a place to find our selves, but also, a place to drown, losing all sense of our own voice, our own contribution and conversation” (p. 24).

Whyte (2003) characterizes this deeper form of learning as a kind of pilgrimage of self-formation (Cousineau, 1998). This metaphor stresses the significance of a sense of longing that precedes the actual journey, followed by a call. Quoting Heinrich Zimmer, Cousineau clearly portrays the inner quality of the journey and the centrality of learning within that journey. The treasure—the realization of our “true selves,” according to Zimmer, “is never far away . . . it lies buried in the most secret recesses of our own house, in other words, of our own being . . . *if only we know how to dig for it*” [my italics] (p. 34).

Work-related learning occurs within a context in which work may be experienced as a sense of vocation or calling by the learner, representing the potential for evoking a deeper sense of journey that involves exploring deeper aspects of our sense of self and our being in the world, while at the same time equipping us with the knowledge and skills required of our occupational role. A kind of learning that involves self-formation also seems possible, revealed in our changing understandings of the meaning of learning and the role of the self of the learner in these processes.

WORK-RELATED LEARNING AND SELF-FORMATION

Relatively few authors in the fields of HRD or adult education have systematically addressed the role of self-formation in formal learning contexts (Chappell, Rhodes, Solomon, Tennant, & Yates, 2003; Dirkx, 2008). Several current ideas, however, suggest integral involvement of the self in formal and informal contexts of work-related learning. For example, the idea of “deep

learning” has been used by several authors in HRD to characterize the kinds of learning desired in education and training related to the world of work (Swanson & Holton, 2001). Several characteristics of deep learning suggest the role of the self in learning and meaning-making, including relating new knowledge to prior knowledge, relating theoretical ideas to everyday experiences, and emphasizing that which is internal or from within the learner (Atherton, 2011). The lens of deep learning provides glimpses of the self of the learner and its dynamic relationship with what is to be learned and the broader context in which that learning occurs.

Aligned with this concept of deep learning are related concepts within the fields of HRD and workplace learning, such as double- and triple-loop learning (Tosey, Visser, & Saunders, 2012), the concept of reflective practice (Schön, 1983), and constructivists’ characterization of the process of learning (Packer & Goicoechea, 2000). Each of these ways of thinking about work-related learning implicates the self of the learner within the learning process. In elaborating the meaning of “presence,” Peter Senge and his colleagues (2004) referred to “deeper levels of learning,” which they describe as creating “increasing awareness of the larger whole—both as it is and as it is evolving—that leads to actions that increasingly serve the emerging whole” (p. 9). They argued that learning that reflects this deeper level can be understood as a kind of “inner work” and can have extraordinary effects on “our understanding, our sense of self, and our sense of belonging in the world” (p. 10).

In each of these ways of thinking about work-related learning, the self of the learner is intimately bound up with the meaning-making process, and learning is as much about developing new awareness and understanding of the self as it is acquiring new modes of adapting to the demands of one’s reality. That is, through learning in and through one’s work, the self comes to be constructed and reconstructed (Chappell, Rhodes, Solomon, Tennant, & Yates, 2003). Self-formation is intimately bound up with acquiring and mastering new knowledge and skills, and developing a deeper understanding of what this knowledge and skill means for one’s self and one’s being in the world.

To summarize the argument so far, as a form of meaning of work, the sense of work as a calling or vocation implicates the self in work-related learning. In this way of thinking about the meaning of work, one’s sense of identity and self-fulfillment are intimately bound up with how one’s work addresses the needs of the broader community of which one is a part. This implication of the self in meaningful work creates the opportunity for considering the ways in which work-related learning programs and experiences can and do evoke the self within the process of learning and how such experiences can contribute to processes of self-formation.

Although the literature on self-formation in work is relatively sparse, two broad theoretical perspectives characterize this scholarship: (a) the sociocultural

(Chappell, Rhodes, Solomon, Tennant, & Yates, 2003; Wenger, 1998) and (b) the psychodynamic (Dirkx, 2008; Stein & Hollwitz, 1992; West, 2001). While the former tends to focus on the role of the social and cultural contexts of work-related learning in shaping and reshaping our sense of self-identity, the latter emphasizes our inner working models that are normally beyond our everyday awareness and how these working models express themselves through our emotional and image-laden interactions with ourselves and our outer worlds. Because the latter perspective is most consistent with the meaning of work as calling or vocation, I now turn to a brief exploration, based on psychodynamic ideas of how, using these ideas, we might exploit the work context in the service of self-formation. The primary perspectives used here in this discussion are Jungian (Stein, 1998) and post-Jungian (Hillman, 1989; Watkins, 2000; Whyte, 2001).

FOSTERING SELF-FORMATION IN WORK-RELATED LEARNING¹

From a post-Jungian perspective (Hillman, 1989, 2000; Moore, 1992, 2008; Watkins, 2000), the inner work of work-related learning engages the learners with the emotion-laden images and experiences that arise within their learning experiences. In both formal and informal learning settings, aspects of what individuals are learning or the particular contexts in which they are learning can potentially evoke or bring to consciousness images or experiences that may inform their evolving sense of self relative to the work they are doing or learning to do. These inner aspects are often reflected in affective or emotion-laden images and feelings (Moore, 1992) and represent messengers from deeper, less conscious dimensions of our being. These messengers actually represent various aspects of our inner selves. They provide us with valuable information about what aspects of our work context are resonating with our inner beings, and what aspects are frustrating or alienating this deeper, inner sense of purpose and meaning. To receive their assistance in our search for meaning and purpose in work, however, we must learn to recognize, interpret, and work with these ephemeral messengers and use them to develop a deeper, more differentiated and integrated sense of our inner selves.

For example, Sara,² a dislocated worker who had no prior experience with computers, was initially quite frightened with the prospects of needing to learn computer applications as part of her retraining program. But as she learned how to turn the computer on and off, and to start a few basic

¹Parts of the following discussion were published as part of an earlier paper prepared for *Advances in Human Resource Development*.

²The three examples are derived from observations made within my practice as a consultant for various educational institutions. The names used here are pseudonyms.

applications, she found herself growing increasingly excited about this new world she had discovered. Surprised by her reaction to the computers, she wanted to learn more about them and to be able to do more things with them. While it is hard to know clearly what engagement with computers meant to her, these emotional-laden experiences suggest that the content of learning about computers and some applications touched within her parts of herself with which she was not familiar.

In a workshop for Vietnamese teachers in higher education, participants were learning about inquiry-based teaching, and how they might use instructional strategies to more actively engage their learners in the learning process. Thuy, a middle-aged woman with about ten years of experience as a university teacher, regarded herself as a good teacher who provided well-structured and organized lectures for her students. Like many teachers, however, with years of experience, teaching had become less and less interesting for her. As she participated in the inquiry-based activities that made up this workshop, Thuy began to think about herself as a teacher and to question her heavy reliance on this form of teaching. She found herself increasingly excited about not only using inquiry-based strategies in her teaching but also using inquiry as a method to study and improve her own teaching. Again, it is hard to discern just what these experiences meant for Thuy, but she clearly experienced a shift in her attitude toward her own teaching and, as she left the workshop, she felt re-energized as a teacher (Palmer, 1998).

The stories of Sara and Thuy reflect how the content and contexts of a learning experience can evoke hidden or unknown aspects of the self of the learner. They are examples of what I call emotionally laden experiences. The emotional or affective dimension of the experience suggests that the learning is engaging deeper or inner aspects of the learner's self in the learning process. These experiences may indicate that some part of the learning experience is, at one level, touching or awakening the learner's birthright gifts (Palmer, 1990, 1998), resulting in a surge of interest and affect. That is, the learning experience seems to be helping the learner realize an aspect of his or her identity, of who she or he is as a worker. In addition to the content of training, learners are also learning about what is purposeful and meaningful to them. Their experiences of the learning setting can be seen as helping to awaken or clarify their sense of vocation or calling (Dik & Duffy, 2009).

We can contrast these stories with the experiences of Otto. He was a late middle-aged man participating in a reading class that was part of a workplace literacy program offered through the company for which Otto worked as a welder. The curriculum of this program was supposedly designed to be contextualized within the content of his work as a welder. In this class, much of the experience was controlled by the teacher, who directed the students through various work-based content and activities intended to help them

learn to read better. At break, I asked Otto how he liked the class. Without much energy, he replied that he thought it was okay but he really wasn't learning anything new. "Now," he told me with raising excitement in his voice, "if they were teaching me to read to my grandchildren, that would be something!" In Otto's case, his sense of vocation was being fueled by aspects of his life not directly related to his work, in this case, his emerging relationships with his grandchildren. However, if this sense of vocation were integrated into his experiences in learning to read, it is likely that the effect would also be an improved ability to read and interpret welding manuals as well.

In these cases, from an imaginal approach we are listening to the affective tone of the students' experiences. This dimension of their experiences reflects the voice of the soul (Dirkx, 2008), the expression of the inner work that constitutes their deeper engagement with the process and content of learning. In effect, they are giving voice to aspects of the learners' selves that are seeking to become a conscious part of the learners' self-identity, conferring a sense of meaning and purpose.

CURRICULAR AND PEDAGOGICAL IMPLICATIONS FOR HRD

Those charged with facilitating work-related learning among students or workers are also implicitly or explicitly engaged in self-formative issues evoked by the very contexts in which they work. To be fully responsive to these issues, developmental managers, teachers, and trainers need to be able to recognize and constructively work with the emotion-laden and image-bound ways in which their students' self-formative processes express themselves within the learning environment.

The workplace educator who is sensitive to self-formative processes within these contexts sees beyond the explicit and stated curriculum to forms of the curriculum that are more implicit or perhaps even hidden. Work-related educators may also make heavy use of relevant popular culture, such as fiction, movies, art, and poetry, to help students recognize and connect more deeply with their vocational drives and interests. Pedagogically, the inner work that contributes to self-formation requires educators to actively listen but is cautious about prescribing specific courses of action. They understand self-formation as a process of unfolding, of giving space to the semi-autonomous processes of the human psyche, rather than willful action. Along with this strategy, they also rely on the development and use of a dialogical community, one that embraces the individuals who make it up and provides the spiritual support needed to engage in the journey of self-formation.

The self-formation process gives voice to the underlying story or myth that we all use to perceive, understand, and make sense of our lives and our being

in the world (Stevens, 1995). A pedagogy of self-formation is characterized by active listening, fostering, evoking, and working with learners' emotion-laden experiences and images arising within the here and now of the education or training session and encouraging reflection on these experiences.

CONCLUSION

The meaning of work in many Western contemporary societies is insinuated deeply within our individual and collective psyches. Despite strong feelings of ambivalence toward their work, many look to its presence in their lives as representing or manifesting their sense of self. For these individuals, the meaning of their work involves connecting with something beyond themselves, of listening and following the rich voice of an inner kind of wisdom. Work-related learning should help workers develop skills to discern and name emotion-laden experiences and images within one's work, and to imaginatively engage these experiences and images in a reflective manner. This inner dimension of work-related learning illustrates the ambivalent and difficult journey of learning to live the life one was meant to live.

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PART IV



MANAGING THE WORKFORCE



Aging as a Career Development Challenge for Organizations

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Labor participation and the career development of older workers has become a top policy priority in advanced Western economies (Taylor, 2008; Van Loo & Bohlinger, 2010). Demographic changes and related labor market consequences are the main reasons for this. European countries will, for instance, see a decline in the labor force (defined as people between twenty-four and sixty-four years of age) to less than half of the population by 2050, while the share of citizens aged sixty-five years and above will increase to almost 30 percent (Van Dalen, Henkens, Conen, & Schippers, 2012). The declining birth rate and the rising life expectancy, leading to an aging population, have led governments to raise the retirement age in order to cope with expected labor market shortages and with the sustainability problems associated with health care and pension systems. However, in most Western advanced economies, particularly in Europe and less so in the U.S. and Japan, employees commonly stop working before they even reach the official retirement age. In addition, although most employers in Europe are aware of the demographic changes, less than 40 percent make any attempt to motivate employees to continue working until even the official retirement age (Van Dalen, Henkens, Conen, & Schippers, 2012). So the goal of policy-makers, which is to achieve a situation in which employees work until the age of sixty-seven or beyond and continue to be productive and to derive satisfaction from performing meaningful work, amounts to a profound challenge.

One aspect of this challenge consists of overcoming the negative stereotypes that exist among older workers themselves, their employers, and managers about older workers' presumed lack of both flexibility and willingness to learn new work practices (Vrugt & Schrabcq, 1996). These stereotypical attitudes seem an echo of the earlier so-called deficiency assumption: the belief that the development of an individual's physical and mental vitality can

be depicted as a curve that increases during youth and adolescence and then gradually decreases from about the age of thirty-five. Lehman (1953) lent support to this assumption and, although other research (Dennis, 1956; Lehr & Thomae, 1958) soon showed that it was untenable, the negative stereotypes that this assumption underpins persist to this day. These could be an important reason for the low participation rates of older employees in training and development activities. Whatever the reason, the low participation of older workers in training and development adds to the challenge of continuously matching older workers and their jobs in such a way that it has valuable outcomes for both employee and employer.

There are good reasons for employers to invest in human resource development (HRD) policies, such as continuous learning and career support, and for employees to make good use of these if they are to work longer. The most important reason is that ongoing changes in required occupational competences and the organization of work related to technological developments tend to render employees' expertise obsolete. Unless employees' knowledge, skills, and abilities are continuously updated, their ability to perform productive labor in a variety of jobs will be eroded.

Research has shown that differences between people increase as they grow older (Baltes & Lang, 1997; Greller & Stroh, 1995; Raz & Rodrigue, 2006). Such differential aging is apparent in that some people begin to think about early retirement when they are just fifty, while others continue working beyond the official retirement age (Kooij, de Lange, Jansen, & Dikkers, 2008; Pogson, Cober, Doverspike, & Rogers, 2003). Knowledge and expertise appear to be important factors in this differential aging. Thus, it is important to examine what is distinctive about the cognitive capacities of older workers, and the ways in which their knowledge and expertise affect their career potential and employability. We do so by first presenting three cases that illustrate the career challenges faced by older workers in various job categories. These cases suggest that employees' career development is impacted by individual characteristics of older workers, notably their knowledge and expertise, on the one hand, and by the organization's HRD policies and their implementation by line managers on the other. These two topics are examined in subsequent sections, leading up to the conclusions presented in the final section.

CAREER CHALLENGES OF OLDER WORKERS: THREE SELECTED CASES

Numerous studies illustrate the career challenges that confront older workers in various occupations in a range of institutional contexts. In this section,

we present three selected cases: a study by Stein, Rocco, and Goldenetz (2000) of university staff in a Midwestern university in the United States, a study by Holmer, Kadefors, and Thång (2010) of forestry workers in Sweden, and a study by Knies and Thijssen (2012) of police officers in The Netherlands.

Study 1: Aging and Changing Employment Patterns at a University

The study by Stein, Rocco, and Goldenetz (2000) investigated employment patterns of older employees at a large Midwestern university in the U.S. The outcomes indicated that the traditional career decision of retirement, amounting to a permanent separation from work, is changing. The authors concluded that general applicable-to-all employment patterns no longer exist. Their study distinguishes three types of older workers:

Remaining workers are those who have reached their retirement age but have chosen to continue working (part-time or full-time). Their decision appears to be influenced by the gratification that individuals received from their work, by being appreciated by their colleagues, by their health, and by their financial situations.

Retiring workers are those who choose to leave their current jobs with no intention of returning. Motives for leaving the university's workforce included job dissatisfaction, a desire for change, and to enjoy a new phase in life. The financial implications of early retirement were clear to all the interviewees.

Returning workers covered a relatively small group who had ended their active careers, experienced a period of retirement, and returned to a paid job. Supplementing income, the need for greater health insurance coverage, and the desire to be a productive and contributing member of society were motives given for returning to the workplace.

The university's response to the trends of older workers past the traditional retirement age remaining in post or returning to their jobs can be described as haphazard at best. Respondents described a university in which aging was rewarded among the faculty, but devalued among the civil service classifications. Their stories also showed conflict within the university, from efforts to persuade older professors to retire in order to reduce personnel costs to efforts aimed at retaining expertise. The study showed a university environment lacking an HRM policy responsive to the differential needs of older workers, especially in terms of human resource development. Such results challenge HRD professionals to develop training, career development, and organization development strategies appropriate to the work choice patterns of older workers.

Study 2: Recurrent Education of Older Forestry Workers in Sweden

The study by Holmer, Kadefors, and Th  ng (2010) evaluated an education project for older workers in the Swedish forestry industry, which had gone through a major change in production technology. Until recently, the Swedish forestry industries and paper mills recruited machine operators from those with a low level of formal education, and then provided on-the-job learning. Today, the required formal qualifications are much higher. There was a widespread belief that the older machine operators had become qualified through a process of work experience. However, this was shown to be incorrect: their experience tended to be rather specific. Many older (over fifty) workers lacked sufficient generic competences. It became apparent that they needed to improve their knowledge and skills in subjects such as mathematics, chemistry, physics, Swedish, and English to master organizational and production-related changes and to remain employable. The study found that it was not realistic to expect the machine operators to leave the area for education and, therefore, formal and informal education needed to be located close to the workplace or take place at home.

A core element in the education project was that every participating paper mill established a local learning center with computers and a development coach. Overall, 60 percent of the participants completed their studies, although the proportion of dropouts varied considerably between the centers. The local development coaches were a determining factor in success. As most of the participants had attended school many years earlier, they were not familiar with the use of information and communication technology (ICT) for instruction and formal learning. Many of those who completed the studies indicated that their self-reliance and confidence had been boosted, and that their interest in further learning had been awakened.

An important reason that workers gave for participating was to strengthen their labor market opportunities: the better their education, the lower the risk of being laid off when redundancies occurred. Only one-third believed that they needed this education to fulfill assignments in their current jobs. The most important outcome for the paper mills was that employees obtained better theoretical knowledge in subjects considered essential for business, and those who completed the program showed greater motivation in completing work assignments successfully.

Study 3: Employability of Aging Police Officers in The Netherlands

Knies and Thijssen (2012) studied the employability and career expectations of employees of the Dutch police force. The results of their study of

six hundred police officers show that these officers were reasonably positive about their employability, although there was some within-group variation. In addition, the employees reported average career expectations. Further, there was a positive association between employability and career expectations: employees reporting higher levels of employability had above average career expectations. This suggests that employees match their expectations of future career opportunities to their current employability, indicating a certain degree of realism. Apparently, employees with limited employability realize that this limits their career opportunities.

Knies and Thijssen found some interesting patterns of employability and career expectations among police officers in different age categories. Respondents aged twenty-five to twenty-nine reported the highest levels of employability and career expectations. The mean scores remain relatively stable, but at a slightly lower level, for employees aged thirty to forty-nine. The mean scores for the cohort aged fifty to fifty-four were somewhat lower, and the mean scores on employability and career expectations dropped significantly for police officers aged over fifty-five.

In the public sector, the notion of lifetime employment has been a cornerstone of HR policies for several decades, which contrasts with the gradual shift in Western countries in employers' and, to a lesser extent, employees' views of who is responsible for sustaining the employees' employability. According to the new psychological contract, organizations are no longer considered fully responsible for managing the careers of their employees, and employees are increasingly considered to be in charge of managing their own careers. In line with this shift, the police survey reveals that employees report relatively high scores on career self-management and significantly lower scores for career management by their supervisors. Both self-management and supervisor career management are positively related to the employees' employability, which, in turn, is positively related to employees' career expectations.

Important Issues in the Selected Cases

The three studies deal with situations that represent different challenges throughout employees' careers and suggest that both the employees' individual characteristics and organizational characteristics are relevant when dealing with these challenges.

Here, we will first consider the *individual characteristics*. The good news from the Dutch study of police officers is that employees have career expectations that match their current levels of employability, and they undertake career self-management activities that are in line with current views on employees' own responsibilities. However, police officers aged fifty-five and

above undertake fewer career activities and are significantly less employable, and are thus in danger of not meeting the challenges to be faced in the ten more years of employment ahead of them. The Swedish study of older forestry workers indicates that the historic predominance of on-the-job learning resulted in older workers lacking sufficient generic competences to remain employable in the face of organizational and production-related changes. This study also found that older workers have various motives for participating in further education. The U.S. study of university staff demonstrates that a range of individual characteristics were involved in employees' decisions to continue or to stop working past retirement age. Some of these individual characteristics, such as the gratification, or dissatisfaction for that matter, that employees receive from their jobs and their desire to be productive members of society suggest solutions for organizations that want to motivate older workers to work longer.

However, turning to the *organizational characteristics*, the study of university staff demonstrates the lack of an HR policy that is responsive to the differential needs of older employees and that would help them meet the challenge of meaningful work at the end of their careers. However, older workers are able to learn generic competences and remain employable. The Swedish study demonstrates the importance of certain organizational characteristics of learning centers, such as a local base and personal support for such activities as gaining familiarity with using ICT in learning. The Dutch study demonstrates that in an organization that promotes employees' career self-management—according to the psychological contract—the employability and career expectations of employees, especially of older employees, benefit from their supervisors' career support.

The individual and organizational characteristics of the career development challenges highlighted in these case studies will be further explored in the sections below.

CAREER DEVELOPMENT AND INDIVIDUAL CHARACTERISTICS

Age-Related Differences in Cognition

Lehr (1972, p. 86), in reacting to the negative age-related stereotypes that are linked to the deficiency assumption, concluded that potential differences in employability between younger and older workers were heavily influenced by their education and experience. Subsequent research has provided support for her views by showing that someone's initial educational level influences his or her career in various respects, not just in terms of a starting position in the

labor market but also in the longer term. The so-called “accumulation hypothesis” contends that a higher initial educational level correlates with further education during the career. Support for this hypothesis has been provided by a longitudinal study of lifelong learning (Tuynman, 1991).

Differences in intelligence between younger and older people have also been the object of research. Horn and Cattell (1967) found that young people had higher scores for “fluid intelligence,” that is, the ability to solve formal problems when this requires an ability to quickly combine new information. Older people scored higher on “crystallized intelligence,” the ability to solve complex real-life problems which depend on insight into and integration of cultural contextual factors. Horn (1986, p. 94) describes these two dispositions, respectively, as “reasoning flexibility under novel conditions” and “structured knowledge of a culture.” Baltes (1987, 1993; Baltes & Baltes, 1990) makes a similar distinction between cognitive capacities at younger and older ages, which he labels as “mechanics” (which are better developed at a younger age) and “pragmatics” (which are better developed at an older age). However, Baltes adds that the development of cognitive capacities can evidently be influenced by training, and that differences between people of similar ages are larger among older people than with younger people.

Elaborating on these differences, Sternberg (1988) concluded that there is a tension between two dispositions involved in the development of “experiential intelligence,” namely the disposition “to deal with novelty,” which involves learning and doing new tasks in an unknown environment, and the disposition “to automatize,” which involves the acquisition and use of routines such that one can operate effectively in a particular life situation. According to Sternberg, more emphasis on attention to and training aimed at the development of one aspect will eventually be at the expense of the other aspect. Relatedly, Hoyer observes that cognitive processes at a younger age are characterized by a more formal style of thought, and at an older age by a more post-formal style. His idea is that the information processing involved in solving problems does not depend so much on formal rules as people get older, but proceeds in a more integrated and efficient way, at least within well-known knowledge areas. Hoyer (1987, 1990) labels this phenomenon “encapsulation.” These theoretical insights are closely related: their essence being that a dispositional shift occurs from context-independent to context-dependent cognitive abilities over the life course.

Career Development and Experience

Partly building on the age-related differences in the development of intelligence, Thijssen (1992) developed a conceptual framework for age-related differences in career development, the so-called “experience concentration

theory.” The essence of experience concentration theory can be summarized in two premises. First, with increasing age the volume of experience usually increases. Second, with increasing age the diversity of experience usually decreases. To elaborate on these premises, experience concentration involves feeling increasingly at home, both functionally and emotionally, within an increasingly restricted domain—one’s comfort zone. The theory also recognizes the advantages of those context-dependent personal abilities that increase with age, and the abilities that Baltes calls “pragmatics.” Further, experience concentration theory also includes the disadvantages of a severely restricted experience domain that make someone vulnerable in the labor market, and especially in a dynamic one. In addition, the theory assumes that specific learning experiences can reduce the loss of what Baltes calls “mechanics.”

Experience concentration can be seen as a specific pattern of experience that is distinct from the contrary pattern of experience variation. At a young age, a pattern of experience variation will usually prevail, while at an older age a pattern of experience concentration tends to dominate. Concentration has an effect that can be observed with specialists: they tend to develop a certain degree of expertise and professional routine within a limited range of experiences. Thus, they can achieve a high level of labor productivity, but within a limited functional domain. Conversely, variety has an effect that is a characteristic of generalist employees. They have an overall view of a broad domain, but mostly without knowledge of the details. Both this limitation and broadness of experience can take extreme forms. The related experience patterns can be respectively designated as experience deprivation—for instance, because of a loss of career experience due to protracted illness—and experience fragmentation—for instance, because of rapid switching between jobs that are not functionally related. These latter two experience patterns do not have a positive influence on someone’s chances in the labor market.

Various empirical studies have provided support for this theoretical framework (see Knies & Thijssen, 2012; Thijssen 1996). The framework has been conceptually extended by linking experience concentration with obsolescence and employability (Thijssen & Leisink, 2007; Thijssen, Van Der Heijden, & Rocco, 2008). Now, the experience concentration theory emphasizes the importance of recent career experiences as an indicator of employability and, thus, as a predictor of future employment opportunities in a dynamic labor market. The essential point is that age and experience patterns are often correlated generally, but that an association is not inevitable in the case of an individual. Aging is inevitable, but changes in experience concentration are subject to influence. Changes in experience concentration are often part of a gradual process that takes place over the life course. As such, it is useful to periodically assess someone’s experience pattern and to reflect on potentially complementary new occupational experiences. To help in making such

reflections more concrete, it is useful to recognize that experience concentration can occur in three distinct occupational domains (Thijssen, 1992; Thijssen & Rocco, 2010):

1. *The learning-strategic domain* involves experience with education. The structure of educational experiences in older age often remains restricted to informal hands-on learning and focused on improving professional expertise related to the current job. Formal learning activities occur less and less often. Comparatively, a lower education background is more likely to result in limited formal learning skills and an avoidance of future training opportunities.
2. *The occupational domain* concerns experiences of job- and task-mobility. The structure of the working experience in older age is often restricted to minor task adaptations. Functional concentration occurs when formal functional changes are sporadic at best. Although an individual may still adapt to simple shifts in tasks brought about gradually and informally when functional concentration is present, more drastic changes in the task package, the working environment, and mobility are avoided as far as possible.
3. *The sociocultural domain* involves networking experiences. One speaks of network concentration when the social environments and cultural groups within which people move are, with age, becoming restricted to a shrinking and rigid network, to a small circle. One's existing network of "old relations" does not provide the innovative function of an occupational learning circle. Network changes in older age are exceptional.

It is important to recognize experience concentration early, since the earlier this tendency is recognized, the easier it can be corrected. Given that most industrial sectors are characterized today by their strong labor market dynamics, experience *concentration* becomes a threat to an employee's future prospects.

CAREER DEVELOPMENT AND ORGANIZATIONAL CHARACTERISTICS

Employability Strategies: Policies and Practices

Interest in organizational policies that are aimed at retaining older workers is increasing. This stems from the fact that policies aimed at early retirement have become very costly and are considered less desirable today. There are various strategies for managing older workers and, in the context of this chapter, we focus on a development strategy. A characteristic of this strategy is its preventive nature. Rather than adapting working conditions to the abilities of

older workers, HRD practices are aimed at developing the employability of both younger and older workers in order to keep them employable throughout their careers. Investing in training, job rotation, and career counseling are seen as HRD practices that can increase employees' employability.

Thijssen, Van Der Heijden, and Rocco (2008) distinguished three types of employability policies: "broadening," "selling," and "consuming." In this contribution, we concentrate on the broadening strategy. A so-called "broadening" strategy creates conditions aimed at broadening the current employability radius of an employee through a variety of training activities and facilities (time, money). This policy is not limited to formal training and development activities, but also consists of on-the-job learning and other forms of informal development.

Research has demonstrated the positive effects of policies aimed at broadening the competences and mobility of employees on the retention of older workers. For example, Armstrong-Stassen and Ursel (2009) indicate that older workers who feel supported by the career development opportunities provided by their organizations are less likely to leave. The explanation offered by these authors is based on social exchange theory and focuses on an employee's willingness to reciprocate investments made by the organization. Other studies (Henkens & Van Solinge, 2003; Leisink, Thijssen, & Walter, 2004) have similarly demonstrated that if an organization appreciates the contributions made by its older workers, this will affect the willingness of older workers to continue working for the organization.

Offering development opportunities to employees has not only a symbolic function, but also an instrumental value, since this broadens and updates employees' competences. However, recent studies do not seem to suggest the widespread use by organizations of employability policies aimed at stimulating older workers' participation in training and development activities. For example, research on employability policies in Dutch organizations conducted in 2000 showed that only one in three organizations had a coherent employability policy. Specific practices, such as training and development, were more common, with approximately 61 percent of the organizations having such practices (De Vries, Gründemann, Van Vuuren, & Willemsen, 2000). It was also evident in their study that most organizations pay little attention to older workers, and even today very few older workers can use training facilities that are specifically aimed at older workers (Smits, Beeksma, Feenstra, & Junger-van Hoorn, 2010). This lack of attention to older workers is problematic when one realizes that the proportion of employees aged fifty-five and above who participate in training is half the proportion of younger workers who participate. Especially lower-educated employees seem dissatisfied with the opportunities for training offered by their employers (Bekker, Kerkhofs, Roman, Schippers, de Voogd-Hamelink, & Wilthagen, 2008, pp. 86, 103).

Further, employees report only having limited opportunities to develop their knowledge and experience while actively working: of the 80 percent of employees who indicate that they are able to do various jobs, more than half (55 percent) report that their organization makes no use of this functional flexibility (Bekker et al., 2008, pp. 119–120). This situation indicates that there is room for improvement. Managers would seem to subscribe to this idea as well, since they indicate that human resource development is the preferred approach to retaining older workers (Leisink, Thijssen, & Walter, 2004, pp. 135–136).

Line Manager Support

There is increasing attention given to the role of line managers in the implementation of HR policies (Knies, 2012; Purcell & Hutchinson, 2007). This focus results from the devolution of HRM responsibilities to the line, a change that is particularly true with activities aimed at training and development (Larsen & Brewster, 2003). Leisink and Knies (2011) investigated the support that line managers provide to older workers and observed that line managers mainly support older employees in their daily work by showing interest in their personal functioning and by showing appreciation for their work. Line managers also support, albeit to a lesser extent, the development of older workers by informing them about and offering opportunities for training and development. Support for older workers to take advantage of mobility opportunities is less common.

Not all managers support older workers. In the 1990s extensive research was conducted into the role of managers in supporting older workers (Boerlijst, Van der Heijden, & Van Assen, 1993; Thijssen, 1996), with a particular interest in the influence of negative stereotypes of older workers on managers' behavior. A more recent study by Visser, Henkens, and Schippers (2003) on the impact of such stereotyping shows that managers still prefer having a majority of younger employees on their team because they believe that older workers are less flexible and less productive.

A study by Leisink and Knies (2011) showed that the extent to which line managers provide support depends on their abilities to coach older workers and their willingness to use these abilities. This willingness is to an extent dependent on the opportunities for action that the organization provides to its line managers. Thus, if organizations want to implement policies that stimulate older workers' employability, they are advised to provide line managers with sufficient opportunities for action and the support of the HR department. The study by Leisink and Knies also found that line managers were aware that these were points for improvement (p. 1911). The importance of providing sufficient decision latitude and support was also addressed in a study

among managers in Norway's public sector by Furunes, Mykletun, and Solem (2011). Their study revealed that line managers' attitudes and knowledge affect their perceptions of the decision latitude they have for activities aimed at retaining older workers. Those managers who believe that employers can affect early retirement decisions through age management activities, and who have adequate information on the opportunities to reorganize work, report a greater decision-making latitude in undertaking age-related managerial activities than their colleagues do.

CONCLUSIONS AND PRACTICAL IMPLICATIONS

Our review of research into individual characteristics as they relate to career development shows that there are two persistent fallacies about aging workers. The first fallacy concerns the assumption that remaining active in any form and having any form of job-related experience is sufficient for workers to be able to meet the challenge of extending their working lives. Empirical research shows that protracted experience in the same job makes workers vulnerable when radical changes are inevitable, as was illustrated in the case of the Swedish forestry workers (Holmer, Kadefors, & Thång, 2010). Experience concentration theory (Thijssen, 1992) provides insight into how experience develops with age and the risks of concentration that generally accompany this unless corrective action is taken. The second fallacy is linked to deficiency theory, which postulates that human competences and performance increase over the first half of a career and then steadily decrease. This thesis has been refuted on numerous occasions, but the related negative stereotypes of older workers prevail both among older workers themselves as well as among managers. Research (including Greller & Stroh, 1995) has provided evidence of differential aging: the differences between workers within the same age category are larger in older age groups than among their younger colleagues. The different choices made by university staff over whether to retire or to work beyond retirement age, shown by the study by Stein, Rocco, and Goldenetz (2000), illustrate this phenomenon of differential aging. Similar differences among older workers are also to be found in terms of their cognitive competences and experience concentrations.

These insights have important implications for HRD policies. The typical development of cognitive competences over the life course and the risks associated with experience concentration highlight the importance of HRD policies, particularly in a dynamic labor market. Employees who have benefited from higher education often have a job in which they have opportunities for learning through their work and usually enjoy facilities for participating in training and development programs. Employees who missed out on

advanced education deserve extra attention in HRD activities. The assumption that they learn sufficiently while on the job was shown to be incorrect in the case of the Swedish forestry workers: they were found to lack essential generic competences. The challenge for HRD is to develop training and development programs that fit the characteristics of these lower-skilled older workers. Experience concentration theory provides insights into the domains that need attention in order to sustain employees' employability. Being aware of the dangers of experience concentration and assessing workers' employability, with subsequent career counseling, can help make employees aware of these risks and enable them to take corrective action.

It is an important challenge to convince organizations that they need to engage in policies aimed at continuous learning for employees in general, and older employees in particular. Meeting this challenge involves developing supportive HRD policies and ensuring they are implemented by line managers and HR staff. Persistent negative stereotypical attitudes toward older workers' presumed lack of flexibility and unwillingness to learn new practices require action. Despite evidence showing that these attitudes are generally baseless, surveys show that many employers and line managers continue to hold those beliefs. Here, the challenge for HRD specialists is to create critical awareness among employers and line managers, and also among older employees themselves because self-attributions are a cause of their failure to participate in training and mobility programs offered by their employers. At a time when calls to recognize the need to work longer can be heard almost daily in the media, it is an opportune moment for HRD specialists to instigate differentiated training and career development activities that reflect the variations that exist among older workers with respect to their needs and abilities.

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A Social Justice Paradigm for HRD

Philosophical and Theoretical Foundations

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This chapter will establish philosophical and theoretical foundations for social justice as a paradigm for developing human resources in organizational and institutional settings where social oppression can be pervasive and demoralizing. Drawing from philosophical and theoretical foundations can result in “powerful and practical explanations, principles, and models” (Swanson & Holton, 2001, p. 85) that can result in a social justice paradigm for human resource development (HRD) and social-justice-oriented scholars to carry out their work.

Social justice refers to the conditions whereby “all members have the same basic rights, security, opportunities, obligations, social benefits, and the way in which human rights are manifested in the everyday lives of people at every level of society” (Ingram & Walters, 2007, p. 27). Social justice is a moral obligation that reflects the highest standard by which individuals within organizations should be treated (Mill & Bentham, 1987). Bell (2007) describes social justice as a democratic, participatory, inclusive process for affirming human agency and working collaboratively to create change against social oppression.

[Social] oppression is the “fusion of institutional and systemic discrimination, personal bias, bigotry, and social prejudice in a complex web of relationships and structures that shade most aspects of life” (Bell, 2007, p. 3). It is manifested in the belief that some groups are superior and are entitled to certain advantages, while other groups are inferior and subject to lesser entitlements (Hardiman & Jackson, 2007). Examples of social oppression include issues such as racism, classism, sexism, ageism, ableism, etc., that emerge from an individual’s marginalized social status (race, social or economic class, gender, age, disability, etc.) in society.

Social oppression can occur in organizational and institutional settings when attitudes and actions (biases and prejudices) are supported through

practices, policies, rules, and customs that disadvantage members because of their perceived marginalized social status. It is an enactment of institutional control, ideological domination, and the imposition of a dominant group's culture on a marginalized social group (Sensoy & DiAngelo, 2009). Social oppression occurs in institutional processes and practices that can be restrictive to an individual's learning, self-fulfillment, self-expression, and ability to give voice and be heard (Young, 1990). Confronting social oppression can produce adverse psychological reactions as individuals grapple to make sense of their experiences (Bell & Griffin, 2007). Social oppression is a deliberate and systematic strategy to suppress and disempower individuals who otherwise have the capacity to be productive members of an organization (Schiele, 1996; Welton, 1993). On the other hand, social oppression can trigger a transformative learning event that leads to social justice outcomes (Freire, 1970).

Kuhn (1996) introduced the term “paradigm” to represent shared beliefs by a community of scientists about how problems are to be understood. In this chapter, the term paradigm will be used to represent shared beliefs in social justice which give a “fundamentally different view of human resource development, including its goals and aims, values, and guidelines” (Swanson & Holton, 2001, p. 127). The goal of this chapter is to advocate that the field of human resource development (HRD) should take a social justice activist approach, thereby creating opportunities whereby all individuals are “able to develop their full capacities” and are “capable of interacting democratically with others” (Bell, 2007, p. 1). Toward this goal, the objectives of this chapter are to: (1) discuss the absence of social justice from definitions of HRD; (2) highlight philosophical foundations of social justice; (3) identify theoretical frameworks and models that are useful for explaining social oppression; and (4) recommend a move toward a social justice paradigm in HRD.

THE ABSENCE OF SOCIAL JUSTICE IN DEFINING THE FIELD OF HRD

Current and dominant definitions of HRD are based upon principles of learning (Chalofsky, 1992; Gilley & Eggland, 1989; Marquardt & Engel, 1993; Nadler & Nadler, 1989; Watkins, 1989; Weinberger, 1998) or performance (Holton, 2002; Jacobs, 1988; Swanson, 1987). Recognizing the absence of social justice from these definitions, Ty (2007) proposed defining HRD as a product of clashing social forces and ideologies:

Human resource development (HRD) is a proactive, forward-looking process that responds to social forces as well as overhauls organizational and social structures. It taps inter-individual human potentials and talents as well as takes

into consideration gender, ethnicity, class, environment, and other critical issues, thereby paving the way for a new transformed organizational and social order that promotes social justice and lasting peace. (p. 101)

Bierema and Cseh (2003) also pointed out how HRD has not strongly advocated for social change. “Organizational ‘undiscussables’ such as sexism, racism, patriarchy, and violence receive little attention in the literature yet have considerable impact on organizational dynamics” (p. 24). The lack of a dedicated focus on social justice implies that the field of HRD has not fully considered emancipatory actions to transform organizations into more socially just and equitable workplace settings (Fenwick, 2004; Steinberg & Kincheloe, 2010). Responding to the discursive nature of social issues that now face contemporary organizations requires new ways to define the field and integrate principles and ideologies that give voice to the “organizational undiscussables.”

One such ideology, critical human resource development (CHRD), has emerged, with an emphasis on the inadequacy of current, dominant definitions of HRD to capture social justice (Fenwick, 2004). The purpose of CHRD is reform of the workplace and development of practices that are aligned with “justice, equity, and participation” (Fenwick, 2005, p. 228). Ty (2007) agrees that:

Critical HRD takes into account social justice, where all persons in an organization are engaged in participatory collaboration, are treated fairly, receive just share in the benefits of the organization, and are equally recognized for all their contributions to the development of the organization. (p. 102)

CHRD is devoted to the transformation of workplaces into more fair and equitable environments and brings new conversations to light on previously silenced issues of social oppression (Fenwick, 2004).

In 2009, the Academy of Human Resource Development (AHRD) introduced a Critical HRD and Social Justice Perspectives Special Interest Group. The purpose of the CHRD SIG is to create alternative understandings of HRD and stimulate discussions of gender and sexism; race and racism; sexuality/gender identity and heterosexism; ethnicity, age, physical ability; and other lines of social analysis (AHRD, 2012). By focusing on the social realm, the CHRD SIG brings a social justice perspective to the field of HRD—a perspective that has not been included in the more conservative viewpoints that have dominated the field (Ty, 2007).

PHILOSOPHICAL FOUNDATIONS OF SOCIAL JUSTICE

Jost and Kay (2010) explain that “social justice is a concept that originates in philosophical discourse” (p. 1122). For this reason, philosophical discourse is needed to establish foundations of social justice in HRD. According to Ruona

and Lynham (2004), three philosophical concepts converge and interact in a systemic way to guide and inform our thoughts and actions: *ontology* (how we see and view a phenomenon); *epistemology* (how we try to understand the phenomenon); and *axiology* (how we act upon that understanding). Philosophical discourse unveils the lived experiences of social oppression and helps us better understand our moral duty to respond and act.

Ontology

First, philosophy provides a foundation for how we *see* and *view* lived experiences that emerge from social oppression. According to the philosophy of Heidegger (1962), lived experiences are ways that people experience life based on their social location within society. “A person cannot reflect on experience while living through the experience . . . reflection on lived experience is always recollective; it is reflection on experience that is already passed or lived through” (van Manen, 1997, p. 9). Experience is fundamentally grounded and given validity by our consciousness (Dilthey, 1976). “Consciousness is not separate from the world, but is a formation of historically lived experiences” and, as such, “one’s background cannot be made completely explicit” (Lavery, 2003, p. 8).

To understand one’s experiences, we should reflect upon the historical as well as the cultural and social contexts of a person’s world. The “direct conscious description of an experience and the underlying dynamics or structures that account for that experience” (Moustakas, 1994, p. 9) are central to understanding the essence of the experience. We are constructed by a world in which, at the same time, we are constructing this world from our lived experiences (Lavery, 2003). Drawing from lived experiences, philosophical discourse provides a platform to have deeper and more meaningful conversations about the “organizational undiscussables.”

Epistemology

Second, philosophy contributes to an understanding of one’s moral duty to respond to social oppression. The moral duty to respond is grounded in one’s ethical consciousness (Hatcher, 2002). Ethical consciousness is grounded in an individual’s moral compass for “doing the right thing.” Working as a community of individuals to eradicate social oppression, ethical consciousness is reflected in shared beliefs and a commitment to social justice. According to the philosophy of Rawls (1999), social justice holds that organizations and institutions have a moral duty to uphold impartiality, fairness, and justice. Therefore, philosophy imposes an ethical responsibility upon the field of HRD to challenge social oppression and to continuously seek ways to ensure workplace policies, practices, and rules are equitable and fair.

Axiology

Third, philosophy contributes to an understanding of ways that individuals enact their moral duty and become advocates for social justice. Hytten and Bettez (2011) say that the primary strength of using philosophical discourse in social justice advocacy is that it helps clarify personal values, beliefs, and assumptions that are fundamental to its practice and application.

According to Kant's (1998) categorical imperative, social justice activists are moral agents, recognizing the universal rights of individuals and having the capacity to look beyond self and regard human rights as the end in itself. Drawing parallels from the philosophy of Kant, social justice activists reflect upon the following questions:

- What can I know? (about social oppression)
- What ought I to do? (on behalf of the socially oppressed)
- What may I hope? (will change the systems that oppress)

While these questions represent the limits of our knowledge about a phenomenon (Roth, 2000), they also acknowledge there is something more that we can participate in that can challenge oppressive systems and create opportunities for social justice and social change.

THEORETICAL FOUNDATIONS OF SOCIAL JUSTICE

Theoretical foundations are needed to explain “what a phenomenon is and how it works” (Torraco, 1997, p. 15). Bell (2007) adds that theoretical foundations of social justice are needed to help explain the historical, conceptual, and contextual accounts of social oppression. Thus, theoretical foundations offer “clear ways to define and analyze oppression so that we can understand how it operates at various individual, cultural, and institutional levels” (p. 4).

Because the study of social justice is interdisciplinary, theoretical foundations useful for explaining social oppression of various social groups can be drawn from multiple fields and disciplines. In this section, selected theories and frameworks from selected fields of study will be presented for insight and explanation of the ways social oppression is experienced. Collectively, these theories and frameworks represent components of a social justice framework that could be fruitful in moving the field of HRD toward a social justice paradigm.

Foundation in Legal Studies

Critical race theory (CRT) emerged from the advocacy efforts of legal scholars (Bell, 1993; Crenshaw, 2002; Delgado, 1995) who recognized the need to “embark on a race-based, systematic critique of legal reasoning and legal

institutions” for explaining racism (Harris, 2001, p. xix). CRT proposes that racism is an enduring, socially constructed reality that advances the position of whiteness. A unique feature of CRT is the element of voice, which communicates experiences of oppression and disadvantage (Delgado & Stefancic, 2001). Consequently, through the use of narratives and storytelling, CRT counters and challenges the dominant discourse and exposes unequal power structures in institutional and organizational settings (Ladson-Billings & Tate, 1995). CRT raises awareness of the everyday, lived experiences of racism that have been hidden or distorted by the status quo (Byrd, 2012b).

CRT has gained recognition in the field of education as a critical pedagogical framework for uncovering the inequities existing in the educational system and promoting a social justice outcome (Adams, 2007). In HRD, Bernier and Rocco (2003) introduced CRT as a framework to expose power and privilege in the workforce and challenged the field to recognize opportunities to advance the potential for all groups in the workforce. Alfred and Chlup (2010) further encouraged HRD scholars and educators to engage more in discourse on racism and to consider CRT as a framework for social justice through research and teaching.

Foundations in Intersectionality

Evolving from the field of sociology, intersectionality is a sociocultural theoretical framework that explains how various socially constructed identities converge to form an interactive system of social dominance within bureaucratic systems where power can be used to oppress (Collins, 1999; Crenshaw, 1989). The concept of intersectionality has roots in black women’s discourse of interlocking oppressions in response to the lack of representation in traditional, feminist, and anti-racist discourse (Byrd, 2012b; Parker, 2005). A basic principle of intersectionality is recognizing that “identity categories are fluid, contingent, interactive, and indivisible . . . and using this knowledge to advocate for social change” (Hulko, 2009, p. 53). Intersectionality is a useful framework for explaining the lived experiences of people who are located within two or more socially constructed systems (race, gender, social and/or economic class, age, disability, and sexual orientation, to name a few).

Foundations in Feminist Theory

Black feminist theory (Collins, 1990) is an example of an intersectional theory that explains the lived experiences of African American women (AAW), particularly in predominantly white environments. AAW women can experience social oppression based on race, gender, social, and/or economic class. First, self-identification with the African American race subjects AAW to a socially constructed categorization of difference that is historically and politically

sustained in the United States. Second, self-identification as a woman relegates AAW to a stereotypical image that has roots in a period of patriarchal dominance and sexual oppression that began during U.S. institutionalized slavery (Collins, 1999; Parker, 2005). Third, AAW are oppressed within a social and/or economic class system that maintains control over networks of influence, support, and economic capital (Bourdieu, 1986).

A basic principle of black feminist theory is that AAW's experiences are attached to a history of social oppression and, as a result, the unequal power relations of race, gender, and class can produce social locations characterized by social injustice (Collins, 1999). Another basic principle of black feminist theory is the notion of collectivity, the belief that, through collective effort, AAW can become empowered to challenge oppressive systems in the quest for social justice.

"Chicana" is used in this chapter as the preferred term from the perspective of scholars who have made significant contributions to Chicana feminism or feminist theory (Anzaldúa, 1987; Arredondo, Hurtado, Klahn, Nájera-Ramírez, & Zavella, 2003; Calderon, Huber, Malagon, & Velez, 2012; Delgado-Bernal, 1998). Similar to the concept of intersectionality in the experiences of AAW, Chicana feminist theory describes the triple oppression of Chicana women in the United States stemming from the interaction of gender oppression, socioeconomic oppression, and internal oppression based on a cultural heritage that is dominated by men (Mirandé & Enríquez, 1979).

Compounding intersectionality in the experiences of Chicana women in the United States is the notion of multilayered social reality (Hurtado, 2005). Multilayered social reality refers to experiences such as being expected to have knowledge of more than two languages, needing to navigate more than two cultures, the varying degrees of internal differences among Chicana women that stem from self-identity, and being subjected to involuntary "naming" (Latina, Hispanic, etc.) (Arredondo, Hurtado, Klahn, Nájera-Ramírez, & Zavella, 2003). "Women of Mexican origin constitute a diverse community that requires varied theoretical frameworks and methodological approaches to understand all facets of Chicanas' experiences" (p. 3). Chicana scholars draw from their own personal experiences to further develop a framework that explains how a Chicana feminist epistemology offers new narratives to the dominant discourse of women's ways of knowing.

Common to both black feminist theory and Chicana feminist theory is recognizing asymmetrical power structures and learning ways to deconstruct rather than affirm lived experiences of social oppression (Ermarth, 2000). Actively seeking to challenge the silencing that has been a part of their lived experiences, AAW and Chicana women use *talking back* (Hooks, 1989), a form of disruption that establishes "humanity, agency, and worth" (Arredondo, Hurtado, Klahn, Nájera-Ramírez, & Zavella, 2003, p. 3).

Foundation in Disability Studies

“Disability studies” is a term used throughout multiple areas of inquiry and scholarship involved in the study of issues that affect people with disabilities (Ferguson & Nusbaum, 2012). An emerging field, disability studies is useful for studying disability as a product of social injustices that create social oppression (Siebers, 2011). Because it is a multidisciplinary study, this discussion will integrate perspectives from various scholars who have contributed to disability studies. The social constructionist model of disability as well as an emerging theoretical foundation that uses narrative discourse will be discussed.

According to the World Health Organization (2001), disability is a complex collection of conditions, many of which are created by the social environment, that can deny or prevent full participation by people with disabilities. Disability oppression is a pervasive form of discrimination and exclusion that operates to disadvantage those with disabilities while serving to privilege the able-bodied (Griffin, Peters, & Smith, 2007). Similar to other forms of oppression, disability oppression is evidenced by patterns of social injustice in institutional systems such as health care, education, and employment.

Ware (2001) explains that, “from a historical perspective, disability has been a specialized field limited to analysis within medicine, rehabilitation, special education, and social work” (p. 108). However, this traditional medical model of disability fails to take into account the potential for social causes of disability, and as a result, forms the basis for institutionalized biases. In addition, a traditional model of disability projects disabled people as individual victims of tragic circumstance rather than collective victims of social behaviors, social processes, and social policies that create social oppression (Oliver, 1990).

Models of disability are useful for gaining insight into the way that disability is socially constructed (Finkelstein, 2001) and consequently contributes to social oppression. In addition, models of disability help explain how exclusion and rejection from the norm can contribute to the general perception of what constitutes as a quality human being. “If norms are a product of society, and disability is defined as a departure from the norm, then disability is a social construct” (Williams, 2001, p. 136). Moreover, disability is socially constructed “through the failure or unwillingness to create social and physical environments that meet the needs of people who do not fit the physical and mental profile of ‘normal’” (Griffin, Peters, & Smith, 2007, p. 349).

Because of the varying epistemologies engaged in disability studies, disability “must be studied in its social, cultural, and historical context” (Ferguson & Nusbaum, 2012, p. 73).

Disability activists (Anastasiou & Kauffman, 2011; Barnes & Mercer, 2003; Higgins, 1992; Linton, 1999; and Oliver, 1990, to name a few) promote a social constructionist model for studying disability which assumes

that actions of society are largely responsible for creating exclusionary and biased attitudes against the disabled. The social model of disability calls for social action to eliminate barriers and provide resources for disabled people to be more productive in organizational settings (Oliver, 1990).

Another emerging theoretical model that is useful for explaining disability oppression is narrative discourse. Lived experiences of disability oppression produces narratives that are theoretical, practical, and political (Siebers, 2011). Narratives are theoretical because they posit a different type of experience that is counter to ways that social experiences are typically recorded. They are practical in that they often contain “solutions to problems experienced by disabled and nondisabled alike” (p. 105). They are political because they establish the basis of identity by telling one’s story about a common cause. Telling one’s story of disability oppression grants an intimate perspective of disabilities that, when told in collective, represents a theoretical framework of lived experience. A unique feature of using narrative discourse in explaining disability oppression is the social construction of knowledge derived from lived experience. Once knowledge is verified, it is a “valuable weapon against [disability] oppression” (p. 127).

Foundation in Lesbian, Gay, or Bisexual Sexual Orientation and Transgender Identity Studies

The study of lesbian, gay, bisexual, or transgender people (LGBT) exemplifies the multiple, complex, and intersecting ways that a person’s identity may be socially or self-constructed. Similar to disability studies, the study of LGBT groups is not only multidisciplinary, but it is an interdisciplinary field of scholarship with roots in anthropology, medicine, sociology, social work, philosophy, and psychology. The following discussion will focus on social oppression that emerges from lesbian, gay, or bisexual sexual orientation or transgender identity and selected theoretical models used to explain the lived experiences of these groups.

Sexual orientation, the capacity to develop intimate, emotional, and sexual relationships, determines the focus of one’s sexual desire and fantasy (Catalano, McCarthy, & Shlasko, 2007). The American Psychological Association (APA) (2008) defines lesbian or gay sexual orientation as a sense of identity formed from one’s emotional, romantic, and/or sexual attraction to members of one’s own sex; bisexual sexual orientation being an emotional, romantic, and/or sexual attraction to both men and women. Transgender identity refers to people whose biological sex assignment conflicts with their gender identity and who may in some instances reject their biological sex assignment (Griffin, 2007). Transgender identity includes other expressions such as “*transsexual*, *genderqueer*, as well as other terms used by individuals

who do not identify with any of the previous terms, but whose gender expression transgresses gender norms” (Catalano, McCarthy, & Shlasko, 2007, p. 221). While transgender experiences are included in discussions of lesbian, gay, or bisexual people, they are distinctly unique. A unique aspect of transgender identity is that it is self-proclaimed and not imposed by society.

Individuals who reject or transgress the norms of a heterosexual, dominant society are subjected to oppression in ways that are similar to racial oppression (Gedro, 2012). Heterosexism projects heterosexuality or opposite sex relationships as the norm, creating bias against people who are (or are perceived to be) lesbian, gay, or bisexual (Griffin, 2007). Transgender oppression refers to oppression against people whose gender identity conflicts with their biological sex and the expectations that are associated with their biological sex. Scholars in the field of HRD refer to the term “sexual minority” as a blanket term that represents non-heterosexual people, including lesbian, gay, bisexual, transsexual, and transgender people (Rocco, Landorf, & Delgado, 2009). Because the experiences of LGBT and transgendered people continue to emerge into a complex web of terms and expressions, identifying theoretical models useful for explaining their social oppression is challenging as group members attempt to define and redefine their social location and at the same time reject the dominant perspectives (Bell, 2007).

A theory that has been advanced for explaining the lived experiences of lesbian, gay, or bisexual people is queer theory, a critical theory with roots in feminist and women’s studies, literature, and sociology (Anzaldúa, 1987; Butler, 1990; Sedgwick, 1990; Seidman, 1994; Stein & Plummer, 1994). Queer theory is useful for challenging the categorizing of gender as male or female and disrupting the patriarchal, hegemonic notion that romantic attraction is heterosexual (Gedro, 2012). Stein and Plummer (1994) identified four basic principles of queer theory:

- Conceptualization of sexuality which sees sexual power embodied in different levels of social life, expressed discursively and enforced through boundaries and binary divides;
- Problematization of sexual and gender categories, and of identities in general;
- Rejection of civil rights strategies in favor of a politics of carnival, transgression, and parody which leads to deconstruction, decentering, and revisionist readings; and
- Willingness to interrogate areas which normally would not be seen as the terrain of sexuality. (p. 182)

Another emergent model is transgender theory, a framework for understanding the lived experiences of transgender individuals (Nagoshi & Brzuzy, 2010).

A basic assumption of transgender theory is challenging the notion of physical embodiment that forces one to conform to an identity that is fixed in a particular body. “Transgender theory suggests that the lived experiences of individuals, including their negotiations of multiple intersectional identities, may empower them without confining them to any particular category” (p. 439). Similar to disability studies, telling one’s lived experiences as a transgender is a source of empowerment that can act to resist oppression. An awareness for the increasing ways that sexual minorities identify themselves is an underdeveloped topic for the field of HRD, particularly in workplace settings where there are multiple perspectives regarding sexual orientation and gender identity (Kormanik, 2009). Consequently, there is a need for more theoretical models in the field that help to explain social oppression for these groups and contribute to meaning making for those having the experience.

Foundation in Education

In the field of education, the fundamental goal of a social justice framework is to empower individuals with the critical, analytical tools needed to understand oppression, envision their social location within oppressive systems, and develop a sense of agency to disrupt and change oppressive behaviors in the organizational communities to which they belong (Bell, 2007). The Social Justice Critical Reflection Model (SJCRM) (Ingram & Walters, 2007) is an exemplary pedagogical model that promotes social justice. Critical pedagogical models are useful for learning how and why knowledge is acquired, constructed, and legitimized from experience and reality (McLaren, 2009). The SJCRM can be a useful tool for educators and trainers who need a resource for guiding difficult dialogues. Watt (2007) refers to difficult dialogues as “verbal or written exchange of ideas or opinions between citizens within a community such as racism, sexism, ableism, heterosexism/homophobia” (p. 116). Guiding dialogue with historical and social contexts in learning settings is often difficult to navigate; as a result, social justice as an outcome of learning is usually silent (Ingram & Walters, 2007).

The SJCRM is based on five interrelated components: (1) descriptive thinking, (2) dialogic thinking, (3) critical reflection, (4) critical conscious, and (5) praxis. First, individuals are encouraged to recall an event (descriptive thinking). Descriptive thinking is limited to surface information that seems to be apparent to the person recalling the event. Second, placing the event in dialogue with others requires dialogic thinking, a process that involves uncovering biases, stereotypes, and other pre-judged dispositions. Third, critical reflection is a deconstruction process that requires a deeper examination of biases, values, and beliefs and placing the event in an historical context (the enduring problem), a political context (power and privilege), or a social

context (status quo). Next, being critically conscious means gaining a deeper awareness of the disparities that exist in terms of the ways that people differ and the lack of focus given to diversity in the educational process. Gaining critical consciousness is a readiness stage for advocacy. Finally, praxis is taking action against practices that advantage some and disadvantage others—it is social transformation.

TOWARD A SOCIAL JUSTICE PARADIGM: IMPLICATIONS FOR HRD

Kuhn (1996) says that, for a time, a paradigm can provide a worldview for a community of researchers to formulate problems and create solutions. When current worldviews become fixed and unyielding to new problems and dilemmas, a paradigm shift is needed that will bring in new philosophical discourse and theoretical frameworks. In the field of HRD, a paradigm shift is needed that advocates for organizational social justice. Organizational social justice is the “ideology that organizations, through a representing agent, seek to achieve a state wherein all individuals feel included, accepted, and respected and human dignity and equality are practiced and upheld” (Byrd, 2012a, p. 120). Murrell (2006) says that organizations with social justice goals have a disposition toward eradicating all forms of oppression and differential treatment that exist in practices and policies as well as being obligated to “participatory democracy as the means of this action” (p. 81).

In the field of HRD, a paradigm shift toward social justice means not only taking an active stance against social oppression through research and practice, but assuming a moral responsibility in our professional communities; it means enacting moral agency. Furthermore, a social justice paradigm shifts the discussion of social oppression to social action and remedy. Remedy means taking action approaches in the various roles that human resource development assumes: as a field of practice and as an academic discipline.

Westheimer and Kahne (2004) describe social justice-oriented scholars as: (1) centralizing social justice in their research, writing, and epistemology; (2) assuming good moral character and a sense of responsibility to others in their personal and professional communities; (3) engaging in collective efforts for social change; and (4) having difficult dialogues about social oppression during professional conferences, workshops, seminars, and training programs. The goal of social justice-oriented scholars is to actively search for the root cause of social oppression and disrupt systems of oppression. Presently, the field of HRD is contributing to social justice activism through the work of social justice-oriented scholars (Bernier & Rocco, 2003; Callahan, 2007;

Fenwick, 2004, 2005; Gedro, 2012; Sambrook, 2009; Sambrook & Hatcher, 2006; and Valentin, 2006, to name a few). Through an emphasis on critical HRD in their work, these scholars acknowledge the need for frameworks to explain social oppression in organizations. Social justice-oriented scholars must also critically examine themselves for personal hidden biases that might hinder acting as change agents (Valenziano, 2008). For example, gatekeepers of academic literature should be receptive and open-minded to potential publications that include the “organizational undiscussables.” In educational and training settings, social justice activism includes educators’ and trainers’ willingness to develop curriculum and training materials around social oppression and having these difficult dialogues in their programs.

This chapter has provoked deep reflection on the social *injustices* stemming from social oppression. Social *injustice* is a universal problem that is not relegated to any one research community. I envision a community of researchers and scholars who are willing to transcend boundaries established by their own research communities and work collectively for organizational and institutional settings that are equitable and democratic.

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Disability, Health and Wellness Programs, and the Role of HRD

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People with disabilities (PWD) make up the largest minority group with approximately fifty-four million Americans (Munger & Mertens, 2011). This minority group is unlike any because of its size and its fluid boundaries. Fluid boundaries mean that anyone can become a person with a disability at any time. For instance, an estimated 30 percent of the people *without* disabilities become disabled during their prime working years (Stone-Romero, Stone, & Lukaszewski, 2006). People become disabled because of wars, work injuries, environmental degradation, aging, and medical advances which have served to turn some formerly “terminal” illnesses and injuries into chronic medical conditions. Chronic medical conditions are expected to last a year or more, with the need for continuous treatment (Hwang, Weller, Ireys, & Anderson, 2001). Chronic medical conditions have many causes, such as poor choices made by employers who create unsafe and toxic work environments and employees who make poor choices concerning their own health. Certainly chronic medical conditions can be caused by environmental and genetic factors out of the control of employers and employees. Chronic medical conditions can be quite costly; for instance, depression is estimated to cost in the billions in absenteeism and lost productivity (Greenberg, Kessler, Birnbaum, Leong, Lowe, Berglund, & Corey-Lisle, 2003). Max (2001) found that personal health expenditures related to the employee choice to smoke increased 6 to 14 percent annually, which leads to increases in lifetime costs assumed by employers. Chronic medical conditions are just one form of disability, and neither depression nor smoking, the examples used, negates a person’s desire, need, or ability to work.

PWD have the same economic and psychological needs as everyone else. They must work in order to earn a living, and most want to be productive members of society as they strive toward professional and career goals. Of the PWD between twenty-one and sixty-four, 46 percent want to work (U.S. Census Bureau, 2008). Over two-thirds of adults with disabilities are willing to work but are unemployed or underemployed, making PWD the largest and most underrepresented minority group in the labor force (Shapiro, 1993).

Over the years, PWD fought for civil rights, gaining momentum with the help of wounded veterans after each war. The Rehabilitation Act of 1973, The Americans with Disabilities Act (ADA) of 1990, and the recent amendment to the Americans with Disabilities Act (ADAAA) were enacted to assist PWD to find and maintain employment in both the public and private sectors, as well as enjoy all the benefits of citizenship. Despite the existence of these laws, discrimination in employment opportunities for the disabled persists, and employment has declined since 1990 (DeLeire, 2003). This decrease in employment occurs when employers do not recruit and select individuals with disabilities and when employers discharge workers. Employers have prevailed in discharge situations by citing “performance deficiencies, economic cutbacks, lack of worker qualifications, presence of safety risks, and/or requests for unreasonable accommodations” (Nafukho, Roessler, & Kacirek, 2010, p. 402). Myths and misinformation persist about the costs of workplace accommodations for the disabled. According to the Office of Disability Employment Policy two-thirds of all reasonable accommodations require a one-time cost of less than \$500, and 20 percent require no cost to the employer and include architectural access, job modifications, schedule alterations, and assistive technology.

In the field of HRD, few scholars have investigated disability from a socio-political perspective like we have gender, race, and sexual minority status. Instead HRD scholars have followed a medical and economic perspective (Fornes, Rocco, & Rosenberg, 2008; Rocco & Fornes, 2010) and a legal perspective (Nafukho, Roessler, & Kacirek, 2010). Boyle (1997) examined social reentry into organizational culture of PWD, finding that four types of barriers existed. First, a negative social image caused PWD to avoid contact with people without disabilities. Second, that the rehabilitation system controlled the job prospects of clients, with little regard to the clients’ career aspirations. Third, job completion assessments were geared toward people without disabilities and did not take reasonable accommodation into consideration. And fourth, corporate image campaigns masked the reality that the company was not responsive to the needs of workers with disabilities. Kulkarni (2012b) concluded that people with physical disabilities need to be able to access social networks for career advancement. She suggests that HRD professionals should create structured socialization and mentoring programs for PWD

from their entrance into the organization to mitigate the social and inclusion barriers they face. These barriers include negative attitudes and stereotyping, which differ in expression and severity according to the type of disability, expectations around productivity, and the perceptions of those in the workplace. Reducing these barriers will help PWD when seeking help (Kulkarni, 2012a) in the workplace from co-workers, team members, and HR. People with mental retardation were the focus of research on job satisfaction and job retention, finding that this group of people with a specific disability improved their performance when self-determination skills are enhanced through individual and career development activities (Fornes, Rocco, & Rosenberg, 2008).

Articles examining disability from a legal perspective include an *Advances* issue about discharge and PWD based on EEOC data collected between 1992 and 2008 (Roessler & Nafukho, 2010) and an overview of the ADA 1990 (Freeburg, 1994). These articles focused on the ADA prior to the passage of the amendments in 2008. While Clardy (2003) provides insights from employment law on negligence in training and development programs, discrimination against participants with disabilities or religious concerns, and the relationship between training and workers' compensation.

The purpose of this chapter is to discuss disability as a complex phenomenon from a sociopolitical perspective, to understand the legal aspects of disability, and to consider health and wellness programs from a corporate and employee perspective. We have chosen to address these three critical areas in an effort to advance understanding of the myriad of issues that confront PWD as they navigate their lives. We will conclude this chapter with a discussion of the implications for HRD.

DISABILITY AS A COMPLEX PHENOMENON

Disability is a complex phenomenon influenced by a socio-historical context, functional and medical realities, and individual perception. The socio-historical context of disability indicates that conditions that are considered disabling change. The social context is influenced by the meanings people give to objects, events, and experience (Oliver, 1990). The historical context is influenced by the major events that occur in a lifetime. An example of this would be that, at the time, Franklin Delano Roosevelt felt a need to hide his disability to continue his political work. Almost a century later, not only is it common knowledge that he used a wheelchair but a memorial has been erected in Washington, D. C., depicting him in his wheelchair.

Disability is also just one aspect of a person's identity and may not be the primary identity marker of a person. As Sheared (1999) explained, an identity is polyrhythmic with multiple markers such as gender, race, age, ethnicity,

etc. Polyrhythmic refers to the rhythm of identity markers changing in importance to the person and to society. A person may identify more as a woman and second as a PWD. Disabilities can be visible and invisible. A visible disability would be any disability that someone can see plainly, such as a person using a wheelchair. An invisible disability cannot be seen and requires that a person disclose the existence of the disability for an accommodation, such as depression. Individual perception being what it is, the disclosure of an invisible disability is frequently met with disbelief and hostility (Rocco, 2000). Since a disclosure must come before a job applicant can receive accommodations in order to apply for a position, this disbelief that a PWD is capable of work can interfere with a fair evaluation of an applicant's strengths and weaknesses. This disbelief can be an articulated and acknowledged bias or something buried in the subconscious of the recruiter.

The binary categories of disabled or able-bodied are assumed natural categories and polar opposites, while in reality dis/ability exists on a spectrum. Yet being able-bodied is the focus and organizing principle for political, social, and work life. A focus on able-bodiedness as the norm is unnoticed and thus untroubled and is the foundation for ableism. Ableism is the notion that able-bodiedness is "the normal and superior human condition" (McLean, 2011, p. 13). Ableist assumptions "play out in unconscious and unexamined ways" (McLean, 2011, p. 16), creating "a network of beliefs, processes, and practices" (Campbell, 2001, p. 44), which include paternalism, economic subordination, second-class citizenship (Rocco & Delgado, 2011), and the need to categorize and classify disability.

Thirty-five million or 12 percent of PWD are classified as having a severe disability (U.S. Census Bureau, 2008). Disability is classified as cognitive, sensory, mental, physical, and developmental. Within each of these classifications, a number of impairments and conditions can exist. A cognitive disability affects mental processes and tasks. Someone with a cognitive disability can have learning disabilities, Down's syndrome, or traumatic brain injury. A sensory disorder affects one of the senses, such as vision. Mental and psychological disorders can be caused by cognitive or biological conditions. In general, such disorders affect a person's emotional responses. Developmental disabilities are all disorders and disabling conditions that begin in childhood. For more information on specific disabilities and accommodations, we suggest Disabled World (www.disabled-world.com), an online resource with information on specific disabilities, assistive technologies, and more. As is discussed above, able-bodied individuals sometimes act from the perception that those with disabilities cannot perform on the same level as those without disabilities. Therefore, laws are necessary to protect PWD and to establish clear social policy regarding employer behavior. The next section covers the laws that require employers and other institutions to provide reasonable accommodations to PWD.

DISABILITY LAW IN BRIEF

Increases in active aging, the need for experienced workers, and medical advances that allow people to work and participate after major injury or catastrophic illness mean that more people will benefit from the protections disability law provides. Employers facing worker shortages could fill positions with PWD if more were understood about accommodations. The term “reasonable accommodation” makes employers cringe because of a potential expense perceived as unreasonable. Yet many accommodations developed to provide increased access to PWD are now in common use, such as text reading programs, voice-activated software, audio books, and spell-checking software, which has substantially reduced their cost. Ironically, these assistive devices, when used by a person without a disability, are perceived as increasing productivity, yet when used by a PWD are perceived as special treatment and not quite fair.

The Americans with Disabilities Act (ADA) was passed into law by the United States Congress in 1990. The Act as originally passed was comprised of three titles. Title I is the employment title. This title required that employers not discriminate against employees and applicants who, with reasonable accommodations, can perform the essential functions of the job. ADA Title II covers nearly any program or activity conducted by a public entity ranging from adult and higher education to prisons to public health care. This title served to broaden the protection already existing under Section 504 of the Rehabilitation Act of 1973. Section 504 prohibited organizations that received federal financial assistance from discriminating on the basis of disability (Bowman, 2011). Since most branches and state and local governments receive federal financial assistance, ADA Title II and Section 504 of the Rehabilitation Act of 1973 are often coextensive. The only activity funded by local and state governments that ADA Title II and Section 504 do not typically regulate is primary and secondary education. This is because these areas are typically regulated by the Individuals with Disabilities Education Act (IDEA). This act allows students to receive disability services until they graduate from high school or, as older high school students, up through age twenty-one. Once a student matriculates in college, the ADA, the ADAAA, and Section 504 of the Rehabilitation Act of 1973 provide protection from disability discrimination (National Center for Learning Disabilities, 2011). Since the focus of our discussion in this chapter is on adults and work, the IDEA will not be addressed. Finally, Title III of the ADA protects individuals with disabilities from discrimination and requires accessibility to public places such as government, food, lodging, and health care establishments, in addition to places that enhance the quality of life such as hotels, restaurants, and places of entertainment and recreation (Colker, 2001).

The ADA Amendments Act of 2008 (ADAAA) was enacted September 25, 2008, and became effective January 1, 2009. This piece of legislature made significant changes to the ADA as it had been interpreted through numerous court decisions. In the Act, Congress overturned several Supreme Court decisions that it believed too narrowly defined “disability.” The ADAAA states that the definition of “disability” should be interpreted in favor of broad coverage of individuals. Nevertheless, the Act maintains the ADA’s original definition of the term “disability” as a physical or mental impairment that substantially limits one or more major life activities; a record (or past history) of such an impairment; or being regarded as having a disability.

The ADA regulations implement Congress’s intent to set out standards that are predictable, consistent, and workable. These rules of construction are to be used when attempting to determine whether an individual is substantially limited in performing a life activity. The Act makes it clear that the “substantially limited” clause requires a lower degree of functional limitation than the standard that had previously been applied by the courts. An impairment need not prevent or severely or significantly restrict a major life activity to be considered “substantially limiting.” The Act requires that the term “substantially limits” should be construed broadly in favor of expansive coverage. The determination of whether an impairment substantially limits a major life activity should be made without regard to the effects of mitigating measures such as medication, hearing aids, etc. (with the exception of corrective lenses). Further, the ADAAA requires that an impairment that is episodic or in remission be deemed a disability if it would substantially limit a major life activity if it were active. Substantially limiting a life activity is grounds for a reasonable accommodation and should not be used to discriminate against the individual in employment situations. The revised act yields to Congress’s direction that the primary focus of the ADA is on whether discrimination occurred; the determination of disability should not require extensive analysis.

The ADAAA makes it easier for individuals to establish coverage under the “regarded as” part of the definition of disability. Because of several past court decisions, it had become quite difficult for individuals to establish coverage under the “regarded as” prong of the ADA. Under the ADAAA, the focus for establishing coverage has been shifted to how a person has been treated because of a physical or mental impairment (that is not transitory and minor), rather than on what an employer may have believed about the nature of the person’s impairment. Nevertheless, even with all of the many changes noted above in the ADAAA, an individual still must be covered under the first prong (“actual disability”) or second prong (“record of disability”) in order to qualify for a reasonable accommodation.

The ADAAA does not make significant changes to an employer’s or any educational institution’s obligations of nondiscrimination or reasonable

accommodation. However, the Act does significantly expand the pool of individuals who are now considered to be disabled. The ADAAA keeps the existing exclusions in place. This means that conditions such as transvestism, gender-identity disorder, kleptomania, and pyromania are still excluded from coverage. The ADAAA has put the ADA on par with other discrimination claims (gender, race, religion, age, etc.). It is no longer difficult for employees and applicants to prove that they have a right to bring a claim under the ADA.

The changes to the ADA suggest that job descriptions should be written with clarity and specificity. In addition to addressing requirements such as weight lifting, job descriptions should now also address mental and emotional requirements (Zappe, 2008). Additionally, accommodations can now be requested during the interview process. This may mean that employment kiosks historically used during job fairs and other public venues may have to be modified or other alternatives offered in order to accommodate candidates who request accommodations.

Employers should develop internal protocols on how to address foreseeable situations so that employers can ensure consistent treatment. Employers will need to be flexible in order to conform to the changes brought about by the ADAAA, but at the same time they'll need to be consistent. Employers should review all job descriptions to make sure that they accurately describe the essential functions of each job. Managers and educators will need to be trained to become proactive about offering accommodations. The pool of potential disabled employees has significantly widened under the amendments. Therefore, the danger of "failure to accommodate" lawsuits has increased.

Employers concerned about lawsuits can choose not to discriminate against PWD. Employers concerned about the costs of accommodations and health benefits can take proactive steps to promote employee health and wellness. Indeed, a focus on the health and wellness of the workforce can significantly reduce the occurrence of traumatic illnesses such as cancer and heart disease, which can render employees disabled within the meaning of the ADA. The next section will discuss health and wellness programs in the workplace.

HEALTH AND WELLNESS PROGRAMS IN THE WORKPLACE

The World Health Organization describes health and wellness as "*A state of complete physical, mental and social well-being and not merely the absence of disease or infirmity*" (WHO, 2012, ¶2). For example, The Alliance Institute for Integrative Medicine views wellness, beyond the physical, to include emotional stability, clear thinking, the ability to love, create, embrace change, exercise intuition, and experience a continuing sense of spirituality (Alliance Institute for Integrative Medicine, 2009). According to a recent American Hospital

Association report, goals of organizations around employee health and wellness are multifaceted. Employers hope that health and wellness activities, such as smoking cessation, exercise, and weight control programs, will reduce absenteeism and improve overall productivity. Another employer goal is to help the company's bottom line by avoiding costly medical events (Draper, Tyson, & Christianson, 2008). For example, chronic diseases such as diabetes, heart disease, and stroke are responsible for seven of ten deaths among Americans each year; treatment of these conditions accounts for more than 75 percent of the nation's \$2.5 trillion medical care cost (CDC, 2012). Many companies simply want to keep their workforce healthy and safe; they view health and wellness programs as a "Family Lifestyle" change. In other words, their goal is for the employee to take healthy behavioral change home to the entire family (Nickerson, 2010). There is a growing consensus that healthy lifestyle practices, such as physical activity, healthy eating, not smoking, social engagement, and avoiding heavy drinking, are goals associated with most health and wellness corporate programs. Health and wellness programs can reduce the number of employees who become legally disabled within the meaning of the ADA as a result of unhealthy lifestyles. This would mean the employers benefit also by a reduction in the costs associated with "reasonable accommodations."

Health and wellness programs are becoming increasingly popular as a mechanism to promote a healthier workplace, provide employees opportunities to select programs that fit their individual needs, and provide peer support and positive peer pressure. Employees are appreciative that they are able to receive such services as smoking cessation and weight loss free of charge as a part of their employee benefits package. With an aging baby boomer population and associated diseases that accompany getting older, health and wellness programs can provide individuals with the physical, mental, and spiritual principles to maintain a healthy lifestyle. A healthy lifestyle includes responsible behaviors such as not smoking cigarettes, not drinking excessively, maintaining a healthy weight, exercising, consuming nutritious foods, and managing stress (Edlin & Golanty, 2010). Health and wellness programs generate significant corporate savings and lower overall costs by about \$3.27 for every dollar spent on wellness programs; moreover, absenteeism costs fall by about \$2.73 cents for every dollar spent (Baicker, Cutler, & Song, 2010). Hence, these programs provide significant benefits for both employer and employee.

Given the many preventable diseases, such as cardiovascular disease, diabetes, lung cancer, and hypertension, and escalating health care costs, promoting health and wellness in the workplace is essential to our nation's overall well-being (CDC, 2012). A successful health and wellness program can serve to help reduce the number of people who would become classified as "disabled"

as a result of developing preventable diseases. The workplace presents a ripe opportunity to help promote healthy lifestyles and behavioral changes, resulting in positive and effective health outcomes for employees and their families, including adults, children, spouses, partners, or an aging parent.

Corporations as Contributors to Health Promotion

In the recent economic slump, corporations are finding it economically prudent to institute health and wellness programs such as health fairs, health screenings, and educational seminars. By providing employees access to healthy lifestyle management options, such as weight control, smoking cessation, and health risk assessments, corporations are finding these programs cost-effective (Draper, Tyson, & Christianson, 2008). Although health and wellness programs provide a valuable benefit for employer and employee, convincing employers of their efficaciousness still remains somewhat problematic. According to the Centers for Disease Control (2012), incorporating health and wellness programs that are evidence-based will help control our nation's burgeoning health care spending.

Specific Health and Wellness Programs

Employee health and wellness programs act as a conduit for behavior change among the working population. The Affordable Care Act's Prevention and Public Health Fund is providing \$9 million toward corporate health and wellness initiatives. This comprehensive program is aimed at workers and their families. The Research Triangle Institute will evaluate the effectiveness of this health initiative and provide evidence-based approaches for implementing these workplace interventions (CDC, 2012). In addition, Viridian Health Management has the job of helping employers reduce the risk of chronic conditions, like cardiovascular disease, in the workplace. Their aim is to promote healthy workplace activities that are self-sustainable over time and easily replicated through peer-to-peer interaction (CDC, 2012).

More than 90 percent of employers with two hundred or more employees provide health and wellness programs. Additionally, more than half of smaller employers offer at least one wellness program (Holtyn, Allen, Fetzer, & Heirich, 2010). A core workplace health program should be based on employees' needs. Additionally, it should consist of three to five health and wellness interventions aimed at the goals of smoking cessation, health plans, nutrition counseling, physical fitness/lifestyle management, and weight management counseling. A program will be considered to have been successful if, after a twelve-month trial period, most of the company has incorporated all of the interventions, and an environment that fosters healthy lifestyle choices has been constructed (CDC, 2012).

Tobacco is one of the leading causes of morbidity and mortality in the United States (CDC, 2012). Therefore, it's not surprising that smoking cessation programs have proliferated in many corporations. One example, a corporate program in Cleveland, Ohio, in collaboration with a publicly funded tobacco-use prevention initiative, provides funding for nicotine replacement patches for employees (Draper, 2008). This program provides smoking cessation counseling and includes "*health coaches*" to work with individual employees (Draper, 2008). Direct benefits are realized by both employee and employer, in terms of promoting smoke-free environments. Employers benefit from lower health care cost by shifting some of the responsibility to employees for health and wellness. Employees and their families benefit from positive lifestyle changes and better health outcomes. For example, Stockdale (2005) has concluded that individuals who associate with smokers tend to initiate or continue to smoke, while those associating with non-smokers tend to encourage others toward non-smoking and a smoke-free work environment. This has important implications for employers and employees. Promoting peer pressure to help promote non-smoking helps corporations achieve their overall goals of promoting behavior change, not just among those employees involved in a health and wellness program, but co-workers and family members as well.

Enforcing more stringent smoking policies in the workplace has been shown to have a positive effect on the social norms of employees (Loukas, Garcia, & Gottlieb, 2006). They found that, among individuals who work in environments that are 100 percent smoke-free, there is a lower smoking prevalence and daily consumption of cigarettes by the individuals in those working environments. This decrease in prevalence is important because it helps lead to less absenteeism, lowers health care costs, and improved company morale.

Other health and wellness programs are aimed at helping reduce musculoskeletal disorders (MSDs), like back pain, and increasing employee awareness of proper posture and ergonomics (Levanon, Lerman, Givon, & Ratzon, 2012). This is increasingly important due to the large prevalence of people who spend most of their workday sitting at a desk looking at a computer. Furthermore, 70 to 80 percent of people will probably experience low back pain at some point in their lives, and they could become employees with a chronic disability (Deyo, Cherkin, Conrad, & Volinn, 1991) warranting an accommodation under the ADA.

IMPLICATIONS FOR HRD

This chapter has provided insights into the complex nature of disability, an overview of the laws related to disability, and information on health and wellness programs. HRD practitioners should develop programs for managers and

employees to enlighten them about working with PWD, the benefits of health and wellness programs, and including disability as part of a corporate diversity program. Programs should be designed that inform workers and managers about disability and the capabilities of PWD. These programs should have a component outlining ways to engage and be inclusive of all workers.

As a result of the ADAAA, we should expect to see an increase in employment opportunities and retention of PWD. The change in the law should motivate employers to become much more proactive in their response to those with disabilities and in their efforts to decrease the number of employees becoming disabled through the embrace of health and wellness programs. Increased retention, job satisfaction, and increased productivity could be achieved through a concerted and sincere effort to integrate PWD into the organizational culture and community.

Employers should find it harder to successfully defend against discrimination claims under the ADA. Since 66 percent of accommodations are less than \$600 as a median one-time cost and most cost an employer nothing (Hendricks, Batiste, & Hirsh, 2005), it is prudent for employers to work with employees and applicants with disabilities to provide accommodations such as architectural access, job modifications, schedule alterations, and assistive technology. Assistive technology for a person with a disability should be viewed in the same way as these technologies are viewed when authorized for a person without a disability—as a means of increasing productivity. Examples of assistive technologies that increase productivity of all employees are spell checkers, voice-activated and recognition software, and ergonomic chairs.

Disability is a concept that scholars take for granted (Rocco & Delgado, 2011) in many fields. The field of HRD has produced little work on disability. This limited work has been from two perspectives: medical and economic, and legal. Research can be conducted on the relationship between accommodations and productivity, training, and team work of workers with and without a disability. Research could be done to investigate integration efforts using the medical and economic and sociopolitical perspectives and from the employee and employer perspectives. Additionally, the perspectives of employees with and without disabilities should be addressed in research on the effectiveness of accommodations, diversity programs, and integration into the corporate culture. Research should be done that investigates organizational responses to accommodation requests based on the status of the employee. Are stigma and stereotyping affected by an employee's status within an organization?

Health and wellness programs can decrease health insurance premiums and absenteeism and increase productivity. Research should be conducted on the effectiveness of HRD's implementation of health and wellness programs,

improving attitudes toward PWD and chronic health conditions, and decreasing discriminatory actions against PWD. The need for such research is all the more imperative as a result of the passage of the ADAAA and its “expansive” definition of “disability.”

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Sexual Orientation and HRD

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This chapter traverses the relationship between sexual minorities and the field of human resource development. A common observation, in response to the proposition that issues of sexual orientation and gender identity and expression matter with respect to HRD initiatives, is that “sex does not belong in the workplace.” In the twenty years of diversity training experience of one of the authors, there is a resistance, often presented with neutral intentions, to the idea that this discussion even matters. However, the workplace is not neutral, and it is laden with sexuality. The corporate environment continues to be a bastion of heterosexuality (Gedro, Cervero, & Johnson-Bailey, 2004). A pedagogical tactic that extinguishes the resistance around discussing these issues is to ask the resister if he or she has ever placed a picture of a spouse or boyfriend or girlfriend, or has ever seen a colleague do so, on a desk or in an office. Invariably, the answer is “yes.”

The workplace is saturated with sexuality, but that saturation is invisible because of heterosexual ubiquity. Organizations tend to be complex and embedded with heterosexuality, and this “heterosexual hegemony tends to construct lesbians and gay men as isolated exceptions, so that they and their sexuality come to be seen, by heterosexuals at least, as private and individual, even personal problems” (Hearn & Parkin, 1995, p. 169). Heterosexuality, which is also referred to as *cultural* heterosexuality, is the assumption that, barring evidence to the contrary, people in the organization are heterosexual (Dermer, Smith, & Barto, 2010). Homophobia is fear and intolerance of sexual minorities (Griffin, 1998), and it is perhaps more fitting to use the term *homonegativity* when thinking about issues of sexual minorities and HRD, because “the oppression of lesbians, gay men, and bisexual people is based on much more than irrational personal fear, and the use of a psychological term to describe this system of injustice is inadequate” (Griffin, 1998, p. xv).

Maurer-Starks, Clemons, and Whalen (2008) clarified the distinction between homophobia and homonegativity. Whereas *homophobia* is irrational

fear of homosexuality and homosexuals, *homonegativity* is a “more inclusive term that describes purposeful, not irrational, negative attitudes and behaviors toward nonheterosexuals” (Maurer-Starks, Clemons, & Whalen, 2008, p. 327). Not only is homonegativity destructive to non-heterosexuals (also referred to in this chapter as sexual minorities), but it is constrictive to those whose behaviors and affects do not align with their gender. In other words, homonegativity impacts effeminate (straight or gay) men and masculine (straight or lesbian) women. Sexual prejudice represents negative attitudes based on sexual orientation (Dermer, Smith, & Barto, 2010) and does not connote the same irrationality or fear as does the term homophobia. It may, therefore, be a more fitting way to think about the challenges that are inherent in changing the culture of an organization into one that welcomes and includes sexual minorities.

There are approximately nine million lesbian, gay, and bisexual people in the United States (Catalyst, 2012), and evidence has lately been presented that refutes sex researcher Alfred Kinsey’s suggestion back in 1948 that sexual minorities comprise 10 percent of the population (NPR Staff, 2011, interview with Gary J. Gates). Rather, sexual minorities represent approximately 4 percent of the population in the United States (Catalyst, 2012; Gates, 2011). Discrimination and marginalization persist toward LGBT people (Pizer, Sears, Mallory, & Hunter, 2012) and, although there are state and local prohibitions against discrimination based upon sexual orientation and gender identity and expression, there are no federal prohibitions. In order to produce a high-quality product or service, organizations need productive and motivated employees, and organizations cannot afford to marginalize anyone (Congdon, 2009). Therefore, even though lesbian, gay, bisexual and transgender (LGBT) people constitute a relatively small percentage of the workforce, because the issues related to sexual orientation and gender identity and expression continue to lack visibility, discrimination—whether it be overt or covert, and whether it be intentional or unintentional—is a persistent phenomenon of organizational life.

SEXUAL ORIENTATION AND HUMAN RESOURCE DEVELOPMENT

This chapter is grounded on a set of assumptions that are contestable by a critical reader. So in the spirit of critical theory that underpins this chapter, we will make every effort to name our assumptions as we express them. In turn, we encourage you to read this work with a skeptical, questioning frame of mind. You may be inclined to begin this questioning by wondering what we mean here by critical theory.

We lack adequate room here, of course, to do justice to the topic, and we are fortunate that there are others who give the subject excellent treatment for those who wish to pursue its philosophical origins (for example, Habermas, 1984, 1987; Horkheimer, 1982; Marcuse, 1968). For our concerns regarding sexual orientation in organizational settings, we can usefully consider critical theory as an approach with two reflexive dimensions: first, as a lens of discernment through which we undertake a process of identifying sources of power, questioning assumptions, and accounting for the human emotions stirred by organizational conditions. Following Horkheimer (1982), this investigatory dimension is then necessarily co-joined with the second dimension: action. The nature and results of the action are then further subjected to the critical lens in a reflexive loop, helping us to clarify organizational circumstances and conditions so that we may continually devise and then enact strategies that will most effectively liberate all those who populate our organizations. Let us consider these two aspects of critical theory in connection with sexual orientation in the workplace.

DEFINITIONS

It is important for HRD practitioners and scholars to be sensitive to language with respect to issues of sexual orientation and to appreciate the complexity of sexuality and the language that describes sexuality and sexual minorities. We present these definitions with a mild disclaimer that language changes and that meaning changes over time. For example, the term “queer” used to be exclusively derogatory. However, it has been appropriated by sexual minorities and has been used as a term of pride. Although not all scholars agree that the term “queer” can be or has been legitimately reclaimed by sexual minorities (Brontsema, 2004), it has been linguistically activated among LGBT people and their allies. The use of the term “queer” is tricky terrain because, depending upon who is using the term and how it is used, it can have a friendly connotation or a hostile connotation. Zwicky (1997) describes the issue of the “lexical items that are available for referring to sexual orientation and to people of various orientations” (p. 21). There are “contested choices” between the use, for example, of *homosexual* versus *gay*, *lesbian* versus *dyke*, reclaimed epithets such as *dyke* and *faggot*, the use of the word *gay* as a noun versus its use as an adjective, *queer*, *out*, and “straight acting” (Zwicky, p. 23). The term “gay” came into popular usage in the 1970s (McNaught, 1993), and it can be used as an adjective to describe a homosexual man or woman. “Gay” is also used to refer, generally, to the LGBT community (UC San Diego LGBT Resource Center, 2012). The term “lesbian” suggests a gay woman with

self-esteem (McNaught, 1993). Lesbians are women whose romantic orientation is toward other women. Gay men are men whose romantic orientation is toward other men. Bisexual people are those who are romantically attracted to both men and women. *Gender* represents the dress, speech, mannerisms, and behavior of what is traditionally understood in the United States as masculine or feminine. *Sex* refers to one's biological makeup, most obviously evidenced by genitalia. *Transgender* is an umbrella term for any person whose internal sense of sex (male or female) is different from his or her biological sex.

CULTURAL COMPETENCE

In order to acquire “cultural competency” around sexual minority issues, and to effectively, competently, and explicitly include LGBT issues in training and development initiatives, it makes sense to acquire a crisp and effective grasp of some of the terminology related to sexual minorities. Cultural competency is a term that has come out of the mental health field, which represents the set of knowledge and skills that providers have about a particular population that facilitates successful, sensitive, and respectful interventions with and related to that population. While we do not suggest that it is the direct responsibility of human resource developers to acquire counseling skills with respect to LGBT issues, we do suggest that it is helpful to borrow from the field of counseling psychology to acquire some insights into the ways that human resource developers can become more effective. Rather than think of LGBT issues as a discrete type of “intervention” in an organization, it is more accurate and helpful to think of them as permeable within the organization. Whether or not it is clear how many employees (or those in leadership positions, for that matter) are lesbian, gay, bisexual, or transgender, these issues affect the workplace. It is likely, even imagining that an organization has zero LGBT people working in it, that either someone within the organization is related to an LGBT person or that there is an LGBT person who is in the organization's supply chain, or even a client or prospective purchaser is LGBT.

A model of cultural competence in the psychology field was developed by Sue, Ivey, and Pederson (1996, 2006) that includes three areas: (a) cultural awareness and beliefs; (b) cultural knowledge; and (c) cultural skills (p. 238). It is beyond the scope of this chapter to explore the ways that the LGBT civil rights movement has evolved over modern times and, although important, it is beyond the scope of this chapter to provide an explanation of the characteristics of LGBT culture. Suggested sources for more comprehensive information about LGBT workplace issues include the Human Rights Campaign (www.hrc.org), and Out and Equal Workplace Advocates (www.outandequal.org).

What we intend to highlight is that it is helpful for HRD professionals to have some knowledge around LGBT issues, even for the most practical of reasons. That is, even if an HRD professional has no interest in becoming an ally of LGBT people (although we hope that could happen, certainly), there is, at a minimum, a *legal* argument to be made for having some knowledge about this subject. Although there is no federal prohibition against employment discrimination against LGBT people, there are anti-discrimination laws in the United States. To date, sixteen states prohibit discrimination based upon sexual orientation and gender identity and expression: Washington, Oregon, California, Nevada, Colorado, New Mexico, Minnesota, Iowa, Illinois, Maine, Vermont, Massachusetts, Rhode Island, Connecticut, New Jersey, and Delaware (National Gay and Lesbian Task Force, 2012). Five states prohibit discrimination based upon sexual orientation: New York, Wisconsin, Maryland, New Hampshire, and Delaware (National Gay and Lesbian Task Force, 2012). Human resource developers have an opportunity to serve *both* the interests of social justice and civil rights, as well as shareholder interests, while acquiring knowledge and skills related to creating inclusive environments for LGBT people.

Raeburn (2004) observed that there have been a variety of pressures exerted on corporations to create inclusive environments. These pressures include coercive, mimetic, normative, and cognitive isomorphism. Coercive isomorphism means the pressures exerted upon an organization by legal requirements (such as the state laws just mentioned) as well as expectations in society (Raeburn, 2004). Mimetic isomorphism represents the tendency of companies to make attempts to be LGBT inclusive, so that they are competitive with other (successful) companies that are already LGBT inclusive. Normative and cognitive isomorphism represent the interests of the corporation in credentialing and networking of professionals, in order to establish themselves as “best of breed” in a particular area.

Perhaps the most visible example of isomorphic pressure on companies to brand themselves as LGBT inclusive is the Corporate Equality Index, established in 2002 by the Human Rights Campaign (HRC), an annual measure of corporate LGBT inclusiveness. The index consists of five primary criteria: (1) EEO policies that include sexual orientation and gender identity or expression; (2) employee benefits that include equivalent spousal benefits and other benefits such as bereavement leave and relocation/travel assistance; (3) organizational LGBT competency, which includes training, resources, and accountability measures; (4) public commitment such as LGBT recruitment efforts; and (5) responsible citizenship, which means that the company has not engaged in activities that could undermine LGBT equality (Human Rights Campaign, 2013). The limitations of the legitimacy and celebration of this type of index include the fact that only Fortune 1000 corporations are included in the annual survey, which means that small and medium organizations are

not represented. Additionally, as we will explore later in the chapter, there are deeper layers to true organizational inclusiveness that are difficult to measure with objective criteria. Nevertheless, there is value in the questions that an instrument such as the HRC Corporate Equality Index raises and the competition among the Fortune 1000 to score well on it. At a minimum, its existence and emergent popularity increase the visibility of the LGBT rights movement in the United States. It creates motivation for companies to implement and maintain inclusive policies and practices.

In the case of sexual orientation, this compartmentalizing by those who identify in some way other than heterosexual is often a process of suppressing one's sexual identity, an aspect of one's social self. This suppression, often referred to as "closeting" (as in "I have to be in the closet at work"), is a process of severing an important aspect of individual identity upon crossing the threshold of the workplace in order to feel safe in some way. This is an amputational survival tactic that can indeed protect the individual from feeling certain kinds of threats, but it is a devastating compromise equivalent to tamping down the essential self. It comes at great cost (Tyler, 2010). It robs individual employees of their integrity and spirit. It is grounded in and continually fosters a fundamental sense of distrust. Further, it deprives the organization of the employees' full creative energies, since some of that energy is diverted to the task of maintaining the split, hiding the stump as it were, and keeping the bifurcation tidy.

The question we turn to now is one that ultimately applies to more elements of the diversity equation than "just" sexual orientation. It is a question of how we as HRD practitioners can facilitate an opening up of the organizational culture to be genuinely welcoming to people and their ideas, not *in spite* of their differences, but *because* they are different (Tyler, 2012), regardless of the nature of those differences. How do we take action that will liberate the energy caught up in the margins of the organization where sexual minorities reside? How can we make it safe for people in our organizations to be their whole and authentic selves?

Sambrook (2009) suggests that critical HRD involves an acceptance that there is no single truth about HRD. Instead, we are faced with work that is situational, contextual, and polyphonic. Action connected to sexual orientation in the workplace, whether official or unofficial, is deeply influenced by the specific attitudes of those holding power in the organization, whether that power is positional or charismatic. It is rife with tensions that require us to simultaneously hold contradictions and transcend or transform them. This work involves introspection. It requires a clear-eyed reflection on our own roles as HRD professionals in reflexively responding to and shaping the forces at play in the organization that can by turns oppress or liberate.

The "transactional and subjective" (p. 110) epistemology Guba and Lincoln (1994) ascribe to critical theory (as well as to constructivism) allows for the

nature and outcome of HRD interventions to be mediated by the values of both the practitioner *and the affected individuals* in the organization. In practice, axiology of care and a biographical view of individuals can round out a critical paradigm for HRD practice that can be applied to any HRD effort in support of all those marginalized in (by) the social system, from new employee on-boarding, technical training, civility education, and expatriate assignments to development processes, such as career development, leadership development, and organization development.

The paradigmatic approach to practice allows the practitioner to flex as changes in the larger social milieu occur—and this change has been rapid (though we would say insufficient) over the last few years (Schmidt, Githens, Rocco, & Kormanik, 2012). Also, the choice of many sexual minorities to be “invisible” minorities by staying closeted creates a need for especially nuanced reflection by practitioners in the context of the practical work of HRD, and a clear paradigm is an excellent filter for assumptions. So it is to this work we now turn, with a look at the relationship between our efforts in HRD practice through the lens of critical theory and the concerns of this one dimension of organizational diversity, sexual orientation.

EQUITABLE EFFORTS IN HRD

A culture of equity with regard to sexual orientation (or any other aspect of diversity) is more likely to be achieved through the development of culture than through rules and their enforcement. There is a danger in responding to sexual orientation as an “issue” that should be addressed primarily through policy, yet policy is often the first course of action adopted by leadership: regulate the problem. Hornsby and Munn (2009) provided an interrogation into the unevenness that pervades employment benefits. Because work/life benefits are “often granted on marital status” (p. 70), many work/life benefits are disproportionately available to heterosexual employees. These benefits include leave time, health insurance, and retirement benefits. Gedro (2013) noted that, even though there is a proliferation of companies that consider themselves LGBT friendly, coming out remains a risk for LGBT people. This means that, even when companies do adopt LGBT friendly policies (and many do), sustainable changes that matter require something deeper, more systemic than new policies or changes to old ones. Policy can support culture. It can act as the safety net when there are unanticipated situations or when those with power resist the cultural norms and “go rogue.” Policy-making can send important messages that reinforce cultural norms and corresponding discourse, but it is not, and cannot be, the only course of action available to HRD practitioners.

Elsewhere, Tyler (2010) has noted the problems of policy-centric approaches, citing, for example, a human resources vice president who indicated that he and his team had spent a long time drafting domestic partnership benefits, so that “they have everything we have. That should make them happy” (p. 38). While a domestic benefits policy attempts to compensate for a sociopolitical shortcoming outside the organization, it changes nothing if those who benefit from it are too afraid to come forward to claim it. Schmidt, Githens, Rocco, and Kormanik (2012) point out additional complexities inherent in policy development and implementation. Those complexities include determining, for example, the type of benefits that non-heterosexual employees might prefer. The issue here relates back to the beginning of this chapter, in which we established the fact that organizational America continues to operate with heterosexual assumptions, and that it is pervaded by heterosexism and homonegativity. LGBT people negotiate their identities at work; this negotiation exists on a continuum of “outness.” Some LGBT people are out in all respects of their lives, including their work lives. This means that they freely and publicly acknowledge their sexual minority identity. Some LGBT people are selective about to whom they disclose their sexual minority identity. Some LGBT people are closeted. The reasons for closeting, and the methods that LGBT people employ to closet, are a discussion slightly beyond the reach of this chapter. However, the point here is that policy and benefits decisions around LGBT inclusivity are somewhat challenging to negotiate because of the difficulty of researching or surveying LGBT employees within an organization. Taken on its own, this kind of structural approach through policy is often a quest for the right “recipe” that will quell the tensions and tamp down the complexity inherent in building a culture of sustainable equity with regard to the inclusion of sexual minorities.

As we have suggested, each intervention (and each policy) must be carefully and critically examined to determine the real beneficiaries and those whose interests are lost in the organization’s less-than-critical focus on improved performance. While there is no magic formula, a few examples of how this examination plays out in some particular HRD efforts may be instructive.

Employee on-boarding provides an opportunity to build and reinforce organizational discourse regarding the inclusion *writ large* and of sexual minorities in particular. Since training of this nature is “planned and purposeful” (Schmidt, Githens, Rocco, & Kormanik, 2012, p. 340), it allows for demonstrations of acceptance of identity differences and establishment of potential role models in a program that is not focused on diversity and inclusion, thereby helping to normalize differences in sexual orientation.

In organizations where formal employee affinity groups have been implemented, the inclusion of an LGBT group can send a strong message of acceptance and safety and establish a resource for employees who need support

but may not be ready to pursue it through more formal and customary organizational channels. Githens and Aragon (2009) explained how LGBT employee resource groups exist to bring about organizational change and to enhance their careers through the opportunities that membership and engagement in LGBT resource groups provide. Conveying information about and encouraging participation in such workplace groups during on-boarding can further solidify a cultural norm of acceptance and intolerance for inequities on the basis of sexual orientation. Informal development of such groups “under the radar” can conversely send a signal that there is a need for sexual minorities to forge their own social systems and processes to compensate for a lack of sanction, support, and recognition of such a group by management. Since sexual orientation has historically been left out of definitions of diversity, and at the time of this writing does not enjoy the federal protections of other minority groups in the United States, a critical HRD practitioner can develop the habit of ensuring that all initiatives, such as workplace affinity groups, developed for other minorities include equivalent elements addressing sexual minorities. These elements may be further parsed to accommodate the differing needs of lesbians, gays, bisexual, and transgender employees.

Career development is an example of a process-oriented HRD effort that is significantly affected by sexual orientation. Gedro (2009) indicates “career choice for LGBT people is influenced by the extent to which LGBT people internalize the messages about gender roles and heterosexuality” (p. 56). Those who wish to pursue careers in which their status as sexual minorities may act as a barrier to entry due to prevailing stereotypes may choose to remain closeted, developing a “false heterosexual identity” in order to pursue their careers. Others may choose to disclose their true sexual identities and limit their choices to careers that allow them to progress in spite of being a sexual minority. She further points out that those who develop an awareness of being lesbian, gay, bisexual, or transgender only after they have made progress on a career trajectory may then be faced with a critical decision about whether to give primacy to their career or to an authentic public stance regarding their sexual identity. HRD practitioners working from a critical paradigm need to go further than designing career ladders and corresponding training curricula to support individuals confronted with these problematic choices. An organizational discourse is required in which mentors and coaches in the career development system are “safe” people who can support conversations in which LGBT employees can be forthcoming about their identities and concerns without fear of retribution. When the culture is made safe enough for “out” LGBT employees to populate various roles and inhabit a variety of levels within the organization, they will act as exemplars of what is possible, role models, and mentors who can help to address fears and provide counsel.

By consistently and publicly applying a skeptical eye on each initiative and inquiring into assumptions and governing principles that may adversely affect equity for sexual minorities, the critical HRD practitioner can position herself as a clear and fearless advocate for LGBT employees. Doing so will provide her with a collegial base of people who can help in the quest to unearth assumptions and discover creative alternatives in all corners of the organization.

CONCLUSION AND IMPLICATIONS

Creating an LGBT inclusive organizational environment is loosely analogous to the coming out process for a person who is a sexual minority. It happens over a period of time, with multiple types of communication and exchanges. This chapter has offered some rationale for the significance for HRD professionals to acquire cultural competency in LGBT issues, and it has provided an overview of the current legal status of LGBT workplace issues. Through a critical lens, we have considered ways that HR efforts in organizations may present an *image* of inclusion, yet LGBT employees may continue to be on guard and be reluctant to come out of the closet and feel positive about their careers and their career development. As Gedro (2007) observed, the field of human resource development has an opportunity to strengthen organizations through providing a range of HRD-related activities that go beneath the surface and help organizations shift deeply and intentionally to include sexual minorities. The results would include both instrumental (that is, efficiency and profitability) outcomes, as well as social justice and human rights outcomes.

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International and Cross-Cultural Perspectives of HRD

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GLOBALIZATION, WORK PERFORMANCE, AND HRD

With the rapid pace of globalization of business operations resulting in increasing deployment of managers for international assignments, developing effective multicultural leaders and expatriate managers is becoming an important human resource development (HRD) issue. One of the major determinants of today's global managers' performance effectiveness is how well they adjust themselves to function effectively in the host culture (Osman-Gani & Rockstuhl, 2009; 2008; Osman-Gani & Tan, 2005). In this regard, international HRD literature addresses the expatriate development issues mostly from cross-cultural training and skills development perspectives (Black & Gregersen, 1999; Earley, 1987; Eschbach, Parker, & Stoeberl, 2001; Landis & Brislin, 1983; Mendenhall & Oddou, 1985; Osman-Gani, 2000; Tung, 1981). Shin, Morgeson, and Campion (2007) found explicit support in the cross-cultural management literature for the fundamental assumption that expatriates need to adjust to new cultural environments by adapting their behavior to fit the host country's cultural norms and values. Support also came from meta-analyses that show that expatriate adjustment is an important predictor of performance (Bhaskar-Shrinivas, Harrison, Shaffer, & Luk, 2005; Hechanova, Beehr, & Christiansen, 2003). Although much work has been done on training for international managers, a knowledge gap exists on the effects of contemporary cultural issues on HRD interventions needed for effective adjustment and performance in overseas assignments.

For effective performance in global assignments in different national and sociocultural settings, organizations are emphasizing the development of relevant competencies among employees. Despite the progress in recent research,

many questions regarding drivers of international managers' performance effectiveness remain. HRD scholars and professionals are showing increasing interest in these important issues. This chapter presents a review of the relevant frameworks and contemporary issues of cross-cultural management. The implications of the issues for professional practice in HRD conclude the chapter.

Frameworks Relevant to Cross-Cultural Management and IHRD

Thomas (2008) provided an overview of several frameworks in describing cultural differences. Among them the following four major frameworks are discussed briefly in chronological order as they were developed. These frameworks are the most cited in the cross-cultural management literature and based on rigorous empirical research. These conceptual frameworks or models have significant implications for HRD scholars and professionals in designing and implementing appropriate HRD interventions.

Kluckhohn and Strodtbeck's Six Dimensions Research in comparative anthropology produced a framework that has influenced how the management literature has conceptualized cultural variation (Maznevski, Nason, & DiStefano, 1993). This categorization identified the following six dimensions along which a society can be categorized (Kluckhohn & Strodtbeck, 1961):

- *Relationships to nature.* People have a need or duty to control or master nature (domination), to submit to nature (subjugation), or to work together with nature to maintain harmony and balance (harmony).
- *Beliefs about human nature.* People are inherently good, evil, or a mixture of good and evil.
- *Relationships between people.* The greatest concern and responsibility is for one's self and immediate family (individualism), for one's own group that is defined in different ways (collateral), or for one's groups that are arranged in a rigid hierarchy (hierarchical).
- *Nature of human activity.* People should concentrate on living for the moment (being), striving for goals (achieving), or reflecting (thinking).
- *Conception of space.* The physical space we use is private, public, or a mixture of public and private.
- *Orientation to time.* People should make decisions with respect to traditions or events in the past, events in the present, or events in the future.

In the conceptualization of cultural variation, the six value orientations are not bipolar dimensions. That is, a high preference for one assumption does not necessarily imply a low preference for the other two assumptions in the same value orientation. All preferences can be represented in a society, but with a rank order of the preferred alternatives. For example, people from the United States might exhibit a preference for a present time orientation, but a future orientation might be a close second choice (Thomas, 2008).

Hofstede's Value Dimensions A framework that has received a great deal of attention is Hofstede's (1980) classic study of work values. Based on attitude surveys of 117,000 employees of a large U.S. multinational corporation (later identified as IBM), Hofstede had initially extracted four dimensions with which he could classify the forty different countries represented. These dimensions were named as: *individualism–collectivism*, *power distance*, *uncertainty avoidance*, and *masculinity–femininity*.

- *Individualism–collectivism* is the extent to which one's self-identity is defined according to individual characteristics or by the characteristics of the groups to which the individual belongs on a permanent basis, and the extent to which individual or group interests dominate.
- *Power distance* is the extent to which power differences are accepted and sanctioned in a society.
- *Uncertainty avoidance* is the extent to which societies focus on ways to reduce uncertainty and create stability.
- *Masculinity–femininity* is the extent to which traditional male orientations of ambition and achievement are emphasized over traditional female orientations of nurturance and interpersonal harmony.

Hofstede's scores were the average score for all participants in each country. Therefore, it is not appropriate to infer that because two nations differ on a particular value dimension that any two individuals from those countries will differ in the same way. That is, within each nation there might be variation on a particular dimension, such that a particular individual will not be at all representative of the mean score. For example, it is entirely possible to find a person in New Zealand who scores lower on individualism than someone in Malaysia. Hofstede (1980) called making the mistake of applying the scores at the country level to individuals the *ecological fallacy*.

Consistent with the individual variation, the level of agreement between individuals in a society about the importance of a particular value dimension can vary systematically. That is, there can be differing degrees of consensus on any particular value orientation. Researchers have measured this

intra-national consensus, as the opposite of variation, by examining differences in the standard deviation in measures of value orientations across cultures (Au, 1999; Schwartz & Sagie, 2000). Although systematic differences in consensus seem to exist, the implications for the degree of consensus in a society either overall or on specific value orientations are only beginning to be understood. However, some evidence suggests that value consensus is related to socioeconomic development and democratization of societies (Schwartz & Sagie, 2000), and implications are proposed for organizational behavior similar to those found for other types of heterogeneity (Au, 1999).

A group of researchers conducted a subsequent study based on Chinese values (Bond, 1988). This survey was conducted in twenty-three countries and in a way similar to Hofstede's original study. The factors were then compared with those Hofstede obtained in the same countries. Even though the studies used measures based in very different cultures and were conducted with different samples, substantial similarity was found for three of the four dimensions. In addition, the new dimension, Confucian work dynamism (later called long- versus short-term orientation by Hofstede) was found to be important in the Chinese culture. However, the fact that the dimensions of uncertainty avoidance and Confucian dynamism did not correlate as highly with dimensions derived in the other culture suggests these dimensions might be less universally applicable (Thomas, 2008).

Trompenaars' Seven Dimensions Over a ten-year period, Fons Trompenaars administered a value questionnaire to more than 15,000 managers in twenty-eight countries. Subsequently, it was used in a much larger number of countries (Trompenaars, 1993), including a number of former Soviet bloc countries not included in previous studies of values. His seven value dimensions were derived primarily from the prior work of North American sociologists and anthropologists (Kluckhohn & Strodtbeck, 1961; Parsons & Shils, 1951). The first five of these dimensions concern relationships between people:

- *Universalism-particularism*: Universalism is a belief that what is true and good can be discovered and applied universally, whereas particularism is a belief that unique circumstances determine what is right or good.
- *Individualism-collectivism*: Similar to Hofstede's definition, this dimension concerns the extent to which people plan their actions with reference to individual benefits versus those of the group.
- *Neutral-affective*: In neutral cultures, emotion should be held in check, and maintaining an appearance of self-control is important, whereas in affective cultures, it is natural to express emotions.

- *Specific–diffuse*: This dimension refers to the extent to which individuals allow access to their inner selves to others. In specific cultures, people separate the private part of their lives from the public, whereas in diffuse cultures, these aspects of the individual overlap.
- *Achievement–ascription*: This dimension is about how status and power are determined in a society. In an ascription society, status is based on who a person is, whereas in an achievement society, status is based on what a person does.

The final two dimensions are similar to Kluckhohn and Strodtbeck's (1961) categorization and are about orientations toward time and the environment:

- *Time*: This dimension is about past versus future orientations and about the extent to which time is viewed as linear versus holistic and integrative with past and present together with future possibilities.
- *Environment*: This dimension is the extent to which people feel that they themselves are the primary influence on their lives. Alternatively, the environment is seen as more powerful than they are, and people should strive to achieve harmony with it (Thomas, 2008).

The Nine Dimensions of the GLOBE Study The most recent study of cultural differences in value orientations was undertaken as a part of the Global Leadership and Organizational Behavior Effectiveness (GLOBE) program (House, Hanges, Javidan, Dorfman, & Gupta, 2004). GLOBE involved 170 researchers working in sixty-two different societies and collected data from approximately 17,000 middle managers in 951 organizations. One of the outcomes of the GLOBE research was the construction of nine dimensions of cultural variation. The first four of these dimensions are described as direct extensions of Hofstede's (1980) work, with the exception that factor analysis revealed two dimensions of collectivism:

- *Institutional collectivism*: The degree to which organizational and societal institutional practices encourage and reward collective distribution of resources and collective action
- *In-group collectivism*: The degree to which individuals express pride, loyalty, and cohesiveness in their organizations or families
- *Power distance*: The degree to which members of a collective expect power to be distributed equally
- *Uncertainty avoidance*: The extent to which a society, organization, or group relies on social norms, rules, and procedures to alleviate unpredictability of future events

The next two dimensions can be seen as a reconceptualization of Hofstede's masculinity–femininity dimension:

- *Gender egalitarianism*: The degree to which a collective minimizes gender inequality
- *Assertiveness*: The degree to which individuals are assertive, confrontational, and aggressive in their relationships with others

The following two dimensions have their origins in the work of Kluckhohn and Strodtbeck (1961) on the nature of people and time orientation presented previously:

- *Humane orientation*: The degree to which a collective encourages and rewards people for being fair, altruistic, generous, caring, and kind to others
- *Future orientation*: The extent to which people engage in future-oriented behaviors such as delayed gratification, planning, and investing in the future

The final dimension is described by the GLOBE authors as derived from McClelland's (1961) work on achievement motivation. However, links to Hofstede's (2001) masculinity construct can also be found (Peterson, 2004). This dimension is

- *Performance orientation*: The degree to which a collective encourages and rewards group members for performance improvement and excellence

In addition to the fact that the GLOBE data were collected from middle managers in the country in which the firms were headquartered, several other aspects of this study are worth noting. Most interesting, perhaps, is that the cultural dimensions were measured both as *practices* (the way things are) and *values* (the way things should be). And for some of the dimensions these two kinds of measures were negatively correlated. This raises some interesting questions about the attitudes of middle managers in some countries toward society (Earley & Peterson, 2004). Another important note is the failure of the GLOBE study to clearly specify the mechanism for aggregating the individual-level responses to the societal level of analysis. Very different measurement structures can emerge at these different levels (Thomas, 2008). The GLOBE study may best be viewed as complementary to Hofstede's (1980, 2001) work.

These frameworks could provide significant guidance to HRD scholars in developing a research agenda for studying effects of international managers' performance. These frameworks were found to be effective by management professionals and decision-makers to develop relevant policies in

selecting, training, and compensating international managers and expatriates. International HRD scholars and professionals can use these frameworks to analyze the performance effectiveness of international employees working in various sociocultural settings, and appropriate HRD interventions could be designed to enhance their performance.

INTERNATIONAL AND CROSS-CULTURAL HRD ISSUES

Cross-Cultural Training and Development

Because of the global economy, organizations have increasingly come to realize the importance of international HRD (IHRD). Many IHRD issues focus on the practical matters of training managers who will be sent to facilities in countries other than their own. There seem to be at least two views in organizations about this situation. The first view is that good management skills are essentially generalizable, suggesting that if individuals are effective in their own cultures, then they will be effective wherever they might be assigned, requiring no additional preparations. Increasing evidence disputes this view, as even the most capable managers have succumbed to situations in which they have had little or no experience. The second view states that good management skills are important, but they do not in themselves guarantee the future success of managers when given an overseas assignment. Indeed, by virtue of their lack of experience in the culture of their future assignments, these managers lack knowledge and skills in the cross-cultural aspects, which they need to integrate with their existing managerial skills (Johnston, 1991; Marquardt & Engel, 1993; Odenwald, 1993; Osman-Gani, 2000; Reynolds & Nadler, 1993). Although expatriate training has generally come to be accepted practice in most organizations, there remain numerous questions about its effectiveness. For one thing, there is increasing awareness that not one expatriate training program can possibly fit all types of overseas assignments. Another issue of where managers themselves come from may also determine the nature of the expatriate training. Given the premise that culture influences managerial performance, by extension it may be presumed that culture also influences managers' perceptions of expatriate training.

Cross-cultural adjustments of expatriates and their families were found to be the most significant factors for international business management (Black, Mendenhall, & Oddou, 1991; Insch & Daniels, 2002; Shaffer, Harrison, & Gilley, 1999). Academic researchers as well as corporate management of multinational enterprises (MNEs) seek ways to address this issue from various perspectives, such as how to facilitate the cross-cultural adjustment. In the adjustment process of overseas assignment, cross-cultural training has long

been advocated as a medium to facilitate effective cross-cultural interactions (Bhawuk & Brislin, 2000; Black & Mendenhall, 1990; Brislin & Yoshida, 1994; Chemers, 1969; Deshpande & Viswesvaran, 1992; Landis & Brislin, 1983). Furthermore, as international companies begin to compete more intensively in the global market, the role of cross-cultural training becomes increasingly crucial (Bhagat & Prien, 1996). Nevertheless, the practice of cross-cultural training is not yet pervasive in most organizations. The most prevalent reason cited by an organization for not offering such training is the perception that such training is not effective (Baker & Ivancevich, 1971; Black & Gregersen, 1999; Mendenhall & Oddou, 1985; Osman-Gani, 2000).

In international assignments, expatriates are often exposed to situations in which they are uncertain what behaviors are acceptable and what are not (Adler, 2001). Expatriate literature suggests that the reduction of uncertainty is the key to adjustment (Black & Gregersen, 1991; Feldman & Brett, 1983; Gudykunst, 1998; Louis, 1980). Previous research suggested that cross-cultural training enhances expatriates' intercultural adjustment as an aid in the reduction of uncertainty (Black & Mendenhall, 1990; Deshpande & Viswesvaran, 1992; Earley, 1987). Many studies have found that expatriates with cross-cultural training adjust better in the host country (Earley, 1987; Eschbach, Parker, & Stoeberl, 2001; Landis & Brislin, 1983; Mendenhall & Oddou, 1985). However, the evidence for the effectiveness of cross-cultural training is also quite mixed, with different studies showing a larger variance in correlations between cross-cultural training and expatriate adjustment and job performance (Black & Gregersen, 1991; Earley, 1987). An early meta-analysis by Deshpande and Viswesvaran (1992) examined the effect of cross-cultural training on the criteria of job performance and adjustment. They found moderately strong correlations (corrected for sampling and measurement error) of 0.39 and 0.43 for the effects of cross-cultural training on performance and adjustment, respectively. Morris and Robie (2001) in a meta-analysis found the relationships between cross-cultural training and adjustment ($r = 0.13$ after correction for sampling error and unreliability) as well as performance ($r = 0.23$ after correction for sampling error and unreliability) to be much lower. They also found strong evidence for potential moderators, but did not have enough information to test some of the moderators that are suggested by the literature, such as training type/method, time in training, total numbers of trainees, training content, and source of training (Landis & Brislin, 1983; Kealey & Protheroe, 1996).

Given that cross-cultural training should provide participants with factual, conceptual, attributional, and experiential knowledge with regard to the host culture, one would expect that this knowledge would lead to an increase in general self-efficacy by reducing some of the uncertainty involved in cross-cultural adjustment (Osman-Gani & Rockstuhl, 2009). The more effective

cross-cultural training is, the bigger this reduction in uncertainty and, hence, the increase in general self-efficacy should be. Furthermore, in terms of methods used and skills learnt, cross-cultural trainings are somewhat similar to social skills training. Social skills training has been shown to increase social adjustment through an increase in social self-efficacy (e.g., Bierman & Furman, 1984), so it is expected that cross-cultural training would lead to an increase in social self-efficacy (Osman-Gani & Rockstuhl, 2009). The more effective the training program, the larger this increase in social self-efficacy is expected to be. The positive effects of cross-cultural training on expatriate adjustment due to an increase in self-efficacy as a result of the training suggests that effective training should target enhancing self-efficacy of participants. As self-efficacy depends largely on past experience (Sherer, Maddux, Mercandante, Prentice-Dunn, Jacobs, & Rogers, 1982), training programs that emphasize experiential learning and incorporate specific work-related experience might be particularly useful.

In many global organizations and MNEs, international training programs for expatriate professionals are provided in three phases: pre-departure, post-arrival, and repatriation. Based on appropriate needs analyses results, HRD professionals design and implement these training programs at different stages of expatriation/repatriation cycles of international assignments. Osman-Gani & Tan (2004) proposed a framework by identifying the effects of training in these phases and recommended further research on the effects of individual factors, including the effects of expatriates' families on their performance in overseas assignments.

Expatriation and Repatriation, Inpatriation, Transpatriation

International employees are generally categorized into three major types: PCN, HCN, and TCN. PCN (*parent country national*) refers to a person of the same nationality as the MNE headquarters. HCN (*host country national*, sometimes called local national) refers to a person of the same nationality as an MNE subsidiary. TCN (*third country national*) refers to a person of a third nationality, employed either in the MNE parent country or in an MNE subsidiary. Generally, from non-HR perspectives all international professionals are known as expatriates in overseas locations. But from HR perspectives only PCNs are termed expatriates, those who come from corporate headquarters to work in overseas subsidiaries of MNEs for a certain period of time, after which they are sent back home through a repatriation process. The process of preparing and sending the expatriates to overseas locations is known as expatriation.

Expatriation and repatriation are not two separate processes, but rather expatriation is the initiation, and repatriation the culmination of the same

process (Lazarova & Caligiuri, 2001; Osman-Gani & Hyder, 2008). If an expatriation process is to be successful, repatriation to the home country should be planned along with expatriation before sending the managers on the overseas assignments. Hurn (2007) argues that many returnees experience some “reverse cultural shock” with the need to adapt to a different standard of living after a period abroad. Upon return from an overseas assignment, the repatriates bring with them global skills, capabilities, and valuable experiences gained from the overseas assignment. Repatriation researchers have noted significant advantages for organizations if management can make proper use of the repatriates’ updated skills and knowledge. Solomon (1995) maintains the company should learn from these repatriates and make full use of the repatriates’ added value dimensions for its future operations. With their international experience and being cross-culturally savvy, they will be able to lead the company to achieve its global operations’ objectives (Tichy, 1992). Swaak (1997) argues that a company can gain a reputation for itself in the competitive manpower market for attracting and retaining talent and being an organization that values international experience.

A major problem in repatriation is the home organization’s belief that returning home will not be difficult, yet researchers have found repatriation to be both challenging and complicated (Cox, 2004). Organizations can prepare the returning expatriates for changes that can impact their expectations and subsequent work adjustment (MacDonald & Arthur, 2005). Both training and organization support are necessary to overcome obstacles associated with the process of repatriation (Hyder & Lövblad, 2007). Lazarova and Caligiuri (2001) found that supportive repatriation practices offered by companies improve repatriates’ general perceptions of their companies. Stroh, Gregersen, and Black (1998) suggest that “repatriation training” will not only help to retain the employees in the company but will also make their lives easier in the home environment when they return. Vidal, Valle, Aragón and Brewster (2007) see training as a way to reduce uncertainty and also to increase the psychological comfort of the repatriates in adjusting to the home environment.

Inpatriation is an emerging human resource phenomenon. Inpatriation is by definition “the selective transferring of host-country national managers into the home/domestic organization of a multinational corporation (MNC) on a semi-permanent to permanent basis” (Moeller, Harvey, & Williams, 2010, p. 170). Inpatriation is the process of bringing inpatriates in to develop their global leadership skills (Kiessling & Harvey, 2006). Hence, developing inpatriates as global managers involves successful integration at the parent company headquarters (HQ), with education and training in areas such as strategy, cross-cultural team development, and cultural orientation (Townsend & Cairns, 2003). Inpatriates’ knowledge and insight about doing business in their own

countries are tremendous, and the parent organization may only benefit from their tacit knowledge as they are highly likely to be accepted by host country nationals (Kiessling & Harvey, 2006). Thus, inpatriates can serve as linking pins between parent company HQ and overseas subsidiaries and provide HQ with cultural and social knowledge about host countries to assist in enhancing knowledge flows.

Transpatriate executives evolve beyond the acceptance of cultural differences to a richer cognitive and behavioral adaptation without losing sight of their core values. The most experienced and sophisticated global organizations operate on a higher plane. Their international executives develop a multicultural perspective and participate as equals wherever they find themselves in the world, and they are termed as transpatriates. They are global expatriates, who are sent from one expatriate assignment to the other, without the repatriation process. When combined with sharp business acumen and an enduring customer focus, the transpatriate mindset can lead to sustained success in the global arena. Three fundamental qualities distinguish the transpatriate executive: curiosity, humility, and flexibility. The three are interrelated. Understanding of the host culture cannot be achieved without a healthy curiosity. And without humility, executives operating outside of their own cultures are liable to cut short their information gathering. Thus, humility is a prerequisite for the kind of enduring curiosity required for the task of leading and managing successfully across cultures. Flexibility is necessary so that the knowledge gained through curiosity will have maximum impact. Flexibility to change one's management habits is also required. Learning to lead and follow simultaneously and to enjoy doing so is the mark of the transpatriate executive.

Bartlett and Ghoshal (1992) have constructed a typology of four strategic mindsets: *international*, *multinational*, *global*, and *transnational*. An *international mindset* occurs where decisions related to foreign operations are often opportunistic, and is most likely to be found in firms with products developed for the domestic market, then sold abroad or using technology transfer from the parent company to offshore. *Multinational mindsets* are evident in MNEs with national units that are highly responsive to local needs and where organizational strategy is often poorly coordinated between national sites. *Global mindsets* are found in firms with products created for world markets made in highly efficient plants. Key strategic decisions (and even operational decisions) are usually made at corporate headquarters (Morrison, Ricks, & Roth, 1991). The *transnational mindset* combines global coordination and local sensitivity. Transnational firms aim for a balance of global integration and local differentiation and have intensive organization-wide coordination and shared decision making. The term "headquarters" is immaterial; transnational firms develop "centers of excellence," and networking is extensive in these firms.

In international staffing orientation, four types of policies are generally pursued by MNEs and other international organizations: *ethnocentric*, *polycentric*, *regiocentric*, or *geocentric* (Chakravarthy & Perlmutter, 1985; Heenan & Perlmutter, 1979). An *ethnocentric approach* reflects a belief that the management techniques of one's home country are superior, and parent country nationals hold all key management positions. A *polycentric approach* decentralizes human resources to each national location, resulting in host country nationals occupying most key management positions in the local units, while parent country nationals occupy positions at the headquarters. A *regiocentric approach* develops regional staff for key positions anywhere in that region (the region being defined by the MNE), while a *geocentric approach* is one where the "best" people are sought for key positions throughout the enterprise, regardless of nationality. This typology of approaches is also considered in making relevant decisions for training and developing the international staff.

CONTEMPORARY ISSUES RELEVANT TO CROSS-CULTURAL HRD

Cultural Intelligence

Cultural intelligence (CQ), defined as an individual's capability to function and manage effectively in culturally diverse settings (Early & Ang, 2003), is consistent with Schmidt and Hunter's (2000, p. 3) definition of general intelligence as "the ability to grasp and reason correctly with abstractions (concepts) and solve problems." Although early research tended to view intelligence narrowly as the ability to solve problems in academic settings, now increasing consensus is that intelligence may be displayed in other places (Sternberg & Detterman, 1986). This interest in "real world" intelligence includes intelligence that focuses on specific content domains, such as social intelligence (Thorndike & Stein, 1937), emotional intelligence (Mayer, Caruso, & Salovey, 2000), and practical intelligence (Sternberg, 2000). CQ acknowledges the practical realities of globalization (Earley & Ang, 2003) and focuses on a specific domain—intercultural settings. Thus, following Schmidt and Hunter's (2000) definition of general intelligence, CQ is a specific form of intelligence focused on capabilities to grasp, reason, and behave effectively in situations characterized by cultural diversity.

Sternberg's (1986) integrative framework proposed different "loci" of intelligence within the person. Metacognition, cognition, and motivation are *mental* capabilities that reside within the head, while overt actions are *behavioral* capabilities. Metacognitive intelligence refers to control of cognition: the processes

individuals use to acquire and understand knowledge. *Cognitive intelligence* refers to knowledge structures and is consistent with Ackerman's (1996) intelligence-as-knowledge concept, which argues for the importance of knowledge as part of the intellect. Motivational intelligence refers to the mental capacity to direct and sustain energy on a particular task or situation and recognize that motivational capabilities are critical to "real world" problem solving (Ceci, 1996). *Behavioral intelligence* refers to outward manifestations or overt actions: what people do rather than what they think (Sternberg, 1986, p. 6). Applying Sternberg's multiple-loci of intelligence, Earley and Ang (2003) conceptualized CQ as comprising metacognitive, cognitive, motivational, and behavioral dimensions, with specific relevance to functioning in culturally diverse settings.

Metacognitive CQ reflects mental processes that individuals use to acquire and understand cultural knowledge, including knowledge of and control over individual thought processes (Flavell, 1979) relating to culture. Relevant capabilities include planning, monitoring, and revising mental models of cultural norms for countries or groups of people. Those with high metacognitive CQ are consciously aware of others' cultural preferences before and during interactions. They also question cultural assumptions and adjust their mental models during and after interactions (Brislin, Worthley, & MacNab, 2006; Triandis, 2006).

While metacognitive CQ focuses on higher-order cognitive processes, *cognitive CQ* reflects knowledge of the norms, practices, and conventions in different cultures acquired from education and personal experiences. This includes knowledge of the economic, legal, and social systems of different cultures and subcultures (Triandis, 1994) and knowledge of basic frameworks of cultural values (e.g., Hofstede, 2001). Those with high cognitive CQ understand similarities and differences across cultures (Brislin, Worthley, & MacNab, 2006). *Motivational CQ* reflects the capability to direct attention and energy toward learning about and functioning in situations characterized by cultural differences. Kanfer and Heggstad (1997, p. 39) argued that such motivational capacities "provide a genetic control of affect, cognition, and behavior that facilitate goal accomplishment." According to the expectancy-value theory of motivation (Eccles & Wigfield, 2002), the direction and magnitude of energy channeled toward a particular task involves two elements—expectations of success and value of success. Those with high motivational CQ direct attention and energy toward cross-cultural situations based on intrinsic interest (Deci & Ryan, 1985) and confidence in their cross-cultural effectiveness (Bandura, 2002).

Behavioral CQ reflects the capability to exhibit appropriate verbal and nonverbal actions when interacting with people from different cultures. As Hall (1959) emphasized, mental capabilities for cultural understanding and motivation must be complemented with the ability to exhibit appropriate

verbal and nonverbal actions, based on cultural values of specific settings. This includes having a wide and flexible repertoire of behaviors. Those with high behavioral CQ exhibit situationally appropriate behaviors based on their broad range of verbal and nonverbal capabilities, such as exhibiting culturally appropriate words, tone, gestures, and facial expressions (Gudykunst, Ting-Toomey, & Chua, 1988).

The four dimensions of CQ are qualitatively different facets of the overall capability to function and manage effectively in culturally diverse settings (Earley & Ang, 2003). Like facets of job satisfaction, the dimensions of CQ may or may not correlate with each other. Thus, overall CQ represents an aggregate multidimensional construct, which, according to Law, Boyle, Harris, Harkness, and Nye (1998), includes two dimensions: (1) at the same level of conceptualization as the overall construct and (2) make up the overall construct. In sum, metacognitive CQ, cognitive CQ, motivational CQ, and behavioral CQ are different capabilities that together form overall CQ.

CQ refers to what a person can do to be effective in culturally diverse settings. Thus, it is distinct from stable personality traits that describe what a person typically does across time and across situations (Costa & McCrae, 1992). Since temperament influences choice of behaviors and experiences, some personality traits should relate to CQ. Consistent with this, Ang, Van Dyne, and Koh (2006) showed discriminant validity of the four dimensions of CQ compared with the “big five” personality traits and demonstrated meaningful relationships between specific personality characteristics and specific aspects of CQ. Notably, and as expected, openness to experience—the tendency to be creative, imaginative, and adventurous (Costa & McCrae, 1992)—is related to all four dimensions of CQ.

CQ has important implications for cross-cultural training, which has, to date, focused primarily on knowledge or cognitive training (Earley & Peterson, 2004). Cross-cultural training would be one of the most effective interventions in developing the required capabilities in this regard (Osman-Gani, 2000). Since research results highlighted metacognitive CQ and behavioral CQ as fundamental capabilities with relevance to multiple intercultural effectiveness outcomes, training and HRD programs could include modules on both. For example, Earley and Peterson (2004) outlined training interventions for CQ dimensions.

Cultural Convergence, Divergence, and Crossvergence

The debate on the convergence/divergence/crossvergence of managerial and organizational values (e.g., Detert, Schroeder, & Mauriel, 2000; Hofstede, 1980; Kerr, Dunlop, Harbison, & Myers, 1960) has assumed significance in the wake of globalization and unprecedented advances in technology. Firms

seeking to compete in the global environment are faced with the task of developing an organizational value system that must function effectively in diverse economic and cultural environments. However, behaviors that may be acceptable in one culture may be antithetical in another. Because business activity is global, there is a need to identify those principles and behaviors that are universally acceptable or, alternatively, those that are acceptable in one culture but not in the other.

The literature on convergence/divergence and crossvergence is inconclusive with regard to the question of whether managerial value systems are influenced primarily by managers' cultural backgrounds or by the economic ideological imperatives of a global economy, or a hybrid mix of the two. The convergence perspective is the oldest of the three, having been posited more than four decades ago (Kerr, Dunlop, Harbison, & Myers, 1960). Kerr and his colleagues argue that traditional societies and nation states that were formerly in a primitive state of industrialization are emulating the more industrialized nations by moving inexorably (and speedily, in some cases) toward a state of increasing industrialization. Although characterizing the position adopted by Kerr, Dunlop, Harbison, and Myers (1960, p. 16) as being "excessively functionalist, technologically deterministic, and ethnocentric," Locke (1992) agreed that traditional structures are being broken down in response to factors such as heightened global competition, uncertainty in the business environment, and more flexible productive techniques growing out of the advances made in information technology. Other convergence theorists argue that the management function itself encompasses certain tasks and challenges that are universal in nature (Sanyal & Guvenli, 2004). As countries continue to develop their economies, the influence of national culture will tend to weaken, with firms moving toward a situation of "competitive isomorphism" and managers making similar decision choices under similar circumstances, irrespective of their cultural identities and backgrounds (Myloni, Harzing, & Mirza, 2004).

The divergence perspective is more recent than the convergence viewpoint, having been first presented in the early 1980s as an important factor influencing managerial decision making (Hofstede, 1980). Hofstede argues that cultural values influence ethical decision making. These values are holistic, historically determined, and socially constructed (Detert, Schroeder, & Mauriel, 2000). Divergence theorists hold that an individual's ingrained cultural patterns are too deep-rooted to be overshadowed by contingent factors such as economic ideology or advances in technology. Culture provides a powerful stabilizing force that anchors individuals to their socially acquired belief systems, and technology has only a modest role to play in influencing individual action (Hofstede & Hofstede, 2005). This has an effect on the way they perceive business problems, leading to "different ways of seeing the

same event and to different approaches to problem resolution” (Sparrow & Wu, 1998, p. 27).

While convergence and divergence may appear to be at extreme ends of the spectrum, there is a body of research (e.g., Ralston, Holt, Terpstra, & Yu, 1997) that finds evidence of crossvergence, or the integration of the divergence/convergence viewpoints within management philosophies. In their initial study, Ralston and colleagues defined crossvergence as a value set that lay somewhere in between the values supported by national culture and economic ideology. Later, they expanded that definition to characterize crossvergence as “something different” rather than something “in between.” Crossvergence “occurs when an individual incorporates both national culture influences and ideology influences synergistically to form a unique value system that is different from the value set supported by either national culture or economic ideology” (Ralston, Holt, Terpstra, & Yu, 1997, p. 183). More recently, Ralston, Pounder, Lo, Wong, Egri, and Stauffer (2006) made a distinction between business ideology and sociocultural influences, positing that while sociocultural influences may be slow to change (indicating divergence), business ideology may contemporaneously drive established ways of thinking to become less heterogeneous over different cultures (indicating convergence), resulting in a unique value system that is applicable across national boundaries. The discussion indicates that business managers may exhibit either convergence or divergence, or even crossvergence, a hybrid mix of the two. Whether divergence or convergence is more strongly demonstrated is contingent upon the circumstances of the decision situation (Dunn & Shome, 2009). HRD scholars and professionals may consider taking relevant perspectives of convergence, divergence, or crossvergence in designing and implementing appropriate HRD interventions by carefully reviewing the circumstances of the contexts or decision situation.

IMPLICATIONS FOR PROFESSIONAL PRACTICE

Since cross-cultural training has a significant effect on expatriates’ self-efficacy and adjustment, HRD managers/professionals should plan, design, and implement relevant training programs considering various assignment issues and personal characteristics of the expatriates. There is no one standard type of training program that is proven effective for all types of adjustments. In this regard, Hofstede’s (1980) five cultural dimensions may be useful in designing CCT programs for international managers. Cultures high in individualism expect participation in exercises and questioning to be determined by status in the company or culture. Cultures high in uncertainty avoidance expect formal instructional environments, with less tolerance for impromptu style.

Cultures low in masculinity value relationships with fellow trainees. Female trainers are less likely to be resisted in low-masculinity cultures. Cultures high in power distance expect the trainer to be an expert. Trainers are expected to be more authoritarian and controlling of the session. Cultures with long-term orientations will have trainees who are likely to accept development plans and assignments.

To increase self-efficacy for an effective adjustment, training programs should emphasize overseas acquaintance trips, cultural sensitivity training, culture assimilator/immersion, and cultural orientation programs. The training content should emphasize sociocultural factors, human resource and labor factors, and general management factors. The training should be provided using a combination of on-the-job training, role play, and self-instructional training. Cross-cultural training programs should be planned for one to four weeks. Also, training may yield better results if it is provided internally by experienced company personnel, preferably by host country nationals or former expatriates. Companies may also consider selecting expatriates having relatively higher self-efficacy for adjustments in overseas assignments, since higher self-efficacy leads to better adjustment (Osman-Gani & Rockstuhl, 2009).

Implications for Future Research

Future research on multinational teams, expatriate performance, overseas work assignments, global leadership, and cross-cultural negotiation may find that inclusion of CQ improves predictions of effectiveness. Second, even though research findings show that only metacognitive CQ and behavioral CQ were related to task performance, future research can examine whether cognitive CQ and behavioral CQ are important for other forms of job performance, such as contextual and adaptive performance, where role expectations are less structured and well specified. Additional research can consider these relationships for different roles, jobs, and contexts and consider the predictive capability of CQ to identify managers' strengths and shortcomings on certain cultural dimensions that would have effects on their adjustment and performance in international assignments (Ang, Van Dyne, & Koh, 2006; Ang, Van Dyne, Koh, Ng, Templer, Tay, & Chandrasekar, 2007). Before they are sent overseas, appropriate interventions could be recommended after developing and analyzing their CQ profiles on various cultural dimensions. These findings would help corporate leaders and senior executives of MNEs to make more effective decisions on the success of international assignments. International HRD professionals would also be able to use the relevant information for designing and implementing appropriate interventions for improving expatriate performance in overseas assignments. The enhanced

performance of international managers will then contribute positively to organizational performance, thereby helping to sustain competitiveness in today's global business environment.

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PART V



HRD IN THE ORGANIZATION



Contemporary Career Literature and HRD

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Since the turn of the current century, human resource development (HRD) scholars have shown a renewed interest in career development (CD) (Egan, Upton, & Lynham, 2006; Hite & McDonald, 2008). The calls for HRD to reinvest in CD have been prompted by recognition that the greater global context is changing how individuals and organizations approach careers and their development, and HRD should be an integral part of that process. While historically, HRD and CD researchers have operated independently with minimal acknowledgment of the other, Cameron (2009) has suggested the time is right for interdisciplinary initiatives using the expertise of both HRD and CD to respond to the career-related complexities of a variable economic environment, shifting demographics, changes in the nature of work, and advances in technology. This chapter will highlight some of the concepts currently being explored in the CD literature, review recent HRD-CD research, and address implications.

Through the years different disciplines have defined career development in a variety of ways. Some of these definitions focus on the individual, whereas others concentrate on the interests of the organization. Perhaps the most frequently used definition of CD in HRD has been Simonsen's, which emphasizes both the person and the system: "CD is an ongoing process of planning and directed action toward person work and life goals. Development means growth, continuous acquisition and application of one's skills. CD is the outcome of the individual's career planning and the organization's provision of support and opportunities, ideally a collaborative process which focuses on both the individual and the organization" (1997, p. 6).

Despite the popularity of this definition, the collaborative roles it describes for individuals and organizations were called into question when economic downturns drove many employers to downsize, leaving employees to fend for themselves. Over time, organizationally based CD became just another casualty of the collective belt-tightening. In response, new approaches to careers began to emerge, approaches that reinforced the individual aspect of careers.

Two terms describing career orientation have appeared frequently in the literature since their debut in the mid-1990s: protean and boundaryless. The former, attributed to Hall (1996, 2004), addresses the idea of individual agency. In contrast to previous visions of careers being both developed by and beholden to organizations, the protean career puts individuals in charge of their own career trajectories. Hall (2004, p. 9) suggested the protean approach also encourages pursuing one's "calling" to find work that engages the heart. Briscoe & Hall (2006) put these aspects together, noting that the protean career represents a frame of mind that "reflects freedom, self-direction, and making choices based on one's personal values" (p. 6). By focusing careers foremost on the needs and interests of the individual, rather than the system, the protean approach and its implications have left some organizations (and HRD practitioners and scholars) uncertain about their roles in this new era of CD.

Boundaryless careers (Arthur, 1994) refer to a related but more amorphous idea, that the individual, released from the restrictions of an organization-based career, could cross organizational and occupational borders. The result would be a career path that includes not only moving among different organizations but also working in various professions. Over time, this idea has become more controversial. Some authors defend its relevance, offering detailed explanations of its underlying premises. They argue that it represents both physical and psychological career mobility (Sullivan & Arthur, 2006) and point to the empirical work that has been done to support this perspective (Sullivan & Baruch, 2009). Others question what they see as a vaguely defined concept, limited empirical foundation, and emphasis on individual action to the exclusion of organizational career contributions (Inkson, Gunz, Ganesh, & Roper, 2012). Those critical of its viability urge more scrutiny before the concept is adopted as a mainstay of CD.

Other concepts for visualizing career development have been less prolific in the literature, but are useful to note as part of a continuing conversation about the changing career environment. Two notable examples are the kaleidoscope and the life design models.

Introduced by Mainiero and Sullivan (2005), the Kaleidoscope Career Model describes a career orientation focused on authenticity (staying true to self), balance (maintaining time and energy for life as well as work), and challenge (making career choices that stretch one's abilities). Presented as particularly descriptive of women's careers, the kaleidoscope imagery of changing patterns reflects how the three themes appear in different configurations that take precedence during one's lifespan. All three remain present, but one becomes more salient at times, depending on other aspects of life and work.

Savickas et al. (2009) developed the life design model to go a step beyond career construction theory. Just as boundaryless and protean careers represent a shift away from the traditional model to individual autonomy, constructivist

theory advises against positivist approaches that tend to dictate career paths based on test results, advocating instead that individuals define their own career parameters. Life design encourages personal reflection that takes a holistic view of careers, recognizing that work is one of many life roles, and may not always be the most prominent one. The goals of the framework include promoting individual “adaptability” and “narratability” (2009, p. 245). “Adaptability” fosters the ability to remain flexible and open to future changes and opportunities. “Narratability” guides individuals to build their own life/career stories by identifying all their life roles and interests and acknowledging the story will evolve as some roles take primacy and others recede.

While these two models differ in approach, they appear to have a similar intent, to prompt practitioners and scholars to appreciate not only the variability of individual career paths but also the evolutionary role of work in life. Unlike early life stage models that categorized career phases by chronological age, both kaleidoscope and life design take a more organic approach, viewing work as moving in and out of salience over the course of one’s career.

Another common thread runs through these two models as well as through the protean and boundaryless career orientations, that of authenticity. Svejnova (2005, p. 951) suggested “that an authenticity-seeking individual is one willing to take initiative and responsibility for his or her career and able to achieve congruence between past and future, as well as between the private and public domains of one’s self.” Hall’s pursuit of a “path with a heart” (2004, p. 9), Sullivan and Arthur’s discourse on psychological as well as physical boundarylessness (2006), Mainiero and Sullivan’s designation of authenticity as one of three basic tenets of the kaleidoscope model (2005), and Savickas et al.’s focus on individual reflection to remain true to one’s life roles reinforce the importance of authenticity in career development.

It is this individual identity aspect of modern CD that poses a conundrum for HRD. Can such a personal, internally driven approach to careers be reconciled with system-wide CD? Should it be? What is the role of HRD in the current career environment?

CD LITERATURE IN HRD

It is challenging to summarize the HRD literature that has examined CD. In 1989, McLagan’s human resource wheel identified career development as one of the three primary functions of HRD, along with training and development and organization development. Yet the following ten to fifteen years produced very little research on career development within the HRD community. Some HRD texts written during this time devoted a chapter to CD (for example,

Gilley, Eggland, & Gilley, 2002; Werner & DeSimone, 2009), while others focused on the functions of training and development and organization development, seemingly ignoring CD (Swanson & Holton, 2009). This is understandable given the lack of emphasis on CD in organizations occurring during that time. Very few articles on the subject had been published in AHRD when Egan, Upton, and Lynham called attention to the lack of literature in 2006. A year before, we had called for a revival of career development, suggesting a framework for organizations that could assist employees with their individual career needs and contribute to organizational effectiveness as well (McDonald & Hite, 2005). Whether these publications prompted more work in the area is difficult to discern, but since the mid-2000s, more HRD journal articles appear to be focusing on various aspects of CD.

There may be a number of reasons for the underdeveloped history of CD in HRD; however, two appear prominent. First, the evolving nature of careers and changes in organizations have resulted in a sense of chaos and turbulence. The introduction of this chapter provides some background to the complexity of careers in the 21st century. The emphasis on more individually oriented CD has left organizations questioning their part in the process. Similarly, individuals wanting some additional direction are uncertain about where to turn. It is understandable then that both may feel bewildered regarding their roles in CD.

Another reason may lie in the interdisciplinary nature of career development. As a discipline we have not clearly identified our focus or our contribution when it comes to the topic. The disjointed identity of career studies has been discussed by numerous career scholars. For example, Gunz and Peiperl (2007, p. 7), borrowing terminology from previous research, described it as a “fragmented adhocracy” lacking in agreement regarding what should be studied and characterized as so interdisciplinary that there is little coherence among the literatures. Peiperl and Gunz (2007) also pointed out that a variety of fields (e.g., sociology, education, economics, and psychology) claim an interest in and an expertise in careers. They concluded: “So it is entirely reasonable to expect that the field of career scholarship is organized into distinct subfields, each following its own agenda. And because each is doing so, it is not surprising that it loses contact with other subfields” (p. 41).

Even within subfields, confusion and fragmentation may exist. HRD illustrates this in its lack of clarity regarding the study and practice of CD. However, some broad themes emerge from the existing research. We have identified four to highlight here.

Organizational support can make a difference in career development. The environment in which a career is enacted can influence one’s career perceptions. Scholars have used different constructs and measures to examine

how organizations influence CD. For example, organizational support for career development (OSCD) includes both “formal strategies” and “informal support” and has been found to be positively related to career satisfaction (Barnett & Bradley, 2007, p. 622). Others have determined that the perceived organizational learning climate can be important in career development as well (Park & Rothwell, 2009; van der Rijt, Van den Bossche, van de Wiel, Segers, & Gijsselaers, 2012). Park and Rothwell (2009, pp. 401–402) suggested: “HRD practitioners in the new career environment should work toward creating a continuous learning climate and consider the organization’s responsibility for enhancing employees’ career strategies.”

Supervisory support, a more specific type of organizational assistance, has been found to have a positive impact on career development (van der Heijden, 2003; Van der Sluis & Poell, 2003; van der Rijt, Van den Bossche, van de Wiel, Segers, & Gijsselaers, 2012; Wayne, Liden, Kraimer, & Graf, 1999). This support may be demonstrated in a variety of ways, such as providing time off and resources for development activities (van der Heijden, 2002), providing high quality feedback (van der Rijt, Van den Bossche, van de Wiel, Segers, & Gijsselaers, 2012), and encouraging employees to participate in both external and internal networking (van der Heijden, 2002). However, there is some evidence that this support begins to wane for older employees (van der Heijden, 2003), which may have important implications for organizations given the trend toward an older workforce (Cascio, 2007). HRD can play a significant part in helping managers to understand their role in assisting with CD. van der Heijden (2002) emphasized the need for managers to recognize the importance of helping employees move beyond the “here and now” in terms of their development and work to enhance their transferable knowledge and skill base to remain employable (p. 76).

HRD initiatives contribute to CD. HRD is the traditional home for initiatives that support career development. We highlight four key initiatives that have been shown to positively impact employees’ perceptions of CD: mentoring, networking, leadership development, and flexible work arrangements.

The role of mentoring in CD is well represented in the literature (Hezlett & Gibson, 2005; McDowall-Long, 2004). Most HRD research begins by citing evidence from related fields that connects mentoring with CD, showing that it can yield both objective (advancement opportunities or financial rewards) and subjective (satisfaction in job and career) career outcomes (Hezlett & Gibson, 2005). Instead of reiterating that case, researchers look at how HRD can enhance mentoring or expand the mentoring-CD experience.

Some studies explore the dynamics of the mentor-protégé relationship, recognizing relationship quality affects CD and protégé outcomes, including career satisfaction and achievement of “managerial aspirations” (Egan, 2005, p. 497) and learning of interpersonal and organizational skills that can lead

to more career opportunities (Hezlett, 2005). Other literature looks at ways to expand accessibility so more protégés can participate in the mentoring process. This is particularly valuable for members of under-represented groups who have limited access to mentoring, one of the gateways to career advancement. Examples include peer mentoring (Thomas, Hu, Gewin, & Yanchus, 2005), virtual mentoring (Bierema & Hill, 2005) or, on a larger scale, system-wide formal mentoring initiatives (Hegstad & Wentling, 2005). Occasionally, a study addresses concerns; for example, Tolar (2012) cautioned that, while mentoring often contributes to career growth, some mentors misuse their power to reinforce the status quo or to limit protégés' opportunities.

Networking often is discussed in conjunction with mentoring in HRD literature, since both involve building relationships that can foster CD and positively influence objective and subjective career goals. Some studies make little distinction between the two, determining both have a positive effect (see, for example, Apospori, Nikandrou, & Panayotopoulou, 2006). Others focus on networking alone, observing how it often leads to advancement opportunities, both internationally (Ismail & Rasdi, 2007) and in the U.S. (Baltodano, Carlson, Jackson, & Mitchell, 2012). However, similar to concerns expressed about potential mentoring abuses, Bierema (2005) concluded that company-sponsored networks may bolster an existing patriarchal culture, fostering assimilation into the system rather than challenging the potential inequities that make such networks necessary.

Madsen (2012, p. 4) has asserted that "leadership development has become an important area of inquiry within human resource development (HRD) and is now emerging as foundational in our field." A positive impact on careers as well as a contribution to the organization is implicit in the phrase "leadership development." HRD research often highlights how to foster more effective leadership development (for example, Muyia & Kacirek, 2009), even including the use of mentoring and networking (Al-Ahmadi, 2011). Some of the literature concentrates on developing leadership in particular populations, for example, women (as in Madsen, Longman, & Daniels, 2012), or on established leadership development programs with a track record of graduates who go on to leadership positions (for example, Bonebright, Cottledge, & Lonnquist, 2012).

Flexible work arrangements (FWA) is a topic often addressed in gender and CD research. Although applicable to men and women, FWA are an integral part of the discourse of women as self-agents of their own careers. These career makers, focused on subjective measures of career success and satisfaction, are seeking life balance and authenticity while less invested in work primacy (Caven, 2006; Mainiero & Sullivan, 2005; Shapiro, Ingols, O'Neill, & Blake-Beard, 2009). However, Rogier and Padgett (2004) examined how flexible work schedules might negatively impact women's career advancement, discovered

it might be misperceived as a lack of job commitment, and recommended HRD help by educating management about the potential benefits of FWA.

While research confirms the value of these activities for career development, it is important to acknowledge they may not always be tied into an organizational structure. Mentoring and networking relationships often form informally or span organizational boundaries; leadership development may be pursued through outside agencies (for example, HERS Institutes, Center for Creative Leadership). Whether offered in-house or through other sources, HRD can be a valuable partner in advocating for these types of initiatives, which have been shown to offer individual benefits. In addition, HRD can help organizations evaluate how they contribute to organizational effectiveness.

HRD faces challenges and concerns in responding to CD for diverse populations. Global societal and economic forces have changed not only by how careers are perceived by individuals and by organizations, but by the diversity of the workforce. Research reinforces that members of under-represented groups face additional challenges in gaining access to and benefiting from CD and indicates that international context affects CD in myriad ways.

Literature on diverse populations often starts with gender, typically resulting in that aspect of difference being written about more than others. The HRD-related CD literature supports this trend. While the amount of CD research focused on gender has not necessarily resulted in significant strides for working women, it has expanded to include the intersectionality of gender and other aspects of difference (for instance, race and ethnicity), enriching the context of this discourse. Recent work (see, for example, Madsen's [2012] issues of *Advances in Developing Human Resources* on women in higher education leadership) reinforces that career challenges remain for women, particularly regarding opportunities to take on leadership roles. Equal financial compensation for women continues to be a concern as well, as illustrated in Russ-Eft, Dickison, and Levine's (2008) study of EMTs.

HRD research addressing intersectionality of race and gender reveals ongoing difficulties regarding access to CD opportunities and resulting salary or advancement outcomes for African American women (Byrd, 2009; Hite, 2004; Jean-Marie, Williams, & Sherman, 2009). Even the HR profession is not immune from bias. Barrett, Cervero, and Johnson-Bailey's (2004) study of black human resource developers found that "race is a powerful force that impacts on careers for African Americans" (p. 94). Examples provided included "limited access to key mentors" (p. 94) and other CD inequities that resulted in career constraints (for example, glass ceiling and occupational segregation).

CD-HRD research highlighting other aspects of identity, although limited, indicates barriers to CD that can result in stunted career trajectories.

For example, lesbians need to work around systemic heterosexism (Gedro, Cervero, & Johnson-Bailey, 2004) and cope with the biases that surround the global closet (Gedro, 2010) as they build their careers. Nafukho, Roessler, and Kacirek (2010) opened their journal issue on disability and discharge recognizing that discrimination against people with disabilities can derail careers. Callanan and Greenhaus (2008) noted many employers hold negative stereotypes about older workers, seeing them as unworthy of career development and writing off further career achievement. Lopes (2006) observed that, despite an increasing immigrant population, multicultural studies on career constructs strongly influenced by culture (e.g., career motivation) are rare in the HRD literature, hobbling understanding of objective or subjective career outcomes for this group.

A scattering of HRD studies touch on CD in an international context, including a themed section of *HRDI* on curtailed CD and career progress for women in Arab states (Al-Kazi, 2011; Metcalfe, 2011) and studies of mentoring in Greece (Apospori, Nikandrou, & Panayotopoulou, 2006). Other work explored career transition (Sun & Wang, 2009) or career success (Kim & McLean, 2008) in Asian countries. The small number and varied topics make it difficult to seek out patterns, but present evidence that more exploration is needed to grasp the complexity of career development issues as they play out in different countries.

Within organizations, HRD typically plays a key role in managing diversity, including developing CD initiatives for a diverse workforce. As a result, there is a need for research addressing CD in under-represented groups and international contexts. The dearth of HRD-CD literature with wider focus indicates our research is not keeping up with our practice. To adequately fulfill its role, HRD will need to be more proactive in exploring the effect of multiple “isms” (for example, sexism, racism, heterosexism, and ageism) on career progress and the impact of international culture on career orientations and opportunities.

Organization-level analysis is lacking. Very few HRD studies have examined the impact CD has on organization-level performance measures. Egan, Upton, and Lynham (2006), in their analysis of the outcome variables of various CD definitions, delineated between individual and organizational and/or societal outcomes. Examples of individual outcomes included making career decisions and achieving career goals, whereas organizational outcomes included retaining high performing employees and improving performance (p. 468). Most of the CD studies done in HRD journals have focused on individual career measures such as career success (Kim & McLean, 2008; McDonald & Hite, 2008; Russ-Eft, Dickison, & Levine, 2008), career transitions (Sun & Wang, 2009), and perceptions of career advancement (Apospori, Nikandrou, & Panayotopoulou, 2006; Rogier & Padgett, 2004). There are a few

notable studies published in the AHRD journals that have focused on organizational outcomes. Tansky and Cohen (2001), for example, found that satisfaction with employee development resulted in more commitment to the organization, and Peterson (2009) discovered that career decision making self-efficacy and organizational integration correlated positively with retention of managers. These studies are valuable in that they provide evidence to justify CD initiatives in organizations.

However, more evidence is needed to convince decision-makers that CD projects are good investments. In addition to the need for more CD research examining organizational effects, more evaluation of CD efforts within organizations is essential (McDonald & Hite, 2005). Preskill and Donaldson (2008) observed: "In spite of the vast amount of resources allocated to programs, initiatives, and activities undertaken in organizations that reside under the umbrella of career development, few of these efforts have been evaluated and discussed in the literature" (p. 106). They recommended using an appreciative inquiry process to evaluate CD efforts in organizations and provided a case study to illustrate how this might be implemented.

As Egan, Upton, and Lynham (2006) emphasized, "CD is a multilevel phenomenon" (p. 470)—meaning that both the individual and the organization are important in this process. HRD has the potential to make important and potentially unique contributions to the field of career studies by conducting more multilevel research, doing multilevel theory building, and implementing CD practices that will improve the lives of individuals and the functioning of organizations (Cameron, 2009; Egan, Upton, & Lynham, 2006).

IMPLICATIONS FOR FUTURE RESEARCH

The themes identified in this chapter suggest that there is renewed potential for CD to be an important part of HRD. The increased interest in CD from a research perspective is heartening to observe and has the potential to lead to more informed career development practices in organizations. However, for this to occur, HRD scholars may want to consider the following recommendations when designing and conducting CD-related studies.

More research is needed at the systems level. This includes an emphasis on organizational level outcomes that help to justify the value of CD, as well as research that explores the organizational antecedents that influence individuals' careers. Previous studies hint at the potential of exploring ways to develop a career-enhancing culture.

Related work involves augmenting research on HRD initiatives that contribute to CD. Literature has established that certain activities often attributed to HRD (for example, mentoring and networking) have a significant influence on

CD. However, more in-depth study can help determine how HRD can maximize the potential of these initiatives to take us beyond just acknowledging their potential benefit, toward how to incorporate them into a comprehensive CD effort. Similarly, HRD-CD research has just scratched the surface of CD for members of under-represented groups or CD in international settings. As the workforce becomes increasingly diverse and global, this important aspect of CD should become a major research focus.

An oft-cited limitation of much of the research that has been conducted is the reliance on self-report measures to study CD. This practice makes sense, as the study of careers has increasingly focused on the subjective career, which can be defined as “the individual’s own interpretation of his or her career situation at any given time” (Khapova, Arthur, & Wilderom, 2007, p. 115). However, if multi-level research and theory building are to occur, we must consider other measures in our research designs. Rowold (2007), for example, used independent raters in a study investigating the impact of career exploration on training performance. This measure was chosen to rectify the criticism that previous studies had relied on self-report data. HRD still needs to determine effective ways to measure variables that appear to be particularly important in today’s career climate. At the individual level, we need to develop ways to examine indicators of career success, such as employability (Van der Sluis & Poell, 2003), career resilience (Cascio, 2007), and adaptability. It is more difficult to determine what needs to be measured at the organizational level. Traditional indicators, such as retention, improved performance, a productive workforce, and an effective succession plan (Gilley, Eggland, & Gilley, 2002) are likely to remain important. However, other variables, such as the ability to innovate and organizational adaptability, need to be included as well (McDonald & Hite, 2005).

Additionally, more longitudinal CD studies are needed. Most HRD research provides only a snapshot of individuals’ careers or of a career development initiative. Yet Gunz and Peiperl (2007, p. 4) proposed that the essence of the study of careers is “the effect on people of the passage of time.” This idea fits particularly well with the concept of evolving careers where the role of work in one’s life may change over time. Longitudinal studies also can help make sense of generational differences in careers. For example, recent work has explored how Millennials perceive and plan their careers (Ng, Lyons, & Schweitzer, 2012). Some believe this cohort is quite different from other generations in how they view work, while others think the differences are more related to a stage in their careers. Longitudinal research could help determine which is more accurate.

Finally, there is potential to be explored in interdisciplinary research. Egan and his colleagues (2006) advocated for more multilevel theory building, proposing these efforts could result in “bridging individually oriented CD theories

with HRD theory-building efforts” (p. 470). This recommendation was echoed by Cameron (2009). However, she also suggested that this should not be a “one-way dialogue” (p. 9) with HRD embracing and using CD theories and research without reciprocation. She asserted that CD studies need to consider HRD theories and research as well. CD is not a proprietary topic. Its history is steeped in multiple disciplines, and each has potential in the ongoing search for more effective implementation.

IMPLICATIONS FOR PRACTICE

Even recognizing that individual agency is part of the contemporary career discourse, careers unfold and develop within organizational structures, reinforcing that HRD in organizations needs to play a role in CD. As acknowledged earlier, some confusion and chaos have ensued regarding what this role should entail (McDonald & Hite, 2005). It is unlikely that a single set of recommendations will fit all organizations. To fulfill the needs of the current and future diverse workforce, HRD needs to recognize and respond to multiple CD facets that may be viewed through four lenses.

The first relates to the continuum of career orientations in the workforce, ranging from individuals who have fully embraced the notion of a “protean career attitude” (Park & Rothwell, 2009, p. 390), to those more satisfied being “productively plateaued” (Cascio, 2007, p. 552), as well as their cohorts in between. The second addresses a span of career goals, from traditional ideas of job stability and objective measures of success (for example, pay and promotions) to those that include flexible schedules and more subjective goals (for example, satisfaction and self-determined success). The third represents a span of identity from traditional majority to under-represented groups, recognizing the challenges inherent in CD progress for the latter. The fourth includes expanding from a predominately Western view of CD to a more global perspective that acknowledges the ramifications of national culture on CD.

Given these varied CD needs and interests, organizations will need to be agile and creative to help employees develop the skill set necessary to effectively navigate their careers. Assisting employees to develop skills to increase their employability and “creating a continuous learning climate” (Park & Rothwell, 2009, p. 401) are two ways to begin this process. Supervisors need training that emphasizes their role in career development and provides guidelines regarding ways they might assist employees in their CD.

For their key role in this process, HRD practitioners will need to become knowledgeable about current CD literature and more skilled in promoting CD on both an individual and organizational level. Their study should involve delving into a diversity of disciplines, such as management, psychology, sociology,

and education, to broaden their perspectives of CD. In the process, HRD practitioners will do well to reflect on their own career paths and preferences to make themselves more employable, resilient, and adaptable in this turbulent environment.

CONCLUSION

The complexity and nuances of contemporary careers require an expansive and focused approach to CD that incorporates a multi-level approach (Egan, Upton, & Lynham, 2006). More cooperative work between HRD practitioners and scholars is needed, as well as more multidisciplinary collaborations. The result of these endeavors has exciting potential to reinvent career development.

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Trends and Issues in Integrating Knowledge Management and Organizational Learning for Workplace Performance Improvement

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The goal of the current research is to interconnect the disciplines of knowledge management (KM) and organizational learning (OL) to propose a theoretical and integrated structure of KM for performance improvement in the workplace. To this end, we adapted the concepts of learning organization (LO) and organizational learning based on the importance of the human interaction-oriented OL process, organizational supportive structure, and cultural aspects to encourage the effectiveness of KM. Such an integrative approach to learning and knowledge is critical for active utilization and application of knowledge in firms (Dalkir, 2005; Dalkir & Liebowitz, 2011).

KM has become an established but still rapidly evolving discipline due to rapid advancements in technologies. KM has been getting more attention along with the evolution of artificial intelligence and the concept of intellectual capital management in the 1990s (Bontis & Nikitopoulos, 2001). New technologies such as cloud computing and business analytics that leverage a mass amount of distributed information systems and online communities reflect the growing significance of KM for today's organizations. On theoretical, societal, and conceptual grounds, the socioeconomic trend-shift toward a knowledge society has stimulated the development of KM based on the resource-based view, which sees firms maintain

competitive advantage through their capacity to leverage knowledge assets (Darroch, 2005).

Historically, recognition of the importance of KM can be traced back to Penrose (1959), who proposed that knowledge is based on individuals' skills, experiences, and ability to absorb new knowledge. She emphasized that the role of management is encouraging the individuals' own knowledge to grow to the level of shared organizational knowledge, which becomes the basis for application of justified knowledge within the organization. According to this historical context, combining knowledge with management created the new discipline of knowledge management.

Bray (2007) stated that KM has been a major scholarly endeavor, particularly in the disciplines of information systems (IS), management, business strategies, and organizational learning. Our examination indicates that KM research by organizational researchers has four distinctive research streams: (a) conceptual and position papers clarifying the definition of (organizational) knowledge (Chiva & Alegre, 2005; Nicolini, Gherardi, & Yanow, 2003); (b) research on organizational knowledge creation (Nonaka & von Krogh, 2009), sharing (Bock, Zmud, Kim, & Lee, 2005), or transfer (Argote & Ingram, 2000); (c) KM value chain research (also called KM success factors) (Jennex & Olfman, 2005); and (d) conceptual and empirical efforts to complement KM with OL (Spender, 2008; Škerlavaj, Song, & Lee, 2010). Due to the large body of research, we have listed only key studies for these research streams.

Lately, within the KM literature, the concept of learning organization has attracted considerable attention for its role in performance improvement by stimulating interactive organizational learning processes and collaboration among people (Watkins & Marsick, 2003). Yoon and Ardichvili (2010) have pointed out that, in most organizations, KM systems and learning systems still exist as two separate entities. To explore how organizations' KM and learning systems can be best integrated, we first review the evolution and trends of KM systems, analyze the concepts of LO and OL, and then discuss administrative and design considerations for creating an integrative learning and KM system.

THEORETICAL FOUNDATION OF KNOWLEDGE MANAGEMENT

Definitions of KM and KM Systems

In defining KM, it is difficult to develop an exclusive definition of KM for one particular field (Dalkir & Liebowitz, 2011). Historically, KM has been defined as the process of applying a systematic approach for capturing, structuring, and disseminating knowledge based on the vague belief that stored

knowledge will be useful for the future (Pasternack & Viscio, 1998; Pfeffer & Sutton, 2006). This system-oriented view focused too much on the explicit knowledge and technical procedures for capturing knowledge for future utilization and neglected the importance of implicit knowledge and human-oriented collaborative interactions for creating and justifying applicable knowledge (Dalkir, 2005; Dalkir & Liebowitz, 2011).

According to this problematic issue, Klein (1998) and Stewart (1997) expanded the concept of KM to the human-oriented expertise and intellectual properties focusing on intellectual capital management for the effective application of KM. They focused on organizational learning processes among the individuals rather than building a technological system, pointing out the importance of collaborative learning activities to share experiences and expertise for creating transformative knowledge.

In this regard, Dalkir (2005) defined the goals of KM as “the deliberate and systematic coordination of an organization’s people, technology, processes, and organizational structure in order to add value through reuse and innovation” (p. 3). In doing so, KM needs to incorporate both the technological aspects (storing and organizing knowledge) and human-side organizational learning activities (creating justified new knowledge) in order to create intellectual assets within the organization. Such a definition helps us see similarities between research streams that examine factors affecting organizational knowledge creation and employees’ knowledge sharing and transfer and organizational infrastructure that affects successful KM value chains. In addition, such a systemic view sees KM as the process of accumulating and creating knowledge for facilitating the sharing of knowledge and using gained knowledge for business strategies execution (Turban, Sharda, & Delen, 2010). Similarly, Rastogi (2000) defined KM as the “systematic and integrative process of coordinating organization-wide activities of acquiring, creating, storing, sharing, diffusing, developing, and deploying knowledge by individuals and groups in pursuit of major organizational goals” (p. 40). According to Wilson (2002), the term “knowledge” in organizational settings has been recognized as what we know through the mental processes of comprehension, understanding, and organizational learning based on continued interactions.

Widely supported definitions described above show that application of justified knowledge is the core foundation for maximizing the effectiveness of human knowledge. In other words, not only focusing on the managing process of the knowledge in terms of acquisition and storing knowledge, but also considering the leveraging and application of the knowledge, is required, which would be the foundation for the effective knowledge management system for human-oriented knowledge retention and continued knowledge leveraging in the firm.

KM systems can be described as having two different aspects: (a) the knowledge storing and capturing system and (b) the knowledge sharing, distribution, and creation processes (Raghu & Vinze, 2007). This implies that, to develop an effective KM system, an organization must build business processes and work structures that facilitate dynamic and active collaborations among people, and such interactions must be connected back to the organization's technological KM systems. Our review of the literature shows that the focus and core components of KM are comprehensive. For instance, multiple factors, including technologies, knowledge strategy, motivation/commitment, organizational culture, leadership support, work design, and strong measurements, comprise the core of KM success factors (Jennex & Olfman, 2005). As a system, KM should have a structure that supports people's processing knowledge assets and experience sharing to create justified mutual knowledge that can be applied to enhance performance in the workplace.

Evolution of KM Concepts and Theories

The evolution of KM can be chronologically classified into three phases. During the first phase (from the 1950s until the 1980s), according to the resource-based view of management (Penrose, 1959) and industrial trends toward large-scale management, more attention was given to capturing and storing technical knowledge to build a large database in the organization (Darroch, 2005). In addition, firms considered KM an effective tool for performance management and used the knowledge captured in the KM system in other areas, including total quality management and other types of performance management strategies (Hamel & Prahalad, 1994). In that period, along with the evolution of technology, the primary focus of KM research was to encourage people to use the information system (Hamel & Prahalad, 1994).

In the second phase (the 1990s), a more modern structure of KM emerged due to the introduction of the Internet and globalized industry structure to get competitive advantages through intellectual capital management (Davenport & Prusak, 2000). Furthermore, the trends of knowledge-based society and the popularity of the knowledge worker (Prusak & Matson, 2006; Rosenberg, 2006) led organizations to focus on "know-where" beyond "know-what" and even "know-how" (Davenport, DeLong, & Beers, 1998). The focus shifted to effectiveness from systematic performance management for business intelligence and process innovation. However, organizations still heavily relied on generating and managing usable knowledge assets.

Given today's highly connected and networked resource systems, creating new ideas leveraging resources and expertise in networks is the key for a firm's survival (Nonaka, Toyama, & Konno, 2000). In addition, due to the development of web-based technical tools, such as Web 2.0, mobile technologies,

and prospering online social networks, effective and innovative collaborative knowledge creation and sharing are possible to overcome the barriers of time and location. In this phase, beyond firm-driven knowledge generating and managing initiatives, the primary concern of KM systems is shaping knowledge that leverages both global and local resources. Due to the rapid increase in potential resources and users of KM systems, combined with the volatility and the shortened longevity of knowledge assets, developing an interconnected and integrated KM structure among the people, the system, and the organization is viewed as a pressing goal (Dalkir & Liebowitz, 2011; Davenport & Prusak, 2000).

Critical Themes of KM

As KM has been used in various disciplines for diverse strategies, Dalkir (2005) conducted a comprehensive literature review to identify the critical themes of the KM research and revealed three major perspectives that were considered foundational views of KM: the business and management perspective, the cognitive and knowledge science perspective, and the process and technological perspective. These three different perspectives of KM provide the basic understanding of the structure, goals, and core themes of KM.

First, from the business and management perspective of KM, performance is the primary concern based on the connection between the organization's intellectual assets and policy-related management strategies and structure (Bontis, Crossan, & Hulland, 2002). Along with the performance-oriented view, KM is considered a collaborative and integrated approach to the capture, storing, organizing, accessing, and disseminating of firms' knowledge-based assets.

Second, the perspective of cognitive and knowledge science focuses on cognitive and constructive processing, considering knowledge as the fundamental resource for intellectual functionality of the people (Dalkir, 2005). This view proposes that human knowledge is constructed and transformed into another type of manifestation based on interactions of several types of resources, such as experience, technology, traditions, culture, and social input. In addition, this constructive process of knowledge creation would result in human expertise, which would in turn encourage intelligent organizational behaviors (Wiig, 1993).

Finally, the perspective of process and technology views KM as the most effective tool by which various types of raw data and information could be turned into actionable knowledge (Dalkir, 2005; Nonaka & Konno, 1998; Nonaka, Toyama, & Byosiore, 2001). In addition, this view stresses the importance of the flow of the knowledge to the right person at the right time to maximize efficient and effective uses of the knowledge. Furthermore, this perspective recognized the importance of leveraging knowledge from the individual toward organizational knowledge through collaborative human interactions.

KNOWLEDGE MANAGEMENT TOOLS AND TECHNOLOGICAL SYSTEMS

In this era of information overflow and overload, one of the key organizational competencies for success is the ability to create and manage knowledge in efficient and effective ways. In order to achieve this purpose, securing and maintaining dependable KM tools and utilizing appropriate technological systems for effective KM becomes a critical task. In this section, we will review different types of technological systems, tools, and case studies of KM utilized in various types of organizations.

Technological Systems for KM

In achieving efficient management of individual- and organizational-level knowledge assets, several types of technological systems have been adapted to develop KM systems. Those are case-based reasoning systems, group decision support systems, artificial neural networks, semantic search engines, social network analysis, and online communities of practice (Ghani, 2009; Rao, 2004). First, *case-based reasoning systems* are commonly used to make business decisions based on a case-filtering method that selects similar cases from a case library database and presents a best case through its reasoning process. In the case library, each case contains the required components, such as information about the underlying competitive situation, environmental conditions, management priorities, experiences, values, and moments of learning (Ghani, 2009).

The second type of technology is the *group decision support system*, which allows members of organizations to share and exchange ideas and opinions so they can immediately use shared information for decision making. One of the key benefits of this system is creating an individual and group learning environment during the group decision-making process in which each individual's success and failure experiences are used (Ghani, 2009). *Artificial neural networks*, the third type of technological system, borrows concepts from artificial intelligence and resembles a simulation of the function of the human brain in order to create meaningful patterns and structures of tacit knowledge for effective decision making (Ghani, 2009). *Semantic search engines* generate a semantic network of keywords through scanning existing text-based data in an organization. In the end, users can create a semantic table composed of semantic queries and linking to be used in decision-making tasks (Ghani, 2009). *Social network analysis* focuses on identifying engagement patterns of organizational members, mapping knowledge flow, and identifying key personnel for human resource decisions. Qualitative data (e.g., survey and

interview data) and quantitative data (e.g., analysis of emails, phone calls, work documents, etc.) are used for social network analysis. The results of the analysis can be used in process redesign, role development, and collaboration between organizational members (Rao, 2004). *Online communities of practice* are virtual communities composed of various members of an organization with similar interest in certain subject matter. The main purpose of the online communities of practice is to establish a virtual community focused on task-oriented, collective problem-solving practices (Rao, 2004).

KM Tools

Although there have been numerous types of KM tools adopted in various workplace organizations, their main functions can be classified into five categories: content management tools, knowledge taxonomies, groupware, enterprise portals, and innovation management tools (Rao, 2004). Definitions of the five categories are illustrated here.

- *Content management tools*—allow users to author, edit, and manage new knowledge and learning content. Often, some content management tools provide collaborative features to create content among several users synchronously and asynchronously.
- *Knowledge taxonomies*—used as useful tools to find relevant information, knowledge, or people in time through built-in computer-generated taxonomies used in an organization.
- *Groupware*—a virtual tool for communication, collaboration, polling, group document creation, rating, and access management.
- *Enterprise portals*—virtual places for interaction, communication, collaboration, transaction, and information management that create an on-demand workplace for individual employees. Across different departments of an organization, horizontal functions of enterprise portals, such as business intelligence, collaboration, communities, and e-learning, can be utilized. Key criteria to select quality enterprise portals are scalability, security, customizability, navigability, and accessibility (Collins, 2004).
- *Innovation management tool*—a centralized idea management system to help organizational members access experts, search for past innovations, and improve their innovative practices for workplace performance.

Compared to Rao's classification of KM tools, Ardichvili's (2002) KM technologies list similar tools, such as groupware, document management, enterprise resource planning, virtual community collaboration, data warehousing, business intelligence systems, and automatic tools for generating new knowledge.

When users of KM tools select and deploy a KM tool for their organization, it is advised to consider whether the selected tool (a) facilitates information contextualization, (b) intelligently transfers information, (c) facilitates social interactions and networking, and (d) presents a customized human-computer interface for efficient interaction with KM systems (Ghani, 2009).

LEARNING ORGANIZATION AND ORGANIZATIONAL LEARNING

For our purposes of integrating organizations' knowledge and learning systems, it is appropriate to postulate knowledge as the product or object of learning to be facilitated, utilized, or protected. Therefore, we adopted the concept of learning organization as the structural and cultural system in which continued organizational learning occurs, not only for collaborative knowledge creation but also for capturing, sharing, and promoting knowledge through utilizing human and sociotechnical systems in the firm (Watkins & Marsick, 2003). In the following sections, we review major conceptualizations of LO and OL, followed by an examination of how measures of LO or OL have been related to KM research and what relationships were found between constructs of LO/OL and KM.

Learning Organization

When compared to the concept of KM, learning organization focuses more on people's interactions for creating new knowledge through their collaborative learning process, whereas KM puts a greater emphasis on the creation and use of technological and managerial systems. LO literature emphasizes that effective and continuous learning processes must take place at all three levels: individual, team, and organization (Edmondson & Moingeon, 1998; Watkins & Marsick, 2003).

From the organizational structure and climate standpoint, Marsick and Watkins (2003) conceptualized LO as consisting of two dimensions: people and structure. They identified (a) continuous learning, (b) inquiry and dialogue, (c) collaboration and team learning, (d) people empowerment as core components of the people level, (e) environmental connection, (f) embedded systems, and (g) strategic leadership for the structure level.

In comparison, from the systems theory perspective (i.e., focusing on the synergy of component interactions), Senge (1990) identified personal mastery, mental models, shared vision, team learning, and system thinking as core components of the LO. In this perspective, team-based learning promotes continuous expansion of employees' competency through system

thinking and sharing of visions for organizational long-term success. Taking a viable and adaptive system model, Jensen (2005) defined the LO as “an organization that is organized to scan for information in its environment, by itself creating information, and promoting individuals to transform information into knowledge and coordinate this knowledge between the individuals so that new insight is obtained” (p. 61). Extending the line of discussion from Senge’s work to practical managerial and organizational concerns, Garvin, Edmondson, and Gino (2008) proposed three building blocks of LO: a supportive learning environment, concrete learning processes and practices, and leadership behaviors that reinforce learning.

Organizational Learning

The concept of organizational learning has a strong focus on the process perspective as “the process an organization uses to become a learning organization” (McLean, 2006, p. 256). In the early stage of conceptualization, Argyris and Schön (1978) defined it as the process of detecting and correcting errors between organizational decisions and environmental demands. There have been numerous conceptualizations of organization learning through the 1980s and 1990s, and the most fundamental notion was that organizational learning, which is the process of developing and sharing new knowledge and insights organization-wide (e.g., Levinthal & March, 1993; Stata, 1989), focused mostly on employees’ behavioral changes (Spender, 2008).

Through organizational learning, individuals, teams or subgroups (which includes communities), and the organization itself acquire organizational knowledge, which is the intellectual capital for defining and improving organizational performance (Bontis, Crossan, & Hulland, 2002; Cummings & Worley, 2008). The common perspective among various views of organization learning is that it transforms individual-level knowledge obtained from learning and work experiences to collective knowledge, the ultimate outcome of organizational learning (Crossan, Lane, & White, 1999).

Bontis, Crossan, and Hulland (2002) identified three levels of learning and their interactions as crucial for effective organizational learning: individual-level learning (individual competence, capability, and motivation), group-level learning (group dynamics and the development of shared understanding), and organization-level learning (alignment between learning with systems, structures, strategy, procedures, and culture). Crossan, Lane, and White (1999) claimed that individual members intuitively recognize tacit knowledge and expertise and establish a mental cognitive map by interpreting environments. Bontis, Crossan, and Hulland (2002) said that this individual knowledge becomes group-level learning through continuous dialogue and establishment of shared understanding, and it becomes institutionalized through the

organization's embedding of group-level norms and practices into organizational structure, processes, and culture. Such processes are very similar to the knowledge creation and conversion processes proposed by Nonaka and his colleagues (Nonaka, Toyama, & Byosiére, 2001; Nonaka, Toyama, & Konno, 2000). One common goal of organizational learning is to clarify and measure intuition, interpretation, integration, and institutionalization (Škerlavaj, Song, & Lee, 2010).

Empirical Research Including or Aligning LO/OL and KM

Despite a large body of empirical research on KM, particularly in areas of organizational knowledge creation, employees' KM system adoption, knowledge sharing, and knowledge transfer, studies that explicitly examine the relationship between learning organization (LO), organizational learning (OL), and knowledge management (KM) are scarce. We believe that this research gap exists because few scholars of KM have included constructs of LO or OL in their research designs. The opposite picture also applies to research on LO or OL. Each concept of LO, OL, and KM has been focusing more on which factors in organizational contexts influence the success of the adopted concept and how the adopted concept influences organizational outcomes. Our own work on the validation of organizational knowledge creation (Song, Uhm, & Yoon, 2011; Song, Yoon, & Yoon, 2011) and the influence of LO on various employee behaviors confirms the lack of empirical linkage between LO/OL and KM.

On a positive note, the number of empirical studies that illuminate positive and complementary relationships between LO/OL and KM is increasing. For instance, Jo and Joo's (2011) study found that LO made both a direct and indirect impact on employees' knowledge sharing intention. Its indirect impact followed paths of employees' organizational commitment and organizational citizenship behavior, which in turn influenced employees' knowledge sharing intention. Song and Kolb (2009) also found that LO accounted for about two-thirds of the variability for each of the four organizational knowledge creation and conversion components: socialization, externalization, combination, and internalization. Another study conducted in Taiwan also supported the positive influence of LO on customer knowledge management and firm performance (Shieh, 2011). Chen and Chen (2010) explored the relationship between OL and KM, and their correlational research reported moderate levels of positive associations between OL (captured by learning commitment, sharing of prospects, and open-mindedness) and KM (consisting of knowledge acquisition, creation, diffusion, and accumulation). These findings support the potential efficacy of LO or OL as antecedents of KM, especially when knowledge (creation, sharing, or transfer) is perceived as the object of LO or OL.

CONSIDERATIONS FOR AN INTEGRATED APPROACH OF KNOWLEDGE MANAGEMENT AND ORGANIZATIONAL LEARNING

In considering the possibility of an integrated approach of KM and OL, reviewing various views about the similarities and differences of KM and OL is an important first step to take. In addition, from a practical perspective, acknowledging technical considerations during the integration decision process is another step to follow. From our review of the literature on KM and OL, we believe the integrated approach should include the following components and conditions: (a) learning organization as the supportive organizational culture to integrate KM and OL, (b) organizational structure, leadership, and strategies conducive to KM and OL integration, and (c) the technological support system and tools enabling the integration and deployment process.

As Figure 22.1 indicates, the integrated approach of KM and OL comprises three major supportive components and one environmental condition (LO culture). In the center of the three major components, we place the integrated process of KM and OL. In specifying the integrated process here, it is important to understand the concept of the knowledge and learning content spectra. For knowledge, Gamble and Blackwell (2001) illustrated a spectrum of knowledge between tacit and explicit states through the four transitional phases (incapable of codification, capable of codification, capable of communication, and capable of prediction). They also explained different types of knowledge (static, dynamic, declarative, procedure, abstract, and concrete) based on how

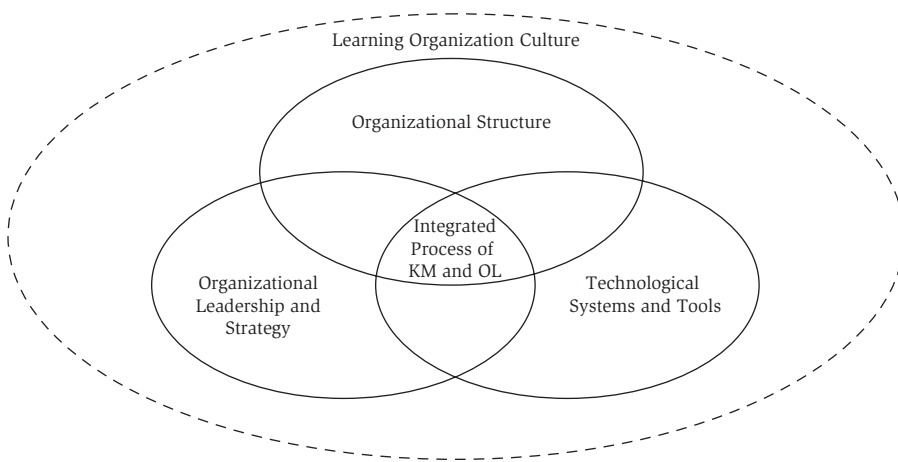


Figure 22.1 Main Components of the Integrated Approach of KM and OL

we use the knowledge. In a broader scope, Jovanović, Gašević, Verbert, and Duval (2005) explained a spectrum of learning content ranging from content assets (text, audio, video, animation, illustration, etc.), information and knowledge objects (concepts, principles, procedures, etc.), learning objects (learning objectives, content, practice, assessment items), learning components (job aids, instructional program), to learning environment (curriculum and learning communities). In a combined view of both the knowledge and learning content spectra, we can find different sections of the spectrum that KM or OL can handle, respectively. For example, content assets, information objects, and certain limited types of learning objects (e.g., simple how-to manuals or instructions) can be managed through the KM process, whereas global learning objects and learning components can be managed through the OL process.

As we try to combine the conceptual and practical aspect of KM and OL through the lens of the knowledge and learning content spectra, the enabler of this process is utilizing an integrated technological system that merges KM systems, tools, and learning content management systems. In essence, the integrated technological system for KM and OL should be able to address performance needs of organizational members in a just-in-time manner. In responding to this need, we propose the knowledge and learning deployment process shown in Figure 22.2.

The knowledge and learning deployment process illustrates a performance support process that a centralized but customizable delivery portal (based on user need) can be accessed anytime and anywhere when an employee or group of employees needs to address job- and task-related issues through existing knowledge, learning objects, or learning components. At the same time, organization members can use the centralized portal to create and accumulate new knowledge, learning objects, learning components, and curriculum anytime and anywhere.

It is claimed that KM initiatives are not as easy and successful as anticipated. Furthermore, OL methods are criticized as being over-hyped or sometimes

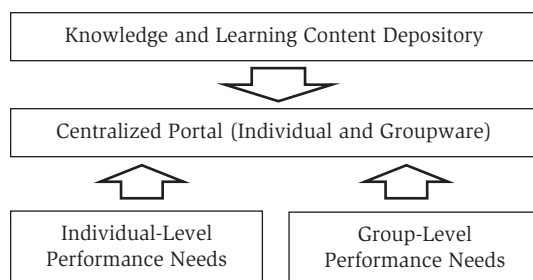


Figure 22.2 Integrated Technological System for Knowledge and Learning Deployment

under-performing in terms of actual application of knowledge by the employees. A rationale for integrating KM and OL is that both fields have a similar focus in enhancing human knowledge and performance. It is believed that our proposed approach of integrating KM systems, tools, and OL methods will greatly serve to address various kinds of performance issues and problems encountered by many employees and groups who strive for competitive capabilities and positions in the ever-changing world of business.

IMPLICATIONS FOR RESEARCH AND PRACTICE

Our proposed conceptual frameworks shown in Figures 22.1 and 22.2 can help the researcher determine appropriate nomological relationships among variables when the constructs of LO, OL, and KM are examined for targeted workplace performance improvement. Identifying targeted performance goals (the two rectangles in Figure 22.2) can be the first step. In collaboration with the clients, the researcher(s) can clarify the measurement or description of desired performance indicators and which behaviors and state-like attitudes are amenable to modification through a new program, design, or system can be identified. Whether appropriate knowledge assets and learning paths exist for identified performance needs can be examined at this step as well. Although this initial step is hard to operationalize, the ultimate goal of LO, OL, and KM is to positively influence employees' organizational behaviors and improve business performance. Our review of empirical research linking KM with learning or vice versa shows that such efforts will be more fruitful if proximal and distal individual, job, social and relational, and organizational constructs are examined together to see how they affect or are mediated by employee behaviors (Jo & Joo, 2011) or business performance (Škerlavaj, Song, & Lee, 2010)

KM research has been strong in examining areas that can be associated with each of those three circles on Figure 22.1: organizational structure (e.g., job complexity, design, resource availability, etc.), leadership and strategy, and technologies. If the integration of KM and OL are to be examined for qualitative and quantitative characteristics, based on support from both conceptual and empirical research findings, then LO can be situated as an overarching environment and antecedent to the creation of a new integrative system, and structural relationships among proposed circles can be examined. We acknowledge that each concept represented as an elliptical circle in Figure 22.1 can have many sub-constructs, such as job design, resource availability, and perceived organizational support under the organizational structure; therefore, we like to note that the use of both figures will be most useful if researchers can establish essential variables or themes by first examining which learning and

performance needs exist (from Figure 22.1), then positioning structural determinants of learning organization culture, leadership/strategy, organizational structure, and technologies. Answers to pressing but important questions, such as which factors affect the integration of KM and OL or what the impact of an integrative KM/OL system on workplace performance is, will require examining interactions among individual, job, social/relational, and organizational characteristics that are closely aligned with targeted performance needs.

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Linking Motivation to Workplace Learning Transfer

The Role of Implementation Intentions and Personal Initiative

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Workplace learning transfer, or the degree to which knowledge, skills, and abilities learned in training are applied to the job, has become a critical issue for organizations, HRD practitioners, and researchers. The criticality of this issue is reflected in the level of training investment in organizations—estimated to be just over \$156 billion by U.S. organizations in 2011 (ASTD Research, 2012)—and concerns that too little of this training is transferring to job behavior in ways that improve performance (Blume, Ford, Baldwin, & Huang, 2010). Early speculation by Georgenson (1982) proposed only 10 percent of training resulted in behavioral change. More recent speculation (Saks, 2002), based on survey data gathered from training and development professionals, suggested 40 percent of trainees are unsuccessful in immediately applying new learning following training, 70 percent fail to transfer one year post-training, and just 50 percent of training investments result in meaningful individual or organizational improvements. These estimates suggest somewhere between 50 and 90 percent of learning fails to result in meaningful performance improvement and highlight the longstanding “transfer problem” (Ford & Kraiger, 1995) associated with organizational training. Many researchers believe the crux of the transfer problem is found in the multidimensional complexity of the transfer process itself, a complexity that has fostered a growing area of research and practice in the field of HRD.

The original benchmark review of training transfer research was done by Baldwin and Ford (1988). They found a growing awareness of the transfer problem in the training research, but noted that the research provided limited value for advancing our understanding and finding solutions to the transfer problem. Since then, training transfer has blossomed as an important area of research and practice (readers interested in learning more are referred to a number of valuable reviews, e.g., Aguinis & Kraiger, 2009; Burke & Hutchins, 2007; Russ-Eft, 2002; Salas & Cannon-Bowers, 2001). In their updated assessment of transfer research, Baldwin and colleagues (Baldwin, Ford, & Blume, 2009) concluded that transfer research has contributed greatly to our knowledge of the transfer process by taking a “broader and more dynamic perspective” (p. 65) in terms of the factors affecting workplace learning transfer.

At the same time, it has tended toward a view of the trainee as a passive reactor rather than active participant in the transfer process. In other words, the emphasis has been on improving workplace learning transfer through modifications in the design of training or changes in the work context that, directly or indirectly, lead to changes in trainees’ motivation or transfer-related behavior. Although these factors are certainly important, far less research or thinking has approached the transfer problem from the perspective of the individual trainee as actor. Recognition of this shortcoming has led to calls for increased attention to the role of individual choice and self-regulation in the transfer process (Baldwin, Ford, & Blume, 2009; Cheng & Hampson, 2008). In this regard, we believe that a potentially productive route is examination of the self-regulation processes that link transfer motivation¹ to workplace learning transfer.

LINKING MOTIVATION TO TRANSFER AND TRANSFER PERFORMANCE

A fundamental goal of implementing training programs in an organization is to improve employee performance. Although individuals can be successful in acquiring new knowledge and skills in training, performance is unlikely to improve unless individuals are both motivated to apply new learning on the job and are successful at doing so. However, two important factors suggest the relationship between motivation to transfer and workplace learning transfer is both understudied and poorly understood. First, most of the research that has included motivation to transfer as a construct has examined

¹It is acknowledged that transfer motivation is a synonym of motivation to transfer. They are used interchangeably here.

it as an outcome variable (e.g., Egan, 2008; Egan, Yang, & Bartlett, 2004; Gegenfurtner, Festner, Gallenberger, Lehtinen, & Gruber, 2009; Weissbein, Huang, Ford, & Schmidt, 2011), rather than an intervening variable. For example, a recent review indicated only ten studies conducted between 1986 and 2008 examined motivation to transfer as an antecedent to workplace learning transfer. Of these, three confirmed a significant positive relationship between motivation to transfer and subsequent transfer, whereas the others showed non-significant relationships. The r values in these studies ranged from .04 to .63 (Gegenfurtner, Veermans, Festner, & Gruber, 2009).

Second, training transfer research indicates the relationship between motivation to transfer and workplace learning transfer may be subject to a variety of influences. For example, following training, individuals may miss or not encounter opportunities to initiate or carry out action on transfer goals (Ford, Quinones, Sego, & Sorra, 1992); they may procrastinate on training application (Baldwin, Ford, & Blume, 2009); or they may be limited in their transfer efforts by workload (Clark, 1992), memory demands (Barnett & Ceci, 2002), the absence of needed resources (Holton, Bates, & Ruona, 2000), supervisory (Burke & Baldwin, 1999), or co-worker support (Hawley & Barnard, 2005). In short, individuals attempting to transfer new learning to job performance will likely encounter a range of both internal and external factors that can influence their motivation and ability to apply new learning (Salas & Kosarzycki, 2003). This suggests that workplace learning transfer is not completely under the volitional control of individual trainees and, consequently, even the most motivated trainees may fail to effectively transfer learning.

Taken together, these two issues suggest that the relationship between motivation to transfer and workplace learning transfer is understudied and poorly understood. We agree with Gegenfurtner and colleagues (2009) that more conceptual and empirical work is needed to elaborate and understand this important relationship. Our goal in this chapter is to propose a model of the motivation to transfer—workplace learning transfer linkage. Based on research and thinking about implementation intentions, goal achievement, and personal initiative, the model endeavors to advance our understanding of this critically important part of the workplace learning transfer process by calling attention to the post-training period and emphasizing individual self-regulation of transfer-related actions. Self-regulation refers to general processes individuals use to take control of their behaviors, thoughts, and sentiments to achieve particular goals (Fujita, 2011; Zimmerman, 2000). Self-regulation has been recognized as a central factor in skill acquisition, learning (Kanfer & Ackerman, 1989), and workplace learning transfer through constructs such as efficacy beliefs (Bates & Holton, 2004; Bell & Ford, 2007; Machin & Fogarty, 1997), transfer-related expectancies (Devos, Dumay, Bonami, Bates, & Holton, 2007; Kirwan & Birchall, 2006), and goal setting for

transfer (Reber & Wallin, 1984; Smith, Jayasuriy, Caputi, & Hammer, 2008). However, the capacity of these latter constructs to foster transfer is limited because they deal primarily with the self-regulation of motivation through beliefs about personal capability (self-efficacy), the assessment of behavioral potentialities (expectancies), or discrepancy creation (goal setting).

In other words, the effect of these self-regulatory variables on workplace learning transfer is either mediated or moderated by individual motivation (e.g., efficacy beliefs or expectancies influence motivation, which then affects behavior). As a result, they do not address transfer behavior directly. This, plus their failure to deal with the implementation challenges that often accompany efforts to apply new learning on the job, limit their explanatory potential in the context of workplace learning transfer. A basic assumption of our model is that individual success in transferring learning can be more fully explained and improved when workplace learning transfer is viewed through the lens of personal initiative and implementation intentions. These factors focus more directly on behavior and attend to implementation challenges by putting individuals in the role of active agents in moving from transfer motivation to actual workplace learning transfer.

THE MODEL

Figure 23.1 presents a model that elaborates the linkage between motivation to transfer and individual post-training transfer performance. The model proceeds from several assumptions. First, trainees' motivation to transfer is the starting point for the model. Thus, the model focuses on the post-training period, yet recognizes a variety of factors in the pre-training, training, and post-training environment that can influence motivation to transfer. These factors include those associated with variations in training design (e.g., goal setting, stimulus variability, instructional methods, and learning principles),

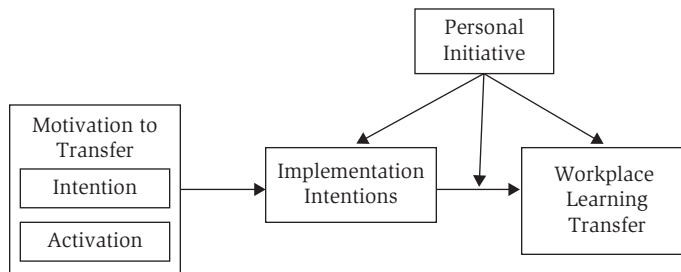


Figure 23.1 Linking Motivation to Transfer to Transfer Performance

individual characteristics (e.g., self-efficacy, cognitive ability, perceived content validity, and training retention), and macro- and micro-level work environment factors such as organizational culture, supervisor support, and performance-related feedback (see Aguinis & Kraiger, 2009; Alvarez, Salas, & Garofano, 2004; Baldwin & Ford, 1988; Baldwin, Ford, & Blume, 2009; Burke & Hutchins, 2007; Gegenfurtner, Veermans, Festner, & Gruber, 2009; Salas & Cannon-Bowers, 2001; Velada, Caetano, Michel, Lyons, & Kavanagh, 2007).

Second, the model assumes that some degree of learning in training has occurred and that some level of motivation to transfer exists as a result of learning and other factors. This assumption recognizes that, for transfer to occur, individuals must both learn something that has job-related value in training and be motivated to apply that learning on the job (Burke & Hutchins, 2007; Pugh & Bergin, 2006). Third, the model assumes that self-regulatory mechanisms can, when in place, help translate transfer motivation into effective workplace learning transfer. To this end, the model applies *implementation intentions*, a construct and self-regulation strategy that increases the likelihood of goal attainment by strengthening the connection between goals and the behavioral requirements for goal accomplishment (Gollwitzer, 1993, 1999). Implementation intentions have demonstrated the capacity to translate goal intentions into action in a variety of contexts (Gollwitzer, 1990; 1993; 1996; Gollwitzer & Brandstatter, 1997; Gollwitzer & Sheeran, 2009) and, in our model, are seen as the mediator between transfer motivation and workplace learning transfer. Fourth, the model assumes that some positive level of transfer motivation must exist for implementation intentions to be effective. As Gollwitzer (1999) noted, “implementation intentions should not be effective when the goal intention on which they are based is weak . . .” (p. 499). Finally, the model assumes that the act of workplace learning transfer is a complex behavior insofar as trainees are required to self-evaluate behavioral strengths and weaknesses, make decisions about what learning is useful and can be transferred, and plan and implement actions to apply learning. These complex behaviors must also occur in complex and challenging environments in which a variety of other factors can influence the transition from transfer motivation to workplace learning transfer. To address these factors, the model posits that the effectiveness of implementation intentions in producing effective workplace learning transfer will be moderated by an individual’s *personal initiative*. In the following paragraphs we discuss each factor in the model in more detail.

MOTIVATION TO TRANSFER

Motivation to transfer refers to the intensity of effort directed toward utilizing in a work setting the skills and knowledge learned in training (Holton,

Bates, & Ruona, 2000). This construct is distinguished from training motivation (the intensity of effort applied to learning-oriented improvement activities) (Tannenbaum & Yukl, 1992) and motivation to learn (the “specific desire of the trainee to learn the content of a training program”) (Noe, 1986, p. 743). Our model assumes motivation to transfer has two fundamental components: an underlying transfer intention and a level of activation or drive. The transfer intention element parallels Azjen’s (1985) deliberative phase of planned behavior in which an individual makes a decision to engage in goal-directed behavior and forms an intention. In the present model, this is reflected in a transfer intention and indicates a conscious choice or commitment to make the effort to apply new learning on the job (e.g., “I will use the skills learned in this course to improve my performance at work”). The second component of transfer motivation addresses the level of activation or drive directed at pursuing that intention. This component reflects how much effort individuals are willing to exert in their goal-directed behavior. In the transfer literature, this component has been viewed as a function of commitment (Warr & Catriona, 1999), expectancies (Chiaburu & Lindsay, 2008; Holton, Bates, & Ruona, 2000), efficacy beliefs (Ford, Smith, Weissbein, Gully, & Salas, 1998; Stevens & Gist, 1997), and needs (Burke, 1997; Noe, 1999) such that, all other variables being equal, the greater these factors the greater the level of activation. For the purposes of this model, this is the transfer activation component. Thus, transfer intention and transfer activation comprise two fundamental elements of motivation to transfer. This approach is consistent with the conception of motivation in the organizational behavior literature as a psychological process that includes a level of effort or persistence and direction toward a goal (Locke & Latham, 2002).

IMPLEMENTATION INTENTIONS

Our model suggests the linkage between motivation to transfer and the initiation and maintenance of successful workplace learning transfer can be addressed through the use of implementation intentions. Implementation intentions represent a self-regulatory strategy comprised of specific, advanced if-then plans that specify anticipated concrete situations in which newly learned behaviors can be used *and* the appropriate behavioral response required for those situations (Parks-Stamm & Gollwitzer, 2009). In describing how this linkage influences behavior, past research suggests implementation intentions prompt two key processes: they increase the accessibility of a behavioral cue and strengthen the association between the cue and the desired behavioral response (Gollwitzer, 1993; Gollwitzer & Sheeran, 2006). From a transfer perspective, implementation intentions aid the self-regulation of

workplace learning transfer by consciously linking a critical situation or opportunity for using new learning on the job with an appropriate skill or behavior.

The creation of implementation intentions requires, first, that a person identify a suitable future situation or anticipated opportunity (the *if* part) in which the desired behavior can be applied. For example, a supervisor in a training program designed to help her/him use informal rewards effectively could identify when and where their use is appropriate: "*When one of my subordinates meets or exceeds performance expectations. . . .*" The result of specifying this opportunity to act is that it serves as a cue which activates a mental representation of the situation and thereby make it more accessible (Webb & Sheeran, 2004). In other words, the *if* part of the plan activates specific signals that allow the person to more readily identify situations or opportunities in which to act.

Implementation intentions also require specification of a contingent response or specific goal-directed behavior (the *then* part of the plan). To continue the above example and complete the if/then statement: "*When one of my subordinates meets or exceeds performance expectations, I will individualize an informal reward and deliver it as soon as possible after the performance.*" The consequence of linking the response to the cue in this way is to allocate control of the response to the situation. This augments the control of goal-directed behavior beyond that provided by motivational elements with the control that accrues from the specified situational cues. In other words, situations in which workplace learning transfer should occur are more easily recognized, and the initiation of appropriate behavioral responses to those situations is more efficient and requires less conscious effort (Gollwitzer, 1999). From this perspective, the immediate determinants of workplace learning transfer are implementation intentions that mediate the effects of motivation to transfer. Recent research provides some support for the effects of this linkage (Aarts & Dijksterhuis, 2000; Aarts, Dijksterhuis, & Midden, 1999; Webb & Sheeran, 2007) and indicates that people who form implementation intentions are more likely to perform intended behaviors (Orbell, Hodgkins, & Sheeran, 1997; Orbell & Sheeran, 2000; Verplanken & Faes, 1999), achieve goals (Gollwitzer & Sheeran, 2006), and overcome implementation problems associated with the pursuit of goals (Gollwitzer & Brandstatter, 1997).

In sum, implementation intentions are effective at promoting workplace learning transfer because people are more likely to attend to critical situational cues or opportunities, remember those cues, and act with the desired behavioral response. This puts implementation intentions in a different role than other similar transfer-enhancing strategies. For example, action planning has been widely advocated as a strategy to improve workplace learning transfer (Broad, 2005; Foxon, 1997), one that parallels implementation intentions insofar as they

represent plans for transfer-related actions. However, action plans for transfer are generally viewed as “add-on” strategies designed to enhance transfer motivation, not specifically direct action. This contrasts with the role of implementation intentions as mediating the motivation-transfer performance relationship. In addition, action plans tend to be general in nature and are often developed in response to questions like “What do you plan to do differently at work to apply what you have learned in this training?” The if/then plans of implementation intentions are more precise in identifying anticipated situations or opportunities and specific accompanying behaviors. As a result, they are more effective at enhancing trainee readiness and capability to identify critical situations and to take action to implement new learning when those situations are encountered.

PERSONAL INITIATIVE

The model proposes another individual difference factor, personal initiative, as an important factor in the motivation to transfer–workplace learning transfer relationship. Personal initiative is a work-based construct defined as “work behavior characterized by its self-starting nature, its proactive approach, and by being persistent in overcoming difficulties that arise in the pursuit of a goal” (Frese & Fay, 2001, p. 134). Individuals with personal initiative are seen as proactive, able to identify and take opportunities to change their environments, and capable of overcoming adversity and making change happen. Thus, personal initiative is an observable aspect of work performance, a “behavior syndrome” (Frese, Kring, Soose, & Zempel, 1996, p. 38) characterized by an active, self-starting, and persistent approach to change (Frese & Fay, 2001). We view the training transfer process as one that is often complex and challenging and in which these characteristics would be very useful.

From a transfer perspective, someone showing personal initiative would anticipate or create opportunities to use new learning, take charge in changing a work behavior, task, procedure, or work environment in order to apply new learning, and persist in overcoming barriers that might be encountered in applying that learning. In support of this reasoning, numerous studies have linked personal initiative to various individual outcomes. For instance, personal initiative has been linked to development and implementation of career plans (Frese, Kring, Soose, & Zempel, 1996), ability to overcome problems, improved performance on both formal and informal tasks (Fay & Frese, 2001), and with individual innovative behavior (Miron, Erez, & Naveh, 2004; Ohly, Sonnentag, & Pluntke, 2006).

THE ROLE OF PERSONAL INITIATIVE IN THE TRANSFER PROCESS

The model depicts personal initiative as functioning in several ways in the training transfer process. First, personal initiative moderates the path from implementation intentions to workplace learning transfer. Employees have to develop and carry out implementation intentions (if/then plans) for positive workplace learning transfer to occur. Taking action and following through on these plans requires initiative. Thus, individuals high in personal initiative will be more effective at following through on implementation intentions and, therefore, more successful in transferring learning, compared to low personal initiative individuals.

Second, we anticipate that personal initiative will influence implementation intentions. The self-starting and proactive characteristics of personal initiative suggest individuals high in personal initiative may be able to develop implementation intentions more quickly (Frese & Fay, 2001) or be better able to identify if/then contingencies than low personal initiative individuals.

Third, we propose that personal initiative can have a direct effect on workplace learning transfer. As noted earlier, research has demonstrated that a wide range of job- and work-context factors can act as barriers to transfer. The implication is that, to varying degrees, changes in job tasks or work context may be required for successful transfer to occur. Individuals with high personal initiative who have an active stance vis-à-vis learning transfer will be more capable of taking the initiative to change job and work contexts when needed. Indeed, research indicates high initiative people can change their workplaces and the control they have over their workplaces when needed (Frese, Garst, & Fay, 2007).

DISCUSSION

A key implication of this model is that successful transfer of training requires an active orientation on the part of trainees. The treatment of training transfer as a “personal choice” (Baldwin, Ford, & Blume, 2009) falls in line with more recent theorizing about the choices trainees make as they navigate the transfer process. This represents a move away from the view of the trainee as “a passive rather than active player in his or her own behavior in relation to on the job after training” (p. 53) and puts the trainee in the role of a proactive driver of successful workplace learning transfer. We believe this is a critical and understudied role for trainees and have forwarded two constructs new to the transfer literature, implementation intentions and personal initiative, as a

means of advancing our understanding of the active role trainees need to play in bridging the gap between motivation and successful transfer.

From a conceptual perspective, the active approach to transfer implied in our model is consistent with the view that trainees make personal choices about what training to transfer and what to leave behind (Baldwin, Ford, & Blume, 2009). When trainees personalize training to match their individual needs and interests, selecting some elements for transfer and ignoring others, the use of self-regulatory mechanisms to advance the workplace learning transfer process becomes critical. In other words, the personalization of transfer requires adaptability: Trainees decide what aspects of training to transfer, plan how to use training on the job, decide how and when to use transfer-enhancing strategies, and must show initiative to facilitate successful transfer. Our model provides a theoretical basis for understanding the psychological processes that transform motivation to transfer into workplace learning transfer, something often omitted from transfer models. The implementation intention and personal initiative constructs incorporated into our model also reflect active learning concepts that are not currently recognized in the transfer literature and may offer new insights into the complex transfer process. For example, examination of how personal initiative for transfer is exhibited may reveal ancillary problems or opportunities that arise during training transfer and highlight the creative and innovative ways that trainees go about adapting learning to meet job-related needs. For example, variability in task characteristics (e.g., closed versus open skills) likely present different challenges for transfer that may lead personal initiative and self-regulation to take on a more (or less) significant role in transfer progression.

PRACTICAL IMPLICATIONS

The study of implementation intentions and personal initiative as key factors in the workplace learning transfer process carries with it important practical implications. For example, implementation intentions represent a self-regulatory mechanism that can be managed to help trainees plan transfer-related actions, anticipate critical transfer opportunities, initiate planned actions, and monitor and evaluate learning transfer efforts. We suspect the management of this self-regulatory function is particularly critical in the transfer process; and it has implications for the design of training. Although research indicates that the “natural formation” of implementation intentions can be effective (Van Hooft, Born, Taris, Van der Flier, & Blonk, 2005), the promotion and development of implementation intentions as an integral component of training represents a potentially important strategy for promoting workplace learning transfer. This approach might prove particularly useful for trainees who may

be entering a transfer system with multiple barriers, perceive they will have limited capacity or opportunities to transfer, or have limited confidence in their ability to do so.

The nature of transfer-related implementation intentions will likely be influenced by the work environment in which the transfer is to take place. Ensuring that trainees are aware of how their work environment may either deter or support the implementation of their learning can help them strategize on the most effective ways to leverage work context and situations to maximize transfer success. To this end program planners may consider incorporating a component into their training that addresses the impact work context can have on workplace learning transfer effort—perhaps by analyzing the work context prior to training to identify learning transfer barriers and catalysts—and using this information as a basis for assisting learners in strategizing about how newly acquired knowledge can be applied on the job.

CONCLUSION

We believe that, despite the longstanding challenge of the transfer problem, there has been too little research and thinking focused on understanding the link between motivation to transfer and actual workplace learning transfer. We have argued, as have others (Baldwin, Ford, & Blume, 2009), that transfer research has overemphasized a reactive view of learning transfer in which alterations in the work environment, job, or training characteristics lead to individual changes in attitudes or motivation and subsequent workplace learning transfer. We agree with Frese and Fay's (2001) general view that this reactive approach is not nimble enough in today's world of global competition, high rates of innovation, and with the complex, changing nature of work. We believe it is particularly inappropriate in the context of workplace learning transfer because of the many challenges associated with transferring new learning to today's dynamic, complex jobs and work environments. Consequently, there is a need for greater understanding of the role of the individual as an active agent in the workplace learning transfer process.

This chapter outlined a model that treats individuals as active agents in the transfer process and is one of the first efforts in the transfer literature to offer a rigorous conceptualization of the link between motivation to transfer and actual workplace learning transfer. The model integrates a two-dimensional model of motivation to transfer, specifies implementation intentions as a mediator between transfer motivation and workplace learning transfer, and emphasizes the role of personal initiative in the transfer process. The model assumes that implementation intentions regulate workplace learning transfer efforts through the use of specific if/then plans that consciously link opportunities for

using new learning with specific behaviors. The role of implementation intentions as a mediator emphasizes the role individuals play in making decisions about what, when, where, and how new learning will be transferred—and then actively identifying appropriate situations or opportunities to use new learning. In short, if/then plans facilitate the identification of situational opportunities for transfer and enable the initiation of appropriate transfer-related behaviors, both key factors in complex work environments where transfer opportunities may be short-lived or problematic. The model also stresses the role of personal initiative in understanding the effort required in the transfer process and suggests that workplace learning transfer efforts are more likely to be successful when individuals are self-starting, proactive, and persistent in overcoming transfer barriers.

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Coaching

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Organizational coaching evolved during the last forty years, first in the late 1970s primarily as a management and supervisory tool for performance improvement, and then associated with the rise of leadership and management development programs. The birth of executive and business coaching emerged out of these organizational programs in combination with influences from sports coaching and personal development training during the 1980s (Brock, 2009). In the 21st century, coaching continues to be an important organizational strategy for employee development, with the last decade witnessing unprecedented growth in the number of coaches and coaching programs (Ely, Boyce, Nelson, Zaccaro, Hernez-Broome, & Shyman, 2010; Goldsmith & Lyons, 2005). Organizational coaching today tends to take two broad forms of practice: “executive coaching,” which provides coaching to managers and leaders in organizations for development (Kampa-Kokesch & Anderson, 2001) and “workplace coaching,” which views coaching as a set of skills and processes demonstrated by individuals at all levels of the organization (Barner & Higgins, 2007; Bartlett, 2007; Brock, 2009; Peltier, 2010; Rocereto, Mosca, Gupta, & Rosenberg, 2011).

In this chapter I will present a model of organizational coaching that positions two forms of coaching practice with regard to theoretical perspective and coaching skills/attitudes. Next, four theoretical perspectives on organizational coaching are presented: adult development, cognitive/behavioral, ontological, and positive psychology. Finally, I will examine three challenges and trends facing the research and practice of organizational coaching: differentiating coaching from other organizational interventions, evaluating the impact of coaching on organizational outcomes, and how to integrate culture into organizational coaching.

A CONCEPTUAL FRAMEWORK FOR ORGANIZATIONAL COACHING

Given the converging influences on the development of organizational coaching, it is not surprising that both executive coaching and workplace coaching today are conducted at all levels of an organization and encompass a wide range of services and specialties. Examples include executive coaching, career coaching, team coaching, wellness coaching, outplacement coaching, skills coaching, and performance coaching. The growing movement toward an informed practitioner model has led to an increased intellectual understanding of the principles and methodologies of coaching. The term *evidence-based coaching* was adapted from medical contexts to distinguish between professional coaching that is grounded in empirical and theoretical knowledge and coaching that is developed from the “self-help” personal literature genre (Grant & Stober, 2006; Sackett, Haynes, Guyatt, & Tugwell, 1996). The conceptual framework in Figure 24.1 shows how both broad forms of coaching practice are built on the same foundations.

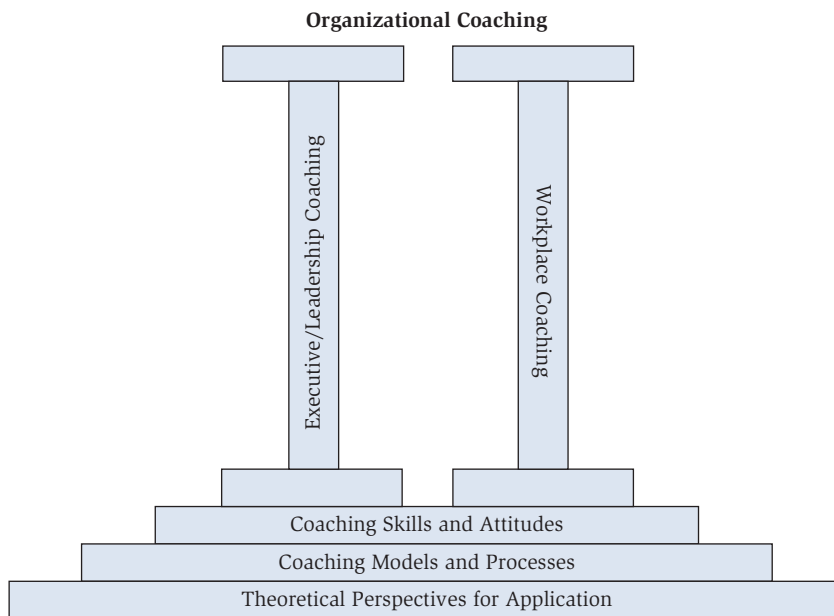


Figure 24.1 Model of Organizational Coaching

Two Forms of Organizational Coaching

One useful way to categorize coaching is according to who conducts the coaching, who receives it, and for what purpose. Executive coaching is usually conducted by coaching professionals who are not organizational employees. On the other hand, workplace coaching refers to the coaching skills and processes that managers and other identified organizational employees use to develop their employees. The executive coach may engage with a mid-to-upper-level manager in one or more of the following ways (Grant, Passmore, Cavanagh, & Parker, 2010; Witherspoon & White, 1997):

- *Coaching for skills* involves learning required skills and behaviors through rehearsal and feedback. Popular examples include presentation, communication, sales, and negotiation skills.
- *Coaching for performance* is focused on improving performance over a specific time period. Performance coaching is more strategic than skills coaching and may be the intervention chosen following a negative performance evaluation or a specific performance problem.
- *Coaching for development* is the most widely practiced form of executive coaching and is concerned with the individual's personal and professional development. Areas for this type of coaching may include perspective taking and meaning making, emotional intelligence, and team relationships.

In practice, executive coaches usually address all three types of coaching while coaching an individual: skills, performance, and development. For example, while helping a manager achieve her developmental goal for promotion to a leadership position, a coach may focus on the manager's communication skills, as well as on her work/life balance. Also, most executive coaches have the capability to provide training and consulting services, as well as coaching (Binstead & Grant, 2008; Clegg, Rhodes, Kornberger, & Stilin, 2005). Typical examples include leadership development, strategic planning, and survey feedback.

Along with the growing presence of executive coaches in the workplace, there is widespread interest in coaching delivered to non-executive employees in organizational settings (Bianco-Mathis, Nabors, & Roman, 2002; Goleman, Boyatzis, & McKee, 2002; Peltier, 2001). Generally, workplace coaching is delivered by internal coaching providers and falls into one of the following three categories (Grant, Passmore, Cavanagh, & Parker, 2010):

- *Management coaching* in which a manager coaches an employee to develop; or
- *Human resources coaching* in which an HR professional coaches an employee about performance or conduct problems; or
- *Learning and development coaching* in which a workplace learning professional coaches an employee to develop skills or behaviors that will meet both the employee's and the organization's strategic business needs.

Workplace coaching involves a set of processes, skills, and behaviors comprising a management style that is qualitatively different from the traditional supervisory relationship (Rocereto, Mosca, & Rosenberg, 2011). While traditional managers rely on control, the workplace coaching style depends on goal setting, feedback, and a relationship built on trust. Coaching behaviors that have been identified as helpful include empathy and good listening skills (Hall, Otazo, & Hoddenbeck, 1999). In addition to these interpersonal skills, other factors contributing to coaching effectiveness include authenticity, integrity, and a willingness to probe and challenge the employee (Gonzalez, 2004; Hall, Otazo, & Hoddenbeck, 1999; Sue-Chan & Latham, 2004).

These studies on coaching skills are useful to both executive coaches and workplace coaches, and therein lays the rub. Most of the research on coaching skills and competencies does not take into account the many different applications or specialties of coaching, even though different applications may well demand different skill sets from the coach (Grant, Passmore, Cavanagh, & Parker, 2010).

Coaching Models and Processes

Regardless of which coaching form is practiced, executive or workplace coaching, the coaching process generally consists of three to seven steps (Bianco-Mathis, Nabors, & Roman, 2008; Ely, Boyce, Nelson, & Zaccaro, 2010; The Executive Coaching Forum, 2012). The model used at the Center for Creative Leadership (Ting & Riddle, 2006) consists of three steps, while a more detailed process is outlined below (Bianco-Mathis, Nabors, & Roman, 2008).

1. *Define the role.* The coach determines his or her role vis-à-vis the organization and the employee, establishing expectations and guidelines. Often, the coach will address the roles of various organizational stakeholders, including the employee's manager.
2. *Build the foundation.* The coach and the employee develop agreements that will guide the coaching relationship. A coaching agreement often

addresses confidentiality, logistics, and how to handle lack of progress or disagreements.

3. *Co-create the partnership.* The coach establishes trust and uses language that leads to higher levels of understanding, insight, and action. Key to coaching success is the coach's ability to promote action through listening, ask powerful questions, and encourage learning.
4. *Collect and analyze coaching data.* The coach collects data regarding the employee's current effectiveness and analyzes the data for strengths and areas for improvement. Many coaches use 360-degree surveys and interviews to identify strengths and developmental needs.
5. *Feedback coaching data.* The coach communicates a summary of the collected data to the employee in a way that motivates positive action. Effective coaches know how to analyze qualitative and quantitative data and feed it back in positive ways to promote acceptance.
6. *Design goals and track progress.* The coach and employee create an action plan built on objectives. Coaches stress collaboration and accountability to help employees create goals and track progress toward achieving them with an action plan.
7. *Conduct coaching meetings.* The employee sets the agenda for each coaching meeting and the coach provides structure and process, including an evaluation process.

This process, while typical, is often adapted to the coach's philosophy, strengths, and skills. The next section will address four theoretical perspectives that organizational coaches frequently use as a basis for their coaching practice.

THEORETICAL PERSPECTIVES IN ORGANIZATIONAL COACHING

In order for successful and sustainable learning and development to occur, the employee must understand her own motivations and how they impact her actions. The coach knows and operates from the principle that every employee is different and unique (Parsloe & Leedham, 2009). It is important that both the executive coach and the workplace coach understand how and why people behave the way they do, that is, have a working knowledge of psychology, philosophy, leadership, and adult development. This section addresses coaching frameworks in adult development, cognitive/behavioral psychology, ontology, and positive psychology.

Adult Development

Adult development theories address issues of authority, responsibility, and the ability to tolerate complexity and ambiguity. As people develop, they become more able to understand others' perspectives while, at the same time, being increasingly self-aware. An understanding of the stages of adult development enables the coach to be a better listener and to suggest better interventions (Berger, 2006).

Constructive-developmental theories of adult development, such as Kegan (1994) and Torbert and Associates (2004), tend to focus on development, whereas the earlier theories of adult development were most often connected to age or phases of life (Erikson, 1980; Levinson, 1978, 1996). Constructive-developmental theories address “constructive” as the way each person creates his or her world by living it rather than as an objective reality (Berger, 2006). They are developmental because they deal with how construction changes over time to become more complex and multifaceted. Real growth requires a qualitative shift, not just in knowledge, but in perspective or way of thinking. This change is called “transformation” (Berger, 2006, p. 79). The constructive-developmental perspective, that growth requires a change in an individual's way of thinking, makes this framework especially useful for executive coaches, but also helpful for workplace coaches who are helping employees to adapt to changing expectations.

Kegan's stages of adult development (1994) demonstrate the constructive-developmental perspective by distinguishing between *subject* and *object*. As we grow in our ability to see more complexity in the world, we are increasingly able to distinguish between *subject* (that which we cannot yet see) and *object* (that which we can see and make decisions about) (Berger, 2006). These new forms of understanding take identifiable, different ways of making sense of the world. Kegan's stages of adult development are discussed below (Kegan, 1994):

- *First Order (Impulsive Mind)*. Young children act from a single point of structure of meaning-making. The object (the content of one's knowing) is the child's reflexes, and the child is subject to his or her impulses and perceptions.
- *Second Order of Consciousness (Instrumental Mind)*. Children ages six through adolescence have their impulses and perceptions as object while they are subject to their own needs, interests, and desires.
- *Third Order (Socialized Mind)*. After adolescence, adults have as their object their needs, interests, and desires. They are subject to their interpersonal relationships and mutuality.
- *Fourth Order (Self-Authoring Mind)*. If achieved, adults have as their object their interpersonal relationships and mutuality. They are subject to self-authorship, identity, and ideology.

- *Fifth Order (Self-Transforming Mind)*. If adults reach this stage, they have as their object their self-authorship, identity, and ideology. They are subject to the dialectic between ideologies.

Kegan advises us not to conclude by the linear nature of the orders that “higher is better.” Kegan’s theory is descriptive rather than judgmental—it describes different degrees of complexity of thinking. For the coach, this theory is an important framework for understanding and framing dialogue with an employee about development. Kegan points out the difficulties that can result when employees are given tasks and expectations (1) without the needed support to master them or (2) that are better suited for someone at a higher order of consciousness.

Coaching Models and Processes from Adult Development Theory The term “developmental coaching” is often used to emphasize coaching that is not remedial (Bennett, 2003) or from skills or performance coaching (Bachkirova, 2013; Hawkins & Smith, 2006). Another type of developmental coaching has evolved from a multitude of respected theories in the field of adult development (Cook-Greuter, 2004; Graves, 1970; Kegan, 1982, 1994; Torbert & Associates, 2004; Wilber, 2000). Interestingly, few authors who have written on the application of these theories to coaching have described their coaching as developmental (Bachkirova, 2013).

One of the difficulties in using developmental theory in coaching is that development is difficult to see initially, and it changes with time. There are numerous developmental assessment tools available, all of which require extensive training and expense. Kegan’s Subject-Object Interview (SOI) is user-friendly and content-rich but requires several hours to administer and score, not to mention the many hours of training spent in learning the tool.

Goodman (2002) designed the Developmental Coaching Dialogue as an iterative process for coaches to help employees create change in thinking and behavior. The process consists of four steps:

1. *Ask for meaning.* The coach asks “how” and “what” questions to help the employee achieve deeper understanding of the issue or dilemma.
2. *Build a new perspective.* The coach first confirms the employee’s current construction of the situation, and then introduces the idea that there may be another way of viewing the issue.
3. *Create a bridge.* The coach helps the employee prepare for the loss associated with change by identifying and retaining some aspects of the old ways of thinking and behaving, thereby facilitating movement forward.
4. *Develop action.* A plan from the constructivist-developmental perspective may cause some instability in the employee’s thinking, but it does not cause fear.

The goal for coaches who use the adult development framework is to encourage more complex thinking, which includes increased perspective taking, systemic thought, and critical reflection (Goodman, 2002).

Cognitive/Behavioral Psychology

According to the American Board of Professional Psychology (2013), the focus of cognitive/behavioral psychology is twofold: (1) its reliance on an empirical approach and (2) its theoretical grounding in learning and behavioral analysis theories. These theories may include respondent conditioning, operant learning, social learning, cognitive sciences, and information processing models of behavior. The philosopher Kant summed up the theoretical underpinnings of the cognitive behavioral approach by describing the four consecutive steps from perception to action: “I see a tiger, I think I’m in danger; I feel afraid; I run” (Palmer & Williams, 2013, p. 320). This approach emphasizes the link between the thoughts, emotions, and actions.

Early behaviorists incorporated a learning philosophy based on the assumption that humans learn through conditioned associations, and that these associations drive behavior at an unconscious level (Wolpe & Lazarus, as cited in Palmer & Williams, 2013). Adler described the cognitive perspective with his observation that people “determine themselves by the meaning they give to situations” (Adler, as cited in Palmer & Williams, 2013, p. 320). Ellis (1979) developed the ABC rational-emotive therapy (RET) model that describes how people develop self-defeating habits because of irrational beliefs. RET emphasizes that beliefs cause feelings, not events in people’s experiences.

The term “cognitive distortion” was taken from cognitive therapy (Beck, 1979). Now often referred to as “thinking errors,” in therapeutic as well as coaching contexts, thinking errors are defined as “errors of processing in which the person cognitively focuses on insufficient or inappropriate data and draws illogical conclusions, makes inaccurate inferences, or bases predicted outcomes upon little or no empirical evidence” (Palmer & Szymanska, 2007, p. 99). Common thinking errors include the following:

- Mind reading/jumping to conclusions without relevant information: for example, “If I don’t work overtime I’ll get sacked.”
- All-or-nothing thinking: evaluating experiences on the basis of extremes, such as “excellent” or “awful,” for example, “She always arrives late.”
- Demands, rigid or inflexible thinking, such as using “should” and “must,” for example, “He should have made a better job of that project.”

Coaching Models and Processes from Cognitive/Behavioral Psychology

Cognitive/behavioral coaching (CBC) has been defined as “an integrative approach which combines the use of cognitive, behavioral, imaginal, and problem-solving techniques and strategies within a cognitive behavioral framework to enable clients to achieve their realistic goals” (Palmer & Szymanska, 2007, p. 86). Coaches operating from the cognitive/behavioral perspective often combine behavioral and cognitive tools in a holistic approach to help employees grow and change. The range of behavioral and cognitive techniques has proved useful in workplace coaching and performance, usually in executive coaching (Peterson in Grant & Stober, 2006; O'Connor & Lages, 2007).

Since 2001, numerous articles, chapters, and books referring to CBC have been published (Palmer & Williams, 2013). In 2008 the *Journal of Rational-Emotive and Cognitive-Behavior Therapy* published a special issue on CBC (Neenan, 2008). Articles in that issue addressed a wide range of topics covering the adaptation of cognitive behavioral therapy to cognitive/behavioral coaching, including restructuring metaphors and the use of mental re-mapping, mindfulness, stress reduction, and procrastination.

While early CBC was influenced by the principles and practices of cognitive behavioral therapy (CBT) and Ellis' RET, more recent developments in CBC draw upon the constructivist philosophies such as mindfulness (Segal, Williams, & Teasdale, 2002). According to Passmore and Marianetti (2007), mindfulness has four key elements: awareness, attention, time (focus on the present), and acceptance. Mindfulness has been integrated into coaching through meditation (Kabat-Zinn, 1990) and sensory-awareness exercises (Collard & Walsh, 2008).

Purely behavioral models have also had a significant impact on the current practice of CBC. In general, behavioral psychologists and coaches start from the position that people can change and that the coach/mentor can arrange consequences to impact that change. B.F. Skinner introduced a three-stage behavior training method, widely influencing later behavioral models:

1. Define the goal or desired behavior.
2. Define the starting point (the current behavior).
3. Positively reinforce each step in the desired direction while ignoring all other behaviors. (Skinner, as cited in Rock & Page, 2009)

Common to many behavioral coaching models is the use of data collection from multiple sources, the setting of specific objectives, and developing detailed action plans (Eldridge & Dembkowski, 2013). Peterson's Development Pipeline (2002) provides the necessary and sufficient conditions for individual

change and helps the coach determine where he or she can provide the greatest value for a given individual. The pipeline model includes such classic behavioral techniques as assessment, feedback, practice, action, consequences, and reinforcement.

One of the best known behavioral coaching models is the GROW model (Alexander & Renshaw, 2005), which was popularized by Sir John Whitmore (Whitmore, 2009). The GROW model consists of four stages, all designed to help the employee understand himself, the impact of his behavior, and possibilities for action. The GROW stages are Goal, Reality, Options, and Wrap-Up. The COACH model (Bianco-Mathis, Nabors, & Roman, 2002) added two new stages to the GROW model: emphasizing the current reality and the role of choice in selecting and implementing actions. The PRACTICE model (Palmer, 2007) suggests goal exploration and setting of SMART objectives—specific, measurable, achievable, relevant, and time-bound (Locke, 1996).

When an employee has a cognitive or emotional barrier toward change, cognitive models and techniques may help to increase self-awareness and growth (Palmer & Williams, 2013). Socratic questioning is one fundamental cognitive coaching technique that stimulates thought and increases self-awareness, rather than requiring a correct answer. Chris Argyris (1983) created “action science,” which is a cognitive/behavioral theory and a method for reflection and inquiry into the reasoning that underlies our actions. Action science has greatly influenced coaching, mentoring, consulting, and organization development. Coaches use the methods of action science, including Socratic questioning, to help employees look inward, reflect on their thoughts, identify any errors in their thinking, and establish new patterns of thinking and behaving (Auerbach, 2006). Senge’s *The Fifth Discipline* (1990) translated many of Argyris’ ideas into what Senge called “organizational learning disabilities.” Organizational learning disabilities are metaphors that provide coaches with a language that helps employees to identify and reflect on thinking patterns that prevent them from achieving their performance and organizational goals.

Mental models are another cognitive coaching tool. Mental models are “our beliefs about how the world and people operate” (Auerbach, 2006, p. 113). Senge (1992, p. 8) states that mental models “hinder the acceptance of new insight. They are deeply ingrained internal images that managers working in a given organization tend to internalize unconsciously and often fail to adjust even though they are no longer relevant in a rapidly changing business environment.”

Mental models can be useful in development or they can limit employees to familiar ways of thinking and behaving. Coaches help employees to recognize their mental models, consider how much their unexamined mental models affect their behavior, reflect on their mental models, and hold dialogues that

examine assumptions and inferences (Auerbach, 2006). A dialogue tool for surfacing mental models is called the “ladder of inference” (Argyris, Putnam, & Smith, 1985), a metaphor for describing how our untested inferences of data and events can lead to potentially inaccurate conclusions and poor decisions. The five steps or rungs of the ladder, starting from the bottom are

1. Images, words, and other sensory data,
2. Selected data and our focus on it,
3. Our assumptions about the data we selected,
4. Our conclusions, and
5. The actions we take based on our conclusions. (Auerbach, 2006)

In summary, CBC has evolved from several therapeutic frameworks, including CBT and RET. As one of the more popular approaches in organizational coaching, CBC offers a number of tools and models to address employee behaviors and the thinking patterns that lead to those behaviors.

Ontology

According to the *Oxford Companion to Philosophy*, “Ontology is . . . the science of being in general, embracing such issues as the nature of existence and the . . . structure of reality” (cited in Sieler, n.d.). Major developments in the biology of cognition, existential philosophy, and the philosophy of language have converged to form a new field of knowledge called “Ontology of the Human Observer.” Fernando Flores first used the term “ontological coaching” and was the primary originator of this perspective. Flores, a Chilean government minister until political instability forced him to flee to the United States, was greatly influenced by the biologically grounded ideas of Humberto Maturana on perception, cognition, language, and communication (Sieler, 2003).

A key component of Maturana’s theory is the notion of “The Observer.” What is observed depends on the observer, meaning that what anyone experiences as an observer depends on the interactions between the neurons of her nervous system (Sieler, n.d.). All living organisms and systems are “structurally determined systems,” with the structure of their nervous systems guiding them how to respond to events and circumstances, not outward events and circumstances.

Maturana’s views of language are also central to the ontological perspective. Language plays an active role in our construction of reality and involves interpretation, which is the process of generating meaning. The idea that language creates reality is central to ontological coaching (Sieler, n.d.). There are a number of ways that individuals continually use language to produce effects and generate reality, which became referred to as “speech acts,” as I discuss later.

Coaching Models and Processes from the Ontological Perspective There is currently great interest in ontological coaching (O'Connor & Lages, 2007; Parsloe & Leedham, 2009; Rock & Page, 2009). Ontological coaches believe that employees' "way of being" drives their behavior and help them to change by exploring moods, emotions, physiology, and language (O'Connor & Lages, 2007). The goal is to move ahead successfully with their lives.

The steps of ontological coaching are

1. *Establish the coaching relationship.* The coach listens for what really matters to the coachee, not necessarily for stated goals or outcomes. Coaches ask themselves three questions while listening:
 - "How am I listening; what meaning am I making of what is being said?"
 - "Why am I listening like this; what concerns do I have?"
 - "What are the concerns of my clients that they are speaking this way?" (O'Connor & Lages, 2007, p. 145)
2. *Identify the client's concern to be addressed and the extent of the breakdown in his or her life.* The term "breakdown" means an interruption in the flow of living and comes from the writings of Martin Heidegger (1967). Breakdowns may be good or bad and prompt questioning of thinking as well as habits of doing.
3. *Explore the language, moods, emotions, and physiology that the client is using to create his or her way of being.* Ontological coaching defines six different "linguistic or speech acts," developed by Flores and Solomon (2003) from the work of John Searle (1970), described below:
 - *Declaration.* A statement by an authority that determines future action.
 - *Assertion.* A factual statement about the past from observation. What makes it factual is the shared agreement between people.
 - *Request.* Asking another person to do something.
 - *Offer.* Saying you will do something for someone else with conditions.
 - *Promise.* A mutual commitment to action. Promises consist of a request and acceptance, or an offer and acceptance.

In ontological coaching, emotions, moods, and physiology are also addressed prominently. For example, an ontological coach may address the employee's body (with permission) so that posture is in line with the changes that the employee wants to make in words and emotion (O'Connor & Lages, 2007).

Ontological coaching can be summarized as an approach that enables executive and workplace coaches to understand how employees use language, emotions, and physiology to structure their reality. The coach can then help the employee form new constructions of reality and accomplish desired outcomes.

Positive Psychology

Traditional psychology has focused on how to make ill people better by finding clinically and empirically supported methods to help fix what is wrong with them (Kauffman, 2006). Positive psychology, on the other hand, has as its mission to pursue theories of optimal functioning and find ways to improve the lives of ordinary people. Positive psychology concentrates not on human deficits and pathology, but on strengths, vision, and hopes.

As coaching is also associated with helping individuals to seek positive outcomes in their lives, the combination of positive psychology and coaching is of current interest to some researchers (Freire, 2013). This emerging field is known as positive psychology coaching (Biawas-Diener & Dean, 2007) or positive coaching psychology (Kauffman & Linnley, 2007). There are three commonalities between coaching psychology and positive psychology: the focus on performance enhancement, concentration on the positive aspects of human nature, and the emphasis on individual strengths (Linley & Harrington, 2005). Linley and Harrington (2006, p. 39) define strength as “a natural capacity for behaving, thinking, or feeling in a way that allows optimal functioning and performance in the pursuit of valued outcomes.” Biawas-Diener & Dean (2007) state that two types of strengths: interpersonal strengths and intrapersonal strengths (time orientation, savoring, appreciating the present, and optimism) are both important to coaching. With particular regard to the positive psychology of executive coaching, Kauffman (2009) emphasized four areas: positive emotion, flow, hope, and strengths.

One of the objectives of positive psychology is to understand how positive emotions work, especially as they are associated with competencies that are necessary in daily life and useful for coaching goals. Traditional psychology looks at how individuals cope with negative emotions such as anger or anxiety. Fredrickson's research (2001) suggests that positive emotions improve immune function and resilience, and may be a predictor of longevity and well-being.

Another important area of positive psychology is happiness, which is considered to be an important component of healthy functioning (Freire, 2013). Research has shown that happy individuals are more helpful, creative, prosocial, and altruistic than unhappy individuals (Biawas-Diener & Dean, 2007).

According to these authors (2007), two important variables of happiness offer opportunity for coaching: goals and social relationships.

Coaching Models and Processes from Positive Psychology Seligman (2002) developed authentic happiness coaching (AHC), which applies positive psychology to coaching with the objective of fostering happiness. Seligman described three pathways to happiness (p. 114):

- Through the emotions (The Pleasant Life),
- Through the link with an internal or external activity (The Engaged Life), and
- Through personal meaning (The Meaningful Life).

According to Seligman, the engaged life and the meaningful life lead to greater life satisfaction than the pleasant life (cited in Kauffman, 2006). The engaged life refers to being involved in life activity in work, relationships, and avocational pursuits. Coaching to increase engagement focuses on what is intrinsically rewarding. However, this is often not enough. Finding meaning, purpose, and connection to a greater cause leads to greater happiness. In combination, the pleasant, engaged, and meaningful lives create the full, happy life (Kauffman, 2006).

Coaches who use positive psychology tools, such as the popular Values in Action (VIA) Inventory of Strengths (Seligman, 2002), or Gallup's Strength Survey (Rath, 2007), adopt concepts such as happiness, flow, resilience, and values to create positive experiences that help employees engage in more productive tasks and lead more fulfilling lives. These assessment tools gained popularity in recent years as the impact of the economic recession adversely impacted on organizational productivity and employee well-being.

The concept of *flow* has been studied in relation to being fully engaged in life and activities of work or leisure (Freire, 2011). Flow is defined as a positive experience in which an individual's activity requires much of his or her abilities and skills. The experience of flow may also include some altered sense of consciousness, time, or control (Cskiszentimihalyi, Abuhamedh, & Nakamura, 2005). Coaches use this concept as a tool to help employees to achieve higher levels of performance in the workplace.

The positive psychological concept of *hope* is also of interest to researchers. According to Kauffman (2006), individuals with higher reported levels of hope seem to have better responses to obstacles as a result of their tendencies to seek alternatives and maintain a sense of agency. There are two variables of hope: a sense of agency (a sense that it is possible to achieve goals) and finding alternatives (Snyder, 2000). Coaches can cultivate these competencies during goal-setting and review of action plans with employees.

The belief that one possesses a measure of control over one's own flourishing defines the construct of human agency. Nakamura (2011) describes how coaching can help increase employees' human agency through building their personal resources and the positive influences of the environment in which they live or work. The author explains positive development as involving flourishing, thriving, and increasing in complexity over the lifespan.

These positive concepts (happiness, strengths, hope, flow, and agency) represent synergy between the scientific research of positive psychology and the practice of coaching. As research continues, executive and workplace coaches will continue to develop methods that enable employees to set goals and take actions based on a positive perspective.

CHALLENGES AND TRENDS IN ORGANIZATIONAL COACHING

In the ongoing development of a coherent body of knowledge about coaching, there are three challenges that reflect both the current state of research and the evolving practice of coaching: clarity of what coaching is and isn't with regard to other organizational practices (Grant, Passmore, Cavanagh, & Parker, 2010); how the effects of organizational coaching can be evaluated (Greif, 2013); and the growing critical scrutiny regarding the cultural assumptions and biases of coaching (Abbott, Gilbert, & Rosinski, 2013).

A needed focus for research is the boundary between coaching and other organizational interventions, such as organization development and training (Grant, Passmore, Cavanagh, & Parker, 2010). A related area that requires clarification is the difference between the work of professional coaches who coach in organizational settings and the work of organization development (OD) and human resource development (HRD) professionals who use coaching as a means of facilitating organizational change (Grant, Passmore, Cavanagh, & Parker, 2010; Hamlin, Ellinger, & Beattie, 2008).

According to Brown and Harvey (2006), approximately 80 percent of OD practitioners use Schein's (1969) process consulting methods to facilitate self-directed learning and growth, and this is reflected in many coaching approaches (Grant, Passmore, Cavanagh, & Parker, 2010, Whitmore, 2002). Process consulting is contrasted with more directive consulting models that view the consultant as "expert" or "diagnostician." In the process consulting model, the consultant and client work in partnership to achieve specific goals. The difference between process consulting and coaching is that the majority of process consulting interventions are conducted with groups. Schein refers to these processes as "facilitation" (1969). Thus, Grant and his colleagues

(2010) suggest that one key distinction between OD and HRD and organizational coaching may be that coaching tends to be at the individual level, whereas the work of OD and HRD tends to be with group- and organizational-level change.

Further research is needed on the boundary between coaching and therapy. The potential danger of psychologically untrained executive coaches inadvertently reinforcing unhealthy behaviors has been addressed frequently in the coaching literature, but little empirical research exists on mental health issues in organizational coaching (Grant, Passmore, Cavanagh, & Parker, 2010). Coaches need to be aware of the characteristics and of both mood and personality disorders in organizational coaching settings (Cavanagh, 2005).

Since 2000, there has been a great increase in the number of coaching evaluation studies (Bachkirova & Kauffman, 2008, Passmore & Fillery-Travis, 2011). However, there are only a few studies that have applied behavior observation methods and “hard” performance measures (for example, improvements in productivity or in meeting performance goals) when assessing coaching outcomes (Ely & Zaccaro, 2011; Ely, Boyce, Nelson, Zaccaro, Hernez-Broome, & Shyman, 2010; Levenson, 2009). While 360-degree feedback assessments are popular, Greif (2013) argues that they are problematic outcome measures because they elicit positive or negative reactions depending on their differences and direction. As an alternative, Greif recommends reliable and validated leadership behavior scales, such as the MLZ scale by Bass and Avolio (1990).

Organizational decision-makers often demand to see the return on investment (ROI) of coaching. In fact, ROI evaluation studies are often judged as the ultimate measure of success of organizational coaching programs (Greif, 2013). However, Greif argues that ROI should not be the most important outcome and is often irrelevant as the exclusive measure of coaching success. He describes coaching as a “broadband intervention,” which can result in a variety of improvements in individual behaviors and skills. Greif regards the important issue to be whether these changes result in a direct or long-term effect on the economic return on the organization’s investment. He recommends combining these evaluation studies with qualitative methods to incorporate rich contextual information and case histories. These methods have both evaluative and marketing benefits for organizational coaching.

Despite the reality that most organizations today are settings in which cross-cultural situations are encountered on a daily basis, many coaches lack the knowledge and are poorly equipped to work successfully in that cultural context (Abbott, Gilbert, & Rosinski, 2013). Within coaching practice, becoming aware of the multiple facets of culture (Hampden-Turner & Trompenaars, 1997; Hofstede, 2001; Rosinski, 2003) can lead to insights about hidden

biases that exist not only in one's own mental models but also in psychometric instruments (Abbott, Gilbert, & Rosinski, 2013; Abbott & Rosinski, 2007). Rosinski (2003) created a "global scorecard" as a means of facilitating effective goal-setting and enabling employee self-awareness. As an aid for coaching, its categories help to incorporate the various cultural perspectives that influence the employee's reality.

While recent coaching texts have integrated culture into coaching practice rather than separating it out (Abbott, Gilbert, & Rosinski, 2013), culture is still most often treated as a separate issue, only to be addressed when an employee brings it up as an explicit issue for dialogue. Coaching models need to systemically integrate knowledge about culture, particularly from the global perspective.

This section focused on three important challenges in organizational coaching today: (1) clarity over how coaching is defined and differentiated from other organizational interventions, (2) improved methods for evaluation of coaching impact on organizational outcomes, and (3) better integration of global understanding of culture and cultural diversity into organizational coaching research and practice.

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Mentoring

Perpetuated on a Myth?

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“Mentoring,” it is safe to say, has become an established part of the human resource development lexicon. It’s an enduring concept: ask any HRD practitioner or practically any professional, for that matter, to define “mentoring” and you’ll get a response. With little exception, an experienced person is involved, there’s a relationship of some duration between the mentor and the person being “mentored” (a “protégé,” a “mentee,” a “mentoree,” the terms vary), and tellingly, that mentoring is seen as “good.” Where virtually every other aspect of human resources and human resource development has its contentious elements, mentoring virtually equates with “goodness.”

But the opening decades of the 21st century have witnessed economic crises, fiscal collapse, ethical violations at the highest levels of organizations, and the privatization of war. Political stagnation, the relegation of the United States to last place in innovative capacity among forty leading nations and to fifth-last in terms of social justice, the prevailing mood in American organizations varies from an entrenched skepticism to disinterest. In the decades since organizations began including mentoring in their HRD programs, does the near-unanimity of favorable reactions to mentoring as a practice mean that we have lost our objectivity? Has the concept become “soft,” expressed in general terms? And given the overall positive impressions about mentoring in a downbeat milieu, why hasn’t it become a central focus in the development of human resources? Ultimately, is it wise to regard mentoring as a general, “one-size-fits-all” intervention by which all participants will reap some undefined benefits equally? In short, is mentoring really that “good”?

After at least a half-century of active use, the popular acclaim for mentoring warrants scrutiny now. It’s a difficult endeavor, partly because no one is sure when mentoring began to be widely used; there is no agreed-on date in the literature. This chapter acknowledges the possibility that mentoring may

have perpetuated a myth, based as it is on mythology. Perhaps we will be better served if we re-examine mentoring from its origins to determine its intent, implementation, and outcomes and thereby gain some insights that have gone missing over nearly thirty centuries.

The nature of myths is that, as widely held common knowledge, they are easily perpetuated. And they illustrate how thoughtful and well-intentioned people often have their facts just wrong. A case in point is the widespread clamor for “freedom of expression,” a phrase that purports to strengthen one’s argument by basing it on Constitutional grounds. The problem with this usage is that neither the phrase “freedom of expression” nor the term “expression” itself appears in the U.S. Constitution. In another instance of perpetuating a myth, others may derive a personal philosophy or a code of ethics based on Darwin’s concept of “survival of the fittest.” That usage, too, is a misappropriation, since the phrase “survival of the fittest” does not appear in *The Origin of Species*.

Less egregious but still pervasive is the use of the origin of the term “mentor.” The prevailing wisdom is that in Greek mythology, particularly *The Odyssey*, Odysseus left the care of his son Telemachus to a trusted friend, Mentor, while Odysseus left for the Trojan War, coincidentally a manifestation of a very troubled time. Mentor became regarded as the archetype of one who imparts wisdom and knowledge to a younger, “protected one,” hence the derivation of the French “protégé.” The concept that has evolved is a workable one, and an admirable one as well. But it is a much less nuanced one. The original “mentor” relationship was much less defined than the current understanding, and the personage of the original “mentor” even less so.

The particulars of Telemachus’s education were never very specific; other than some reference to the “company of older men” and “his father as a role model,” there is a sole mention of “πολύτροπος” (multiform) though entirely without details about which of Odysseus’s traits Telemachus was supposed to adopt. Moreover, Mentor did not himself “mentor” Telemachus directly. Instead, Athena appeared in the guise of Mentor. In none of the passages in *The Odyssey* does she specifically mention an educative intention. Only once did Athena use a verb that means an older person giving advice to a younger person. Instead, she suggests that Telemachus set out on a journey to ascertain Odysseus’s fate. In so doing, Telemachus was to gain experience instead of being told directly.

HISTORICAL UNDERPINNINGS

In the transition from mythology to practice, the earliest interactions make it clear that the mentoring relationship is a dyadic one (Allen & Eby, 2004). As

much as possible, Kram (1985) standardized the role of mentoring by describing it in terms with which most agree and it is supported in mythology: it is a “relationship between a younger adult and an older, more experienced adult who helps the younger individual learn to navigate the adult world and the world of work” (p. 2). This dyadic relationship implies that there is either enough physical proximity between the mentor and younger adults that promotes interaction, or the opportunity for frequent contact regardless of geographical location (Ensher, Heun, & Blanchard, 2003). This approach mirrors the ability of Athena in the guise of Mentor to have unusual access to her protégé.

Despite mentoring’s origin in 6th century B.C., mentoring cannot be regarded as a long-lived, continuous institution: it appears only sporadically as a practice. The first use of the term, a gerund, “mentoring” was applied to certain learning relationships in the 17th century, an interregnum of some two millennia. In her discussion of the historical role of a mentor in transmitting knowledge, Siurgea (2010) suggests that the transition from Aristotelianism to mechanical philosophy in the 17th century was the chief driver. It was a long and painstaking process, facilitated by formal and informal interactions between practitioners of a new and successful “natural philosophy.” What is certain is that both intellectuals and natural philosophers promoted the networks of communication by which ideas and information were exchanged and transmitted, essentially at a local level: “Who was in charge of transmitting the new ideas among natural philosophers and scientists right before the emergence of the organized scientific institutions? A first answer to this question could be: the mentors” (p. 166). These extended relationships took on the characteristics by which mentoring is known in its current stage:

It is important to note that the relations “mentor: protégé” were friendly and persistent over years. The second essential characteristic of the mentor’s role is the fact that he was accepted and respected by his disciple who received his advice as useful guidance for his future career. His formative role was an indirect one, because the mentor involved the whole community in the guidance of his protégé and because he did not impose his ideas as foundations for his disciple’s conception. (p. 166)

It may be useful at this point to mention that one item has never been resolved in the literature—the term for the person being mentored. Ideally, since the mentoring concept derives from Mentor’s experience, the person being mentored should be a “Telemachus.” That usage never passed into common parlance, alas, but other terms such as “protégé,” “mentoree,” and “mentee” continue to be used interchangeably. “Disciple,” perhaps fortunately, has fallen into disfavor. This chapter won’t address the semantics, but will focus instead on the concept of a senior person who not only guides a less-experienced employee through the workplace, but offers a level of protection

as well. Thus, the concept first articulated by Homer is still intact: the dyadic mentoring relationship is one in which the mentor mediates expert knowledge for the protégé, helping that which is tacit become more explicit. The mentor helps the less experienced employee develop a career, helping the younger person realize his or her potential and perhaps overcome some barriers or challenges. Fragoulis, Valkanos, and Voula (2011) also point out that in a mentoring relationship an experienced executive supports a trainee in his or her work, “providing advice, guidance, and acting as a ‘model’” (p. 109). Of particular importance to this chapter is Clawson’s understanding that mentoring “includes teaching, exceeding the transmission of knowledge and the acquisition of skills” (1985, p. 36). It includes elements of counseling within a corporate environment, but the concept of mentor as role model nevertheless suggests a long-term relationship with the protégé (Fragoulis, Valkanos, & Voula, 2011).

Mentoring, traditionally, is thus about guiding others in their personal quests for growth through learning, says Luecke (2004). Note the bifurcation here: the emphasis began to shift away from “experience” to “learning,” perhaps during the 1960s. In an expansion of Athena’s role, the contemporary mentor is seen as a trusted advisor who provides opportunities for learning whenever appropriate. Whereas in the past the initiative for employee coaching usually came from the employer while the initiative for mentoring originated from the employee, today the initiative for mentoring often comes from the individual seeking it.

There is no question that mentorship as a concept continued to expand, particularly at the outset of the 20th century, due to the effects of the Industrial Revolution and its concomitant advent of mass transportation and large corporate organizations. Clawson (1985) suggests that:

as acolytes came in contact with a wider range of “experts,” they became less willing to put all of their learning eggs in one basket and began, naturally, to learn from a variety of senior people. Mentoring began to be more partial, that is, narrower in scope, in which a protégé would learn one thing from one “mentor” and something else from another. For the most part, the phenomenon of younger learning from older persisted. (p. 6)

CURRENT CONCEPTS

While the concept of mentoring was become more specialized and more nuanced, its core purpose began to be debated repeatedly (D’Abate & Eddy, 2008; Megginson & Clutterbuck, 2013), its role vis-à-vis differences between countries and cultures explicated (Liu & Fu, 2011), and, of particular importance to this chapter, research on mentoring’s effectiveness continued.

In a phenomenological review of the mentoring literature, Roberts (2004, p. 151) notes that there are eight “attributes” associated with mentoring. He suggests that most observers agree that mentoring is

1. A systematic or universal process
2. An active relationship
3. A “helping” endeavor
4. Focused on teaching and learning
5. A practice that evokes reflection
6. Rooted in career and personal development
7. Formalized
8. A role constructed by or for a mentor. Without a protégé, there is no dyad, and thus there is no mentor.

Certainly, notions of helping, teaching and learning, and reflection all seem central to mentoring, since it is an interactive process, one that necessitates a relationship. Further, that mentors have a particular expertise is implied. Mentors are not only expected to provide expert knowledge to protégés, but they are expected to know how to share it effectively with others (Little, 1995). In that sense, there is an element of inquiry or discovery learning in mentoring: mentors may use strategies such as verbal descriptions and diagrams to help concretize or reveal expert knowledge such as why things are done in a certain way and what the relationship between parts might be. But as Billet (1994) cautions, mentors should not take an overly directive role with those being mentored; instead, they should use strategies like questioning to help relatively junior employees articulate their understanding, a process that supports the development of intersubjectivity as well as a basis for assessing progress. Emerson (2001) further points out that teacher-centered terms like *sage*, *actor*, and *pedagogue* have long been used as metaphors for the *teacher's* role: “mentoring” more appropriately shifts the focus on learning to the protégé him- or herself. But unobtrusively, the concept of mentoring as articulated at this point suggests a further formalization of the original concept, and with much more clearly defined parameters.

In addition to individual perceptions, organizations themselves consistently position mentoring as a valuable performance-enhancement strategy. The positive aspects of mentoring in career development have been publicized for several decades (Allen & Eby, 2004). Further, regardless of how mentoring programs are managed, whether formally or informally or via an “objective” mentor-protégé matching process, there's no shortage of sentiment about the efficacy of mentoring. The literature is fairly evenly divided among the value

of mentoring, the characteristics of the mentoring process, and how to launch and manage mentoring programs.

Regarding the value of mentoring, it's practically a given that whenever a literature review appears on the topic of mentoring, it will most likely be characterized in quite positive terms. It's comparatively rare that reviews of mentoring point out weaknesses or question its viability, so strong is mentoring's perceived value. How can organizations seeking low-cost, longstanding performance improvement processes argue with Gerstein's (1985) assertion that mentoring "foster(s) the development of employees, mentors pass on corporate culture, increase company loyalty, and promote organizational norms" (p. 156)? Or Zey's assertion that "mentoring is effective in increasing the productivity of workers, reducing turnover, and enhancing communication on all levels of an organization" (1985, p. 57)? Gough, further, summarized a popular understanding of the practice: "organizational leaders and association professionals endorse mentoring in creating a professional way of life" (2008, p. 831).

Regarding the characteristics of mentoring, a widely shared view among its advocates is that they tend to endorse formal programs; that is, given the perceived need to develop and maintain relationships in the organization, a formal program is regarded as necessary to allow the roles of mentor and protégé to be spelled out in a structured orientation (Greene & Peutzer, 2002). In formal programs, the matchings of mentor and protégé are made by a third party in the organization. Training is seen as critical and as preceding the mentoring process: the presence of training suggests that the organization is behind the program and is committed to its success. Participation in the program is voluntary; protégés have some say in the selection of a mentor (Allen & Eby, 2004).

A key characteristic of mentoring rests on its most-cited goal that revolves around facilitating career advancement and acquiring professional skills: mentors are seen as role models for imparting professionalism (Dimitriadis, von der Borch, Störmann, Meinel, Moder, Reincke, & Fischer, 2012). An essential element is that the relationship is based on respect (Gough, 2008), that "mentor commitment" is critical, and that "closeness, emotional support, empathy, trust, (and) mentor sensitivity" be involved (Allen, Eby, & Lentz, 2006; Shelmerdene & Louw, 2008, p. 24).

Despite the broad endorsement for formal mentoring programs, there is a concomitant sentiment in the literature in favor of informal programs: a substantial proportion of available research suggests that formal mentoring is not as effective as informal, or a relationship that takes into account interpersonal comfort between mentor and protégé. There is some advocacy of mentoring programs' being designed in a way that simulates informal, spontaneously recurring relationships. Effectiveness of mentoring still depends on subjective reports of program effectiveness by participants themselves (Allen, Eby, & Lentz, 2006).

Thus, there is a great deal of variability and subjectivity in managing programs of mentorship, and it is difficult to discern the commonalities in the literature. Huskins, Silet, Weber-Main, Begg, Fowler, Hamilton, and Fleming (2011) suggest that organizations clarify roles and responsibilities and express them in as concrete a set of terms as possible: “the (mentoring) relationship is adversely affected when . . . mentor relationships are not defined.” Moreover, research finds broad support for identifying and aligning expectations (p. 442). The literature is mixed regarding a Day One “buddy system,” but program launches invariably pair a junior person with a senior one, and not the other way around. One agreed-on component in launching mentoring is that the matches must be based on similar fields, interests, geographic location, and regular check-ins (Wunder, 2007).

The literature suggests, then, that taking into account mentoring’s perceived value, its characteristics, and guidance about launching and managing such programs, the current concept of mentoring can reasonably be summarized in these general terms: a means of engendering successful and sustainable learning and change, based on a protégé’s understanding his or her own motivations and how they impact his or her actions, and the presence of a mentor who knows and operates from the principle that every mentee is different and unique. It is important that the mentor understand how and why people behave the way they do, that is, he or she must have a working knowledge of psychology, philosophy, biology, leadership, and systems thinking (Parsloe & Leedham, 2009).

CRITICISMS OF MENTORING

More recent research, however, has begun to question the value of mentoring, illuminating instead its inefficiencies and downsides. For one thing, as d’Abate and Eddy (2008) pointed out, there’s no one agreed-on, hard definition of the mentorship concept, despite the surge in interest and research on mentoring over the last twenty years. Peters (2010) laments “the absence of a universal definition of mentoring” (p. 113). The origins of the criticisms of mentoring may well lie in how mentoring has traditionally been evaluated. Most of the literature on mentoring is qualitative: a construct as subjective as mentoring is difficult to quantify. Further, the variety of program implementations combined with unique individual differences threatens reliability. Another persistent problem in stating the value of mentoring is that, in simplest terms, it can be easily overstated. The literature regarding the value of mentoring has typically been based on observations by participants themselves, and very often promulgated on a shared, but soft, perception that it is “beneficial.” Most of the values ascribed to mentoring reveal that, for

the most part, they are not actionable: they cannot be measured precisely, and controlling for external variables is problematic. An objective reading of the favorable aspects accorded mentoring programs suggests, then, that the “results” of mentoring programs might better be regarded as “hoped-for” results. Organizations still continue to structure mentoring programs though, hoping to achieve some favorable outcome. But a lack of rigor in measuring the value of mentoring leads to mentoring programs’ not only sharing a set of somewhat soft characteristics, but inconsistent perceptions of effectiveness. The relative paucity of in-depth qualitative studies, Allen and Eby (2004) conclude, is insufficient to enact processes identified as characteristic of positive relationships.

There may be a cultural dimension as well: interestingly, most analyses of the negative results of mentoring come from outside the United States. Stoeger and Ziegler (2012) identified this key criticism: “extant research on the practice (of mentoring) presents contradictory interpretations. Accounts of highly effective mentoring programs from individual studies are contradicted by the results of meta-analyses, which have attested to the marginal efficacy of such programs” (p. 94). The OED also suggests that, as a verb, “mentor” is rarely used outside the United States.

Attempts in the literature to define the value of mentoring in quantitative terms, moreover, are decidedly mixed: Allen, Eby, and Lentz (2006) reported that there is only “some evidence that protégés in a mentoring relationship earn higher salaries and are promoted more often” (p. 132). The slight evidence suggests that the reported outcomes cannot be ascribed to mentoring alone. Roche (1979) carried out survey research of the efficacy of mentoring practices and reported of his 31 percent response rate, “I find it particularly significant” that mentored protégés earned higher salaries. The salary difference between the mentored and unmentored groups was 3 percent, however, and there was no significant difference in perquisites between mentored and unmentored protégés. Of the mentoring relationship itself, Roche reported that 50 percent of mentees were currently highly satisfied with their careers, while only “four out of ten” non-mentored employees were highly satisfied (1979, pp. 23–26). The differences are hardly compelling. In their study, Fragoulis, Valkanos, and Voula (2011) examined various aspects of mentoring programs with telling results. In response to the question in their study, “Does your participation in a mentoring process contribute to the learning opportunities provided in a protected environment, 27.9 percent of the respondents answered “extremely,” 25 percent answered “very much,” while 47.1 percent said “enough” or “a little.” The question, “Regarding the training methods and techniques a mentor uses in a mentoring process, are mentor’s initial perceptions of them transformed by his participation in the mentoring process,” 19.1 percent

of the responses were most favorable, 44.1 percent of the subjects registered the least-favorable responses. Nearly identical results were generated by the question, “Does mentoring process contribute to the best use of the company’s human resources?” (p. 113).

Focusing on these and similar studies, Allen and Eby (2004) sounded a cautionary note:

[The] little research that focuses on the relationship between formal mentoring program design characteristics and participant reports of program effectiveness . . . [is] troubling in light of the rampant proliferation of books and articles that provide prescriptive guidelines for the design and implementation of mentoring programs. (p. 126)

As recently as the spring of 2013, Ilene Gordon sounded a cautionary word to job applicants: “. . . with the people we’re hiring, we’re hiring all their mentors, too. . . . I’m not just hiring the person sitting there, I’m hiring the four people who mentored them” (*New York Times*, March 17, 2013). Implicit in her warning is a challenge to mentors, and she raises a valid question: Are mentors providing the kind of growth and development that the organization endorses?

This concern is reflected in the extensive set of cross-indexed references that amplify various passages in *The Odyssey*:

They occur as a model in the treatise On the Education of Children (transmitted among Plutarch’s writings). Its author discusses the very principle of good or bad company that influences a young person and urges parents to choose their servants carefully because children could become “contaminated by barbarians and persons of low character, and so take on some of their commonness.” . . . [T]he author specifically warns against choosing a “wine-bibber and glutton” as slave in charge of one’s son. The suitors both as represented in *The Odyssey* and as discussed by the scholia are precisely this: wine-drinkers and gluttons, . . . a potentially harmful influence. (Wissmann, 2009, pp. 419–420)

As is the case with *The Odyssey*, very little of the literature examined recently mentions the relationship the mentor has with his or her organization, similar to the relationship that Athena took on with Mentor. Athena-as-Mentor set forth an unspecific encounter, not venturing any information as to what it is that Telemachus would learn, an assessment still valid for contemporary mentoring. The vague notion that the mere company of other, especially older, persons would have an educative effect was a commonplace in Homer’s times, and still is today.

Cross and Prusak (2002) describe the unintended consequences of mentoring relationships that depend on an experienced, more senior person as mentor. One source of this issue resides in the nature of internal communication networks in organizations. Mentoring is seen as a somewhat-formalized process, but it takes

place in the milieu of informal organizational communications. Paradoxically, while managers generally support mentoring, they tend to regard informal networks as an “invisible enemy,” working around them or ignoring them. Effective mentors are typically chosen because of their deep knowledge of the organization and their network of connections. This kind of mentor is one who inhabits a role of “central connector,” linking most people in an informal network with each other. Occupants of this role may not be the formal leaders, but they can provide critical information or contacts to enable work to be accomplished. In most cases, the central connectors are not the formally designated go-to people in the unit. While their colleagues readily acknowledged the connectors’ importance in problem solving or as sources of needed information, the latter’s efforts were not recognized, let alone rewarded, by the company. As a result, a number of managers Cross and Prusak spoke with were losing heart and were planning to focus more on work that top management was inclined to reward.

In a more nefarious sense, some well-connected if not admired mentors can hoard information or, conversely, not be entirely aware of cultural norms in the organization site. While most central connectors serve the organization in a positive way, linking colleagues and increasing productivity, some end up creating bottlenecks that can hold back the informal network site. Sometimes the connectors use their roles for political or financial gain; in other cases, they are just struggling to keep up with their own work while also fulfilling their roles in the network. Whatever the reason, it is not easy for the other members of the network to supplant an ineffective central connector because he or she is often the person around whom the network first formed. There may be little incentive for anyone else to take on this time-consuming role. If a protégé were to adopt these behaviors, neither the protégé nor the organization would be well-served.

Overlooked in the literature is that a mentor is ideally positioned to inculcate his or her own biases very predictably. Susan Cain, in her 2012 book, *Quiet: The Power of Introverts in a World That Can’t Stop Talking*, speaks of the kind of person who may well be regarded as a peripheral specialist. He or she may possess a particular expertise and deep ability, but is typically sought out instead of seeking input from others. Their positioning in an informal network can be intentional: they might be loners who do not enjoy working with others or they may invest a great deal of their time maintaining their technical cutting edge. They need neither to become mentors nor be mentored themselves.

IMPLICATIONS FOR IMPLEMENTATION

We can draw some conclusions, then, from our look at mentoring from its original implementation and through its development in the 17th century, through the Industrial Revolution, and research based in the 20th

century. Mentoring places the emphasis for either learning, gaining experience, or both, directly on the individual: mentoring, thus, is very subjective. Participants in “successful” mentoring experiences generate a zealous support for the practice, and in this sense, put the protégé in a role-reversal position of giving advice for others to engage in the practice. But the lack of clear expectations for a mentorship, an emphasis on a subjective gut-feel about “goodness,” and an absence of measurable criteria raise an overweening question: Given an environment of difficult economic times and tightening budgets, does it make sense to invest in formal programs with ill-defined objectives and less-than-certain outcomes? A measured approach suggests that such a means of developing employees is not scalable, and that perhaps it is time to endorse only an intervention that is more individualized and informal. A formal structure is not needed to manage such relationships and drain dollars from diminishing budgets.

The approach toward understanding mentoring and positioning it as a viable performance improvement technique in this chapter is based on a critical, objective view of what research suggests about the efficacy of the process. There are implications for continued research, obviously, and research needs to be of a quantitative, objective nature in which external threats to validity are controlled. There’s no question that the subjective experience of mentors or protégés who’ve enjoyed a positive relationship with favorable outcomes will be biased in favor of mentorships. The danger is that a one-size-fits-all view may not really fit all. What of the protagonists who’ve endured a failed relationship? There’s a relative paucity of characteristics of a flawed relationship in the literature, and no studies regarding predictive validity of mentoring’s outcomes, whether positive or not.

The existing literature also seems not to include any stratification: students and practitioners of mentoring have no idea whether younger, or mid-life, or high-potentials, or succession candidates will profit from mentoring, nor to what degree. Expectations cannot be clearly established without these data. Return-on-investment data are inconsistent, as are the effects of mentoring on performance assessments. We still do not understand whether there is a personality type, whether based on any popular measure such as DiSC, Myers-Briggs, or FIRO-B, that would proscribe or favor mentoring. Finding an ideal “mix” of mentoring with other human resource development initiatives is still problematic.

If research were to address these questions, would an approach such as mentoring endure and have long-term effects for a latter-day Telemachus? If the concept were reduced to its rudiments, if organizations learned how to better manage the practice, and if mentor and protégé were to build a long-term relationship outside administrative strictures of note-keeping, regular progress checks, and even budgeting, then would the relationship become a real positive? Homer suggested as much nearly three millennia ago.

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Talent Management as a Strategically Aligned Practice

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This chapter forwards a taxonomy to help untangle the “knot” that seems to have emerged in modern talent management (TM) practice and literature so that HRD scholars and practitioners can most effectively align (at least some of) their work with TM processes in organizations. Specifically, I offer a way of understanding TM as a *set* of inter-related approaches all designed to accomplish the overarching goal of strategically managing and developing talent. Each approach requires a robust strategy and architecture—of which HRD is a critical part. Implications for HRD are explored.

During the past fifteen to twenty years, “talent management” has become an increasingly popular buzzword. The term talent management (TM) emerged in the late-1990s, allegedly coined by a software design firm called Softscape (as reported by Kutik, 2008). But research done by McKinsey & Company during the same time period and subsequently published in the *War for Talent* (Michaels, Handfield-Jones, & Axelrod, 2001), bolstered the term’s use and heightened the focus on this emerging concept. The literature during the past twenty years has steadily and vigorously increased. Iles, Preece, and Chuai (2010) found evidence that the number of articles focused on TM more than tripled between 2000 (360 articles) and 2008 (1,350 articles), and that was only in two primary databases they included in their review.

Vexingly, the term TM has been used in a multitude of ways, both in practice and in the literature. The Institute for Corporate Research Productivity found that over 75 percent of the organizations they surveyed did not have an agreed-on definition of TM (Galagan, 2008) and the New Talent Management Network (Effron & Wellings, 2008) showed a mixed picture of what TM comprises. There have also been many scholarly critiques of the concept that include inconsistency in how TM is conceptualized (Iles, Preece, & Chuai, 2010; Lewis & Heckman, 2006) and lack of scholarly interrogation of the concept.

The intent of this chapter is to forward a taxonomy to help untangle the “knot” that seems to have emerged in the TM literature so that HRD professionals can most effectively align (at least some of) their work with TM processes in organizations. Specifically, I offer a way of understanding the growing TM literature and explore the multiple, distinctive, and *related* ways that TM is currently being promoted by scholars in the field and implemented in organizations. The chapter concludes with a discussion and some implications for HRD.

THE CURRENT STATE OF TALENT MANAGEMENT

Indeed, it is clear that TM has manifested in organizational practice in many ways. There have been dozens of definitions forwarded (see Silzer & Dowell, 2010b, for a sampling) and many more models and frameworks offered to operationalize and detail the concept. At one level, this should not surprise us, as HRD (and its relatives such as HR, OD, OB, etc.) are fields pulled by practice; and practice shifts quickly and with the times—experimenting, innovating, and, more than most academics endorse, refashioning to symbolically (and sometimes substantively) keep up with fads or trends that seem to offer new wisdom for new challenges (Iles, Preece, & Chuai, 2010). It is the role of scholars in applied fields like ours to observe and analyze the complexity of practice to make meaning of what’s happening and, hopefully, to generate more refined ways of understanding so that practice can move forward in improved ways.

In 2006, Lewis and Heckman were two of the first scholars to strive to understand the variation in the TM concept as they analyzed the practitioner-oriented literature. They identified three different strains of TM as (1) a collection of typical human resource practices/functions; (2) a focus on talent pools or flows of employees into organizational jobs; or (3) a generic perspective that focuses on talent in general—with two subcategories identified as a focus on (a) high-potential and/or high-performing talent or (b) a talent mindset more generally. This taxonomy has been discussed (and many times affirmed) in most scholarly articles related to TM since its initial publishing. In 2009, however, an additional perspective was identified (Collings & Mellahi) that acknowledged the developing work that targets talent management investments on key positions in an organization (largely led by Boudreau & Ramstad, 2007).

One interpretation of the literature is that there are now three or four *different* versions of TM. This interpretation easily leads to frustration about the apparent lack of clarity about TM. However, this is likely overly simplistic

and ignores how these identified approaches are related. In addition, as mentioned above, there has been a significant increase in the TM literature during the past decade and the concepts related to TM have most certainly evolved. For this chapter and another forthcoming article that provides a more rigorous meta-analysis of the TM literature (Ruona, 2013a), more than fifty peer-reviewed and practitioner articles as well as dozens of books and chapters were reviewed (from the late-1990s to current). My reading of this growing literature reveals an important convergence that is important to explore.

Rather than viewing TM practice and literature as disparate, what if we looked more deeply into what is at the core of TM? What assumptions, processes, and practices do the various things called “TM” share? What is the essence of TM? When I approach the growing literature this way, a convergence emerges that is important to explore. I argue that TM is conceptually sound, both in definition and focus, and that there are a set of *inter-related approaches* that share similar characteristics and processes that are all designed to accomplish the same overarching goal.

In my view, TM is a strategically aligned practice that is fundamentally about getting the right people with the right skills in the right job at the right time. TM can be applied to different groups of employees to achieve an organization’s strategic objectives and enable the organization to meet future business needs. This focus on different groups of employees leads to four approaches that each requires a robust TM strategy and architecture (see Figure 26.1).

The literature evidences that at least these four approaches (focused on four different cadres of employees) have emerged thus far. These approaches include:

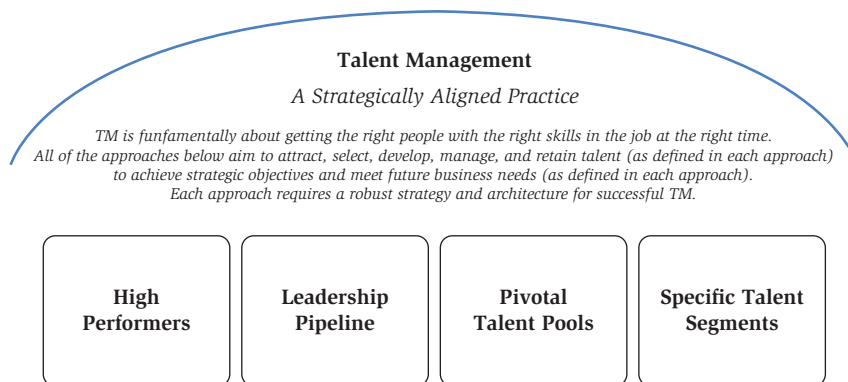


Figure 26.1 Talent Management and Its Approaches

1. *High Performers*: Focusing on the highest performing individuals in the organization so that the organization is comprised of high performers in as many roles as possible.
2. *Leadership Pipeline*: Focusing on building the “bench strength” or leadership pipeline of the organization to ensure that the organization has the leaders needed in the short- and long-term.
3. *Pivotal Talent Pools*: Focusing on “pivotal talent” (Boudreau & Ramstad, 2004, 2007), defined as pools of talent where improvements in capabilities would make the biggest impact on strategic success.
4. *Specific Talent Segments*: Talent that should be focused on more intently (than the overall workforce) to effectively address key organizational aims, values, or challenges.

Each of these approaches is a specific way that the overarching goal of TM is executed and realized in organizations and the literature today. Some organizations may only be implementing one TM approach, others may be doing more than one; but an *optimal* TM system would likely include all four approaches, as each addresses a specific type of talent needed. We hope that additional approaches will be developed as the decision science (Boudreau & Ramstad, 2004) of TM matures. TM generally and the four specific approaches that can be classified under its banner are discussed below.

TALENT MANAGEMENT: A STRATEGICALLY ALIGNED HR PRACTICE

Many have wondered whether talent management is simply a fad term—something that is not essentially different from HR (Lewis & Heckman, 2006), a rewording of what has always been (McLean, 2010), or a “management fashion” (Iles, Preece, & Chuai, 2010, p. 137). And surely there are many organizational leaders who have employed the term TM in this surface-level way simply to respond to the mounting suggestions that the term “human resources” be replaced to better position the function and overcome the baggage caused by its past deficiencies.

However, for others in the field (and increasingly over time), the adoption of TM has stimulated a deeper transformation that is firmly focused on fostering the strategic alignment and development of talent. For more than fifteen years, there have been increasing calls for HR/HRD to become a strategic partner in organizations (Gilley & Maycunich, 2000; McCracken & Wallace, 2000; Torraco & Swanson, 1995; Ulrich, 1998; Walton, 1999), paired with heightening critiques about the field’s inability to provide strategic value to organizations (Anderson, 2009;

Kaufman, 2012; Ulrich, 2007). The fields have been seriously challenged to respond in meaningful ways. However, as the discussion below reveals, TM has emerged as a very powerful response to these strategic challenges.

Silzer and Dowell (2010b) define TM as “an integrated set of processes, programs, and cultural norms in an organization designed and implemented to attract, develop, deploy, and retain talent to achieve strategic objectives and meet future business needs” (p. 18). TM is fundamentally, as the adage says, about getting the right people with the right skills in the right job at the right time—a la the popular principle asserted by Collins (2001) to “get the right people on the bus” (p. 41) and repeated by many since.

TM is *not* simply a “repackaged” or “rebranded” HR, as some have asserted, nor merely a collection of typical human resource practices/functions (one of the strains of thought identified by Lewis and Heckman in 2006). TM has evolved to be something that we should not simply use as a synonym for human resources. TM is a critical practice of HR, but there are many other practices that exist in the HR enterprise (Ulrich & Brockbank, 2005). HR exists not only “to build the talent and capabilities of the organization. . . . HR also includes driving organizational change, employee engagement, and processes and systems required to run the people side of the business” (Avedon, Cerrone, Graddick-Weir, & Silzer, 2010, pp. 712–713).

There are dozens of perspectives as to what comprises HR in organizations today. Whether you ascribe to the discipline areas outlined by the Society for Human Resource Management (2013) or the HR Profession Map outlined by the Chartered Institute of Personnel and Development (2013) or other similar models widely available, the activities generally considered a part of HR still reflect the oft-cited model offered by Patricia McLagan (1989): selection and staffing, performance management systems, human resource planning, organization job design, compensation and benefits, employee assistance, union/labor relations, human resource and information systems, training and development, organization development, and career development.

All of these traditional HR areas must be tapped to support TM, some more than others. However, TM will not likely be the *only* task of those areas, and some of these HR areas may be only tangentially involved in TM. As systems theory helps us to understand, these HR areas are the *inputs* required to do great TM. Implementing TM requires drawing from the systems, tools, processes, and interventions offered by each traditional area of HR to design and implement TM strategy, processes, programs, and cultural norms (Silzer & Dowell, 2010b). The practice of identifying, assembling, and channeling all those inputs into an integrated, coherent system focused on getting the right people with the right skills in the right job at the right time requires more than a collection of inputs!

Indeed, in 2005, Ashton and Morton defined TM as a “strategic and holistic approach to both HR and business planning” and “the integration of different initiatives, or constructs, into a coherent framework of activity” (p. 30). This is a framework that (1) is systematically aligned with the organizational strategy, (2) throughout the organization, and (3) deliberately manages all facets of talent strategically. A key goal of TM is attracting, retaining, and engaging the best employees in a more integrated and strategic way (Scullion, Collings, & Caligiuri, 2010).

Strategic Alignment

You will notice that a significant differentiator of TM is that, to be effective, it *must* begin with a clear alignment with the organization strategy. The starting place for all TM (no matter which approach is being implemented) is the strategy of the organization. The guiding question for any TM strategy is: What are the talent requirements necessary to support the organization’s strategy? or, broken down a bit further: (1) What capabilities are needed for successful achievement of the strategic goals? (Ulrich & Brockbank, 2005; Wright, Dunford, & Snell, 2001) and (2) Who (or what employee groups) are poised to contribute to that capability?

Talent Segmentation

Thus, *talent* is defined as “individuals or groups that are strategically important to the purpose and goals of the organization” (Avedon & Scholes, 2010). In the four different TM approaches introduced above and discussed in more depth below, the individuals or groups that are the focus of each approach are different because each addresses a different strategic need of importance for the organization. Thus, TM is designed to grow each of the different talent segments.

This marks yet another key characteristic that differentiates TM as a “distinct business activity” (McDonnell, 2011) from typical HR. TM calls for a differentiated approach (Becker, Huselid, & Beatty, 2009) to managing and developing an organization’s workforce portfolio—a segmentation of the workforce based on strategy and organizational imperatives. This guiding principle has surely evolved from the seminal work of Barney’s (1991) resource-based view of the firm, which called attention to how important the internal capability of the organization is as a source of competitive advantage. Lepak and Snell (1999) clearly called for differentiated investments in human capital and different employees’ practices as the more appropriate approach to be true strategic partners. More recently, we see increasing calls to apply the tools of segmentation to human resource and talent decisions (Boudreau &

Jesuthasan, 2011; Boudreau & Ramstad, 2004, 2005a, 2005b; Collings & Mellahi, 2009).

TM begins with the assumption of a differential approach for the design of HR systems—to identify *different* types of and levels of talent needed to achieve organizational strategy and to develop *different* TM approaches for each group. Fundamentally, each approach strives for the overarching goal of getting the right people with the right skills in the right job at the right time, but the focus so far has concentrated on four distinctive employee groups and/or strategic aims. Each of these four existing approaches that currently dominate the TM literature and practice is discussed below. While they are discussed in a way that reflects a chronological evolution, each TM approach is actively being practiced in organizations today.

TM APPROACH 1: FOCUS ON HIGH PERFORMERS

While the stated intent of *The War for Talent* book (Michaels, Handfield-Jones, & Axelrod, 2001) that stimulated the first surge of TM was to highlight the importance of a talent mindset, its emphasis on high-performing talent set the tone for TM's initial widespread application. This approach dominated for a large part of the early 2000s, and is still widespread, although potentially waning as it's adapted to enable other TM approaches (like those described below).

Talent differentiation, according to Michaels, Handfield-Jones, and Axelrod (2001), entailed classifying an organization's workforce into A, B, and C players. That is, in absolute terms, *A players* were the exceptional performers, *B players* were solid performers who met expectations but were not likely upwardly mobile, and *C players* are those who deliver “barely acceptable results” (p. 127). In relative terms, this was interpreted as *A players* being the best 10 to 20 percent of an organization, *B players* as the middle 60 to 70 percent, and *C players* as the bottom 10 to 20 percent. This notion of segmenting the workforce was further supported at the time by the then quite popular Jack Welch (2003), who lauded the successes of General Electric in using the “20–70–10” (or “vitality curve”) system of segmenting talent during the 1980s through the early 2000s.

In this approach, TM was exclusively focused on A players, based on the assumption that a winning strategy could be achieved if the organization could ultimately be comprised of top performers. This led to “top grading” (Smart, 1999)—filling all roles in the organization with top performers (or A players)—and the management of C players out of the organization. In 2008, McKinsey (Guthridge, Komm, & Lawson, 2008) expanded their initial

approach, which had focused exclusively on A players, and they now advocate a more inclusive approach to include B players, who they admit are “the capable, steady performers who make up the majority of any workforce” (p. 51).

TM APPROACH 2: FOCUS ON THE LEADERSHIP PIPELINE

The TM approach initially recommended in *The War for Talent* (Michaels, Handfield-Jones, & Axelrod, 2001) connected very well with the prior literature on cultivating high-potential (HiPo) talent (who by definition were high performing in their current roles). Thus, a predominant focus of the second wave of TM involved adapting this approach to embark on extensive talent inventories (typically using the A, B, C taxonomy or a “nine-box grid”) to identify high-performance/high-potential employees who would be the leaders of the organization in the short- and long-term. TM in this approach is the modern version of succession planning or ensuring the “leadership pipeline” (Charan, Drotter, & Noel, 2001; Conger & Fulmer, 2003; Martin & Schmidt, 2010) and is tightly integrated with leadership development in organizations. Leadership/high-potential initiatives are often the most highly integrated TM approach in organizations (Morton, 2004). Garavan, Carbery, and Rock (2012) report that a 2011 CIPD study found “that many organizations have adopted an exclusive approach that focuses on developing senior managers” (p. 7).

TM APPROACH 3: FOCUS ON PIVOTAL TALENT POOLS

A third approach to TM offers an alternative way to segment talent. This perspective shifts the focus from “A players to A positions” (Huselid, Beatty, & Becker, 2005) or pivotal talent pools (Boudreau & Ramstad, 2007). Collings and Mellahi (2009) fit into this approach and define strategic TM as “activities and processes that involve the systematic identification of *key positions* which differentially contribute to the organization’s sustainable competitive advantage, the development of a talent pool of high-potential and high-performing incumbents to fill these roles, and the development of a differentiated human resource architecture to facilitate filling these positions with competent incumbents and to ensure their continued commitment to the organization” (p. 304; italics added).

This approach involves the identification of and investment in talent pools that are considered pivotally important to achieving the strategic objectives of the organization. In this view, the primary focus is first on the strategy, then on what roles/job families are most pivotal to achieving the strategy, and finally, on what HR strategies are needed to optimize the performance and

retention of this group. Aligned with Boudreau and Ramstad's (2004) commitment to a decision science and an evidence-based approach (Boudreau & Jesuthasan, 2011), this segmentation is *tightly* focused on (1) a specific strategic goal (and/or metric) and (2) employee groups in which an improvement of performance would return the greatest impact on strategic success. These groups are selected based on an extensive logic-driven analysis that leads to a deep and nuanced understanding of the return on improved performance (ROIP) (Boudreau & Jesuthasan, 2011).

These pivotal positions should then be filled with the A performers (who are high performing and high potential) (Collings & Mellahi, 2009). In this way, we can see how the first TM approach (outlined above) is embedded in this one. This TM approach has also been called *Talentship* (Boudreau & Ramstad, 2007) or *strategic human capital planning* (Brush & Ruse, 2005; Ingham, 2006).

TM APPROACH 4: FOCUS ON SPECIFIC TALENT SEGMENTS

A fourth approach indicates a growing trend to extend the practice of TM wider and deeper into the organization. The main idea here is to approach the workforce as a "collection of talent segments" (Guthridge, Komm, & Lawson, 2008, p. 51) and design and implement a unique talent strategy and architecture to ensure the pipeline and performance for each segment.

This approach is different from simply improving the HR systems for everyone. It would not be practical to create large numbers of TM strategies/architectures for all employees in the organization. And this approach is also different than amplifying only one aspect of an HR system for a group of people (such as increased learning and development opportunities). Finally, it is also different from any of the other three approaches discussed above because it does *not* focus only on high performers (approach 1), high-potential leaders (approach 2), or pivotal talent, which is tightly linked to an organization's strategic intent (approach 3).

However, TM in this approach is still differentiated in that specific talent segments are identified (using a variety of analysis methods). And there is still a pressing organizational concern that drives the need to focus on a selected segment of talent. Cappelli (2008) forwards the notion that an organization would engage in TM practice with any talent segment in which there is a mismatch between supply and demand. Ultimately, there are many organizational aims or challenges that may stimulate the need for TM with a specific talent segment. This approach to TM offers the opportunity to craft a TM strategy and architecture that will illicit and motivate vital employees and behaviors for aims the organization cares about. For instance, a pressing need

to diversify the workforce may lead to a focus on specific talent segments to leverage the differences that they bring to the organization. Or an organization may be challenged with the retention of Gen X employees, an increased use of a contingent workforce, or pressure to globalize.

In this way, talent challenges are elevated to a more strategic level and treated as such by HR and organizational leaders, even if these are not specifically included in a strategic plan or tied directly to the organization's success in the marketplace, which is the level of criticality that is required of approach 3 (pivotal talent pools). And this TM approach enables HR/HRD professionals to apply TM practice to more employees throughout the organization (Guthridge, Komm, & Lawson, 2008; Young, 2006) in a way that still honors the intent of TM as a strategically aligned practice.

DISCUSSION AND IMPLICATIONS

This chapter forwarded a definition of TM as a strategically aligned practice that is fundamentally about getting the right people with the right skills in the right job at the right time. And this chapter explored four approaches to TM that exist under that umbrella (as summarized in Table 26.1). All of the approaches aim to attract, select, develop, manage, and retain talent (as defined in each approach) to achieve strategic objectives and meet future business needs (as defined in each approach). What does this mean for HRD? What are some potential implications?

TM is fundamentally about getting the right people with the right skills in the right job at the right time. All of the approaches in the table aim to attract, select, develop, manage, and retain talent (as defined in each approach) to achieve strategic objectives and meet future business needs (as defined in each approach). Each approach requires a robust strategy and architecture for successful TM.

First, it is important to recognize that the diversity of thought and perceived lack of conceptual coherence around TM threatens to make it just another fad that HR professionals naïvely adopt. The HR profession has all too often been viewed as a field that too quickly and uncritically adopts fads (Hammonds, 2005). However, rather than simply dismiss TM as just another fad, a field of practice such as HRD also needs to understand (even expect) that the practice of TM would evolve from its infancy, consciously recognize various conceptions, and explore when, why, and how they evolve to evaluate whether any or all of these approaches are excellent talent solutions we can offer organizations. This chapter has shared an analysis of the literature in hope of helping HRD professionals to recognize that TM has *great* potential to *not* be a passing fad or management fashion and, in fact, offers tremendous opportunities to deliver on the promise of a more strategically

Table 26.1 Approaches to Talent Management

| | <i>High Performers</i> | <i>Leadership Pipeline</i> | <i>Pivotal Talent Pools</i> | <i>Specific Talent Segments</i> |
|---------------------------|--|--|---|--|
| Guiding Question | Who is our organization's highest performing talent? | What leaders do we need today and in the future for our organization's success? | In what talent would improvements in capabilities make the biggest impact on our strategic success? | What talent segments should be focused on to more effectively address key organizational aims, values, or challenges? |
| Intended Employees | "A" players and "B" players (to a lesser extent) | Those identified as high-potential leaders | Those whose performance is pivotal to affect a specific strategic goal | Groups of employees identified for a specific reason (linked to a valued organizational aim) |
| Aim | Foster and reward top performers in each talent pool (and manage low performers out) so that the organization is comprised of high performers in as many roles as possible (top-grading) | Developing high-potential leaders to be ready for increasingly strategic roles—in short- and long-term | Translate organization strategy into a specific talent strategy so that the performance of the most pivotal talent pools is fostered, and thus capable of achieving organizational strategy | Apply TM practice to talent pools that the other three approaches do not focus on, but who are strategically important to the organization |

Adapted from Silzer and Dowell, 2010b.

aligned HRD and delivering on the "value proposition" (Ulrich & Brockbank, 2005) that more than forty years of theory and research enables us to do.

Second, this chapter offered a new taxonomy by which to understand the growing literature and practice of TM. Rather than the view outlined by Lewis and Heckman (2006) and others who have concurred that the TM literature

is disparate, this taxonomy elucidates the coherence and convergence that has, and likely will continue to, emerge within TM. The four approaches outlined above are not three different “beasts,” but rather simply different approaches focused on different pools of talents—each to accomplish the overarching goal of TM as a strategically aligned practice. TM is fundamentally about getting the right people with the right skills in the right job at the right time. Thus, there should *not* be one unitary approach to TM—as different talent pools and different strategic goals and organizational needs require different responses. Each approach requires a unique, robust strategy and talent architecture—an integrated set of processes, programs, and cultural norms—to be successful. Hopefully, there will be additional approaches developed as the practice of TM matures.

Third, it is imperative that HRD scholars and practitioners understand the fundamentals of TM and be more adept at recognizing which TM approaches are being discussed and implemented in organizations. Some organizational stakeholders will refer to TM as one thing, while other stakeholders mean something different. Excellent HRD professionals should *lead* the education of stakeholders to enhance their clarity of the over-arching goals and practice of TM, as well as the specifics that are unique to each of the approaches discussed in this chapter.

A fourth implication relates to how HRD is situated in organizations. Although I would likely be unable to find much direct evidence in our literature of this, I have long felt the effects of a certain resistance among HRD scholars and practitioners to be strongly associated with and considered under the umbrella of human resources. In fact, more than a few manuscripts that I have written or overseen the editing of have been critiqued for being topic matter that is outside of the purview of HRD because of a broader focus that is perceived to be within HRM. I have never quite understood this, as my personal experience of HRD and that of most of my clients and students is that HRD work is typically embedded in or deeply connected to other HR processes/functions. I was “raised” in our field based on McLagan’s (1989) conceptualization of HRD as a part of HR and with numerous related areas shared between HRD and HRM. In 2004, Sharon Gibson and I argued that “the next-generation HR was emerging as a field that uniquely combines activities and processes that have traditionally been associated with human resource management (HRM), human resource development (HRD), and organization development (OD)—three fields that ‘grew up’ distinct from each other and, in many cases, separate in their theories and practices” (Ruona & Gibson, 2004, p. 50). TM (generally and as enacted by each of the approaches reviewed here) only pushes on, and perhaps even mandates, this convergence more. It is simply no longer viable to insist that these three fields

are as distinct as they once were, and we must foster the needed synergy and more pliable boundaries between these traditionally specialized areas.

Fifth, it is increasingly important to embrace HRD's role in TM as a strategically aligned HR practice. TM introduces a new and much stronger focus on strategic talent development, which presents an amazing opportunity to increase HRD's strategic contributions in organizations. As asserted in the above discussion, each of the functions commonly associated with HR/HRD is input into a TM system. Traditional HRD interventions to develop the workforce—such as training and development, coaching, mentoring, competency development, performance management, and so forth (McLean, 2010)—are all necessary as a part of each TM approach. Scholars need to research how HRD interventions align with TM systems, when to use which interventions, and how best to implement interventions for optimal TM effectiveness. HRD practitioners should be actively looking for opportunities to move away from reactive or isolated interventions and toward contributing to strategic, systemic efforts such as TM.

Additionally, the TM approach that focuses on pivotal talent pools forwards a way of identifying and developing talent that is quite similar to, and would be greatly enhanced by, the theory and practice of performance improvement/performance consulting. Many professionals affiliated with HRD ascribe to the assumptions and beliefs of a performance paradigm and consider themselves performance improvement specialists (directly influenced by theory and research stemming from the seminal work of Thomas Gilbert). I identify as such and am actively working on bridging the work forwarded by Boudreau and Ramstad (2007) with the rich theory and practice in performance improvement (Ruona, 2013b).

Additionally, there are many things that HRD professionals (both in academia and in practice) will need to work on to most effectively contribute to TM. Garavan, Carberry, and Rock (2012) do an excellent job of outlining questions that need to be addressed related to various dimensions of TM. Just a few of these I agree are particularly in need of increased focus—both in terms of improved practice and additional research—include:

- We need to enhance our knowledge and use of developmental pathways (Gandz, 2006)—the “experiences, exposures, and challenges that talent must work through in order to emerge as talent of the future” (p. 2). Garavan, Carberry, and Rock (2012) assert that there “exists a major gap on the literature concerning these pathways and how they are designed for different categories of talent” (p. 11).
- We need to work on fostering and optimizing learning that is outside of a formal training setting. We have known for many years that much of what we learn is learned on the job (McCall, Lombardo, & Morrison, 1988)

and informally and incidentally (Marsick & Watkins, 2001). Garavan, Carbery, and Rock (2012) outline four categories of programs: formal programs, relationship-based developmental experiences, job-based developmental experiences, and informal/non-formal developmental activities. We need a much better sense of what percentage of types of learning experiences are needed (and why), and how all this aligns with developmental pathways for types of talent pools being developed.

- Furthermore, these developmental pathways need to be highly personalized/customized for individual learners who are also taking a more self-directed approach to their developmental and performance path (Garavan, Carbery, & Rock, 2012). We need better processes to assess developmental needs, better methods for developing people where they are in the way that they need, and a reconceptualization of the infrastructure to support this level of customization.

Finally, while TM presents many promising opportunities, it also carries with it many challenges. The scope of this chapter does not permit a thorough discussion of these, and most are amply discussed elsewhere (see Silzer & Dowell, 2010a). One challenge that has not been sufficiently discussed is the ethical challenges associated with TM. The focus on differentiated talent systems for specific segments of talent pools by definition excludes other employees—indeed, in an unsophisticated TM system, this could even be the majority of employees—and this most surely will affect their satisfaction/engagement (Garavan, Carbery, & Rock, 2012). And, some would argue, this also breeds an unjust and/or unethical system in organizations. Of course, this needs to be carried with us and deeply explored (see Swailes, 2013, for an excellent beginning discussion related to this). HR/HRD professionals must abide by a fundamental set of ethics and proactively deal with the many ethical challenges that TM presents. As related to this, too, the conceptualization of TM as only one of the multiple roles, responsibilities, and practices of an effective HR system is helpful. TM does *not* replace traditional HR, and each HR function remains accountable and responsible for effective and ethical employment practices.

CONCLUSION

Talent has never before been so valued in organizations, and there is mounting evidence that backs up our many years of claims that investments in talent are more than worthy. Talent management has emerged, quite simply, as an HR/HRD imperative. Retention, development, and support of key talent will continue to be a challenge as organizations strive to achieve their

strategies in increasingly volatile, uncertain, complex, and ambiguous (VUCA) conditions. Investment in talent management as a strategically aligned practice (as enacted by one or more of the approaches outlined above) fosters a talent mindset (Michaels, Handfield-Jones, & Axelrod, 2001) or “talent centrality” (Lawler, 2008) throughout the organization. Rather than just being a set of espoused beliefs, TM delivers a coherent set of approaches that are taken by organizational leaders and members to engage in real “talent stewardship” (Avedon & Scholes, 2010). As Gubman and Green (2007) describe, a pervasive talent mindset that HR/HRD professionals most long for will be a result of moving from a programmatic approach (focused on initiatives and activities) to a more systemic, integrated, and coherent TM practice that ultimately drives strategic alignment.

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PART VI



MANAGING HRD



HRD Policy

An Overview

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In a globally integrated economy, our workers will get paid a premium only if they or their firms offer a uniquely innovative product or service, which demands a skilled and creative labor force to conceive, design, market, and manufacture—and a labor force that is constantly able to keep learning. We can't go on lagging behind other major economies in every math/science/reading test and every ranking of Internet penetration and think that we're going to field a workforce able to command premium wages. Freedom, without rigor and competence, will take us only so far.

Friedman, 2006, p.33

Human resource development policy (HRDP) can be defined broadly as the policies or administrative regulations that government and firms implement to improve performance. As such, HRDP can be distinguished from more socially oriented terms such as workforce development policy (WDP), which have very diffuse outcomes. It is also distinguished from narrow terms such as human resource development or strategic human resource development, which are specifically used to encompass corporate policies designed to govern employment conditions in a specific firm. This chapter provides an introduction to HRDP for the HRD community, providing first an orientation to the divergent theoretical traditions for public policy and HRD. Second, this chapter addresses the government's role in HRD. Finally, turning to current public policy, three HRD policy domains are provided: (1) preparing the new workforce, (2) retraining workers displaced by economic change, and (3) supporting firm-based training.

Public policy researchers believe that the human resources of a nation formed the basis for the redevelopment of Europe in the post-WWII era (Arndt, 1988). Moreover, while there is considerable debate, there is a consensus

that education was important to development in East Asia in the 1970s and 1980s. In contrast, the empirical work in HRD has only recently recognized the linkage between education development and economic change. Recent work on national level HRD as well as prior work on workforce development have helped to bring HRD scholarship into the mainstream. However, theoretical work in HRD has not followed up by systematic examination of the specific intersections between government policy and firm level activity (Briggs, 1987; Wang & Swanson, 2008).

Because HRD is generally defined as a “practice-oriented theory” (Chalofsky, 2007; Jacobs, 1990; Lynham, 2000), HRD researchers frequently fail to differentiate between general research supporting the value of investments for organizational improvement and the specific policy choices that governments make to allocate resources. These specific policies governments carry out form the basis for a differentiated human resource development policy, one that attempts to impact a wide range of organizational, individual, and societal outcomes. In contrast, organizationally focused investments are narrowly intended to improve performance of a firm or agency (Swanson & Holton, 2001).

The problem with this state of knowledge is that HRD researchers are unable to understand the wide scope of government action that can impact firms. HRD researchers are generally working within a frame of reference that focuses on firm level activities, despite the theoretical literature (Swanson & Holton, 2001). Most HRD doctoral students come with practical experience as a trainer or instructional designer in a firm, and therefore are narrowly considering theories that help them understand how their specific firm—or industry—can use training to improve productivity (Barnard, 2005; Choi, 2009). This is not to dismiss the efforts that some HRD scholars have made to incorporate societal outcomes into HRD research, but the reality is that, because HRD is emphasized as part of the larger business literature, it remains difficult for HRD researchers to conceptualize studies with a broader empirical focus. The phenomena that HRD researchers elect to study are overwhelmingly focused narrowly on individual level adaptation to changes in how firms function.

This chapter is designed to fill in the gaps. It is written for the HRD professional interested in understanding the role of government in HRD. It is also intended to help policy professionals comprehend the specific frameworks and disciplinary bases that HRD professionals are operating within. Additionally, for both groups, key policy issues that governments are wrestling with are reviewed, specifically focusing on those human-capital-enhancing activities that might lead to increased productivity and economic growth.

DEFINING HRD POLICY

This section reviews public policy and HRD as fields of study and offers a framework for viewing the relationship between public policy and HRD as a field of practice.

Concepts of Public Policy

Government is defined as any agency attempting to achieve a public outcome, and it includes both government and nonprofit organizations. This excludes firms that focus on commerce as an outcome. Government comes in many forms, including federal, state, and local agencies. We often differentiate government by the relative roles of the formal administrative machinery, called the bureaucracy (e.g., agencies like the Department of Labor or the Ministry of Education), and elected officials such as state/federal representatives or the executive branch.

These two groups (bureaucracy and elected officials) differ in their relative control over the four primary functions of government. These include setting missions, developing policy, administration, and management of the agents of government. While elected officials tend to have responsibility for setting policy and the bureaucracy is responsible for the administrative functions of government, either group can perform these four functions of government.

Public policy is generally defined as “whatever governments choose to do or not to do” (Dye, 1987, p. 1). Another way of stating this is that public policy is purposeful courses of action (or what governments purposefully do not do) (Anderson, 2000; Howlett & Ramesh, 1995). It is important to note that policies are directed at goals, not simply routine actions of government such as issuing boating licenses. Policies are intended to be coherent responses to a problem or issue in society. From an HRD perspective, one potential problem that needs addressing is a lack of skilled workers. Another HRD policy might be immigration of skilled workers.

Two features here are important to note. First, public policy includes laws or administrative procedures that are intentionally derived, as well as those that government elects not to regulate or elect laws to cover. For example, government dictates that employers must provide family and medical leave to workers in the private sector, but only applies that law to those with over fifty employees. For employers with fewer than fifty employees, public policy governing family leave simply is left to the discretion of the firm.¹ Therefore, while government is requiring firms to follow policies if they employ at least fifty workers, there is no policy covering family leave for firms with fewer than fifty workers.

¹The Family and Medical Leave Act of 1993 (Public Law 103-3).

Public policies themselves are often differentiated into categories, such as “active labor market policies” or “education” policies—designed to achieve a societal outcome (more in next section). We often talk about general typologies for defining or categorizing public policies, including: (1) substantive or procedural policies, (2) distributive or regulatory policies, (3) material or symbolic policies, and (4) policies that provide collective or private gain.

These are not mutually exclusive definitions for public policies, and policies that are important substantively, such as the Workforce Investment Act or Welfare/TANF policies that provide specific benefits to individuals to reenter the workforce, can also provide public goods that enable it to be classified as collective good. Moreover, policies that offer material benefits (e.g., have important resources or powers attached to them) can have important private and collective impacts. We pay taxes that help us as individuals (e.g., it is a material policy), but we also benefit as a society from the redistribution of those tax dollars to federal expenses on defense or education.

Tracing the Different Views of HRD: What This Means for Policy

HRD is defined as an interdisciplinary area of inquiry (Jacobs, 1990; Swanson & Holton, 2001) that usually includes three areas of practice: (1) training and employee development, (2) organization development, and (3) career development. This three-legged version of HRD is often debated as emerging from either systems theory or adult education, with the differing focus on organizational outcomes and individual development. It is worth noting that some experts reject the need to define HRD (Lee, 2001).

Individuals who argue for HRD based on a background in adult education frequently stress the learning and change workers go through in an organizational context (Chalofsky, 2007). This perspective generally emphasizes programs and organizational activities that are specifically designed to engage learners through a variety of forums, including formal activities such as management development as well as informal learning. Increasingly, HRD scholars are turning to improving practice in areas such as coaching or mentoring, tools that straddle the organization development and training divide. In short, if you adopt an HRD learning viewpoint, the move toward a knowledge-based economy requires a greater reliance on flexible learning that values the perspective of the individual.

Scholars who emphasize systems thinking focus on HRD as a set of tools to improve organizational performance. Going as far back as World War I, we

had practitioners building the tools for documenting work performance and carrying out training (Dooley, 2001; Dorn, 2007; Jacobs, 2000). The Training Within Industries program used a model that Jacobs has expanded upon to build the Structured on-the-Job Training (SOJT) model (Jacobs & Jones, 1995). The SOJT model emphasizes the preparation of skilled workers using knowledge of the tasks that a specific job requires. It is important to note that the theoretical basis for this focuses on the larger systems surrounding business, hence the emphasis this branch of HRD theorists place on systems theory (Jacobs, 1990; Lynham, 2000).

This view of HRD—as either focused on learning and growth or focused on performance and profit—is interesting from a policy viewpoint. Public policies can focus on both diffuse objectives, think of symbolic policies such as flag burning, as well as focused outcomes like poverty reduction or gross national product. In other words, laws banning or allowing flag burning are important because of their symbolic nature; they do not impact day-to-day administration. In contrast, policies like minimum wage laws are important for virtually everyone in the country because they influence the wages we all earn.

From a policy viewpoint, therefore, the distinction that HRD professionals draw between fields that study how to improve learning for individuals or financial and system performance are not very useful. Firms, like governments, have an interest in the process of learning and the financial or performance outcomes. It is not enough as firms to simply ensure workers are learning; without enough of the right skills (e.g., performance), work products will decline and individual firms will be unable to sell goods and services.

Strategic HRD is similar to evidence-based policies in the strategic HRD literature; HRD needs to ensure it is developing competitive advantage. HRD must make long-term contributions to business success if HRD is to be supported by chief executives (Garavan, 2007; Garavan, Costine, & Heraty, 1995). Similarly, in the view of policy that is currently in ascendance, policies are subjected to an empirical test. Policies that are viewed as successful are those that can be documented and studied to produce measurable gains in some social outcome, such as educated workers or reduced need for social subsidies (Murnane & Willett, 2011).

Firms or organizations are not simply little governments. Organizations operate to produce profit for the shareholders, while governments exist to improve the well-being of all citizens. The field of organization studies, which has been active in the public administration literature for decades, provides a strong basis, as organizational behavior research does in HRD (Smith & Frederickson, 2003).

Public policy scholars (like HRD itself) see the field as a practical area of work. Theory for public policy, therefore, is developed to improve the conduct

of government and enables the fashioning of better public policies. There is a branch of public administration focused on improving public management that has very strong parallels to human resource or HRD management/administration (Meier, 2009; Raadschelders, 2011).

Defining the Intersections Between HRD and Policy

In conclusion, HRD and Public Policy theory share a similar focus on the practical work of both government and business. Both require a mix of theories to study a range of different fields of practice. While the study of government has been around for a few more centuries, the reality is that, from a theoretical standpoint, any discipline requires thinking through a core set of issues. Therefore, both fields struggle with definition and offer alternative paradigms for studying the relationship between organizational dimensions and business or societal outcomes.

WHAT IS GOVERNMENT'S ROLE IN PROMOTING HRD OUTCOMES?

There is a generally accepted view of government in education, but we lack a similar consensus in training or HRD, more broadly. Documents from the post-WWII era, including seminal studies in economic theory, led to the widely held view that investment in education (particularly compulsory schooling) would lead to high-quality labor (Mincer, 1974; Schultz, 1963). Driven as much by the need to rebuild Europe in the post-WWII era as by beliefs in the importance of education, an international belief was developed that led to the formulation of an orthodox view of educational investments (Briggs, 1987; Dorn, 2007).

However, the old education consensus, where elementary and secondary education was enshrined as the only way to economic prosperity, has been dethroned. In the New Education Consensus, a different educational level, higher education generally, and science, technology, engineering, and mathematics (STEM) specifically, is seen as the most important tool for national development.

The key claims in this new orthodoxy are as follows:

1. Primary and secondary education must focus on developing strong science and math skills for all youth.
2. All workers need some amount of higher education.
3. There are shortfalls of skilled workers in science and math in particular, and projections show growing shortages over time.
4. Government has a limited role in assisting firms in improving performance.

Investments in Compulsory Education Are Only Part of the Problem

The first claim, that primary and secondary education needs to emphasize science and math, is largely driven by league tables or other tools that compare countries against each other, such as the International Science and Math tests. The TIMSS assessments are used by virtually every country to argue that students are not doing well enough and compare poorly against everyone. Based on recent (2012, 2008) reports, we assume that Singapore, Finland, Korea, and a few other nations are best poised to make scientific discoveries simply because they have higher scores in science or math (TIMSS & PIRLS International Study Center, 2012).

It is amazing that relatively small and/or homogenous nations such as Finland and Singapore are seen as the models on which all other countries should revise their education systems. The following title in *The Australian* was a page one headline: “Doesn’t add up: Borat kids beat Aussies.” This byline sums up the incredulous Australian reaction: How come we can perform lower than a central Asian republic? (Ferrari, 2008). A second example comes from Malaysia, where the *New Straits Times* declared the English mode of instruction a failure because Malaysia had dropped from tenth to twentieth in terms of science and math performance on the 2008 TIMSS tests (*New Straits Times*, 2009). Many nations, including Singapore and Canada, offered more positive assessments largely based on the fact that their students had outperformed fourth or eighth graders in other nations.

There are clear logical reasons to doubt this single-minded assessment that just because a nation’s math or science scores are low it implies a poorly performing future workforce. The first criticism is that eighth graders have a long way to go before they graduate from high school or college and contribute to the development of the new economy. Given that active labor market participation is now often in the late twenties, current performance of thirteen-year-olds will take some time to pay off for countries (Lloyd, 2005).

Moreover, strong compulsory education is only part of the solution. Even if scores are higher in Singapore or Kazakhstan, this doesn’t imply that the country has the infrastructure and spending to compete with the United States or Australia. The UNESCO Science Report issued in 2010 provides ample evidence to support the contention that, despite a more level education playing field, the big countries, such as the United States, the UK, Japan, and Germany, will continue to make the lion’s share of scientific discoveries. The theory of comparative advantage allows countries (or regions) to specialize, but all economic development requires substantial investment (UNESCO, 2010).

All Workers Need Higher Education

There is a belief that all workers need higher education to be successful. The following quote was in The World Bank report on higher education in 2000:

Today, more than ever before in human history, the wealth—or poverty—of nations depends on the quality of higher education. Those with a larger repertoire of skills and a greater capacity for learning can look forward to lifetimes of unprecedented economic fulfillment. But in the coming decades the poorly educated face little better than the dreary prospects of lives of quiet desperation.

Malcolm Gillis, President of Rice University, 12 February 1999 (The World Bank, 2000, p. 15)

The World Bank report reminds us that the current epoch requires high-quality human capital, and that higher education has a major role in producing this labor force (The World Bank, 2012). Nations have responded with increased effort. The “gross enrollment rates” for many countries in higher education in East Asia are approaching universal access, as the private sector expanded to increase enrollments. Scholars do not dispute the importance of higher education to development and support the importance of higher education for development of civic values.

However, this “college for all” belief has been identified as a major symptom of the “new education consensus” (Grubb & Lazerson, 2004; Rosenbaum, 2002). The massification of higher education is responsible for some of this increased faith in higher education. Logically, as countries have chosen to develop higher education systems that are open to a much wider range of high school graduates, many more students have entered higher education. This leads to an increase in the range of students who attend university, widening the ability gaps in schooling and increasing the need to open new majors to meet the needs of these students. Private higher education also gets a boost from massification, as states need to open the competition to private providers to meet the increased demand they have encouraged (Albach, 2006). This assertion is based on an extension of the logical belief that, because higher education pays off in terms of increased pay, all workers need some form of higher education. A recent OECD report stresses the likelihood that individuals will decide that higher education is the most important way to improve individual outcomes (OECD, 2009).

This reality is in many ways more nuanced. Workers with higher education do indeed have higher average wages than secondary school completers. However, simply basing national policy on the average wages ignores the social cost that increased access to higher education places on countries and families. Moreover, what countries include in higher education has changed, as nations (or private institutions) offer a greater proportion of training in cheaper subjects such as business and fewer degrees in science or health care (Albach, 2006).

The massive expansion in Chinese higher education has shown the continuing tradeoff between increasing access and reductions in higher education benefits for individuals. Chinese graduates face lower wages for jobs because so many more have completed higher education (Bradsher, 2013).

Increasing access to higher education has other pernicious impacts, some of which have become very clear in the current worldwide economic recession. First, we learn that new graduates have a very hard time getting work in countries that have expanded higher education most quickly. For example, in South Korea and China there are broad fears and youth unemployment is dramatically changing the career paths for recent college graduates. Second, youth have elected to favor subjects outside of science and engineering, leaving many mismatches in terms of the supply of labor. Finally, expanding higher education access has diverted resources that could be spent on adult education or vocational training, both of which only seem to get attention in an economic decline, when the economy creates more unemployed adults.

Shortfalls in Science and Math Educated Workers

The core assertion, that national development requires a stronger emphasis on science and engineering, math and technology is generally accepted. This follows from the general increase in the importance of human capital to work (The World Bank, 2000). Symptoms of this generalized shortage are visible in many nations. In the U.S. the annual argument over the H1B visas invariably leads to commentary on the shortages of skilled workers. Korea now has a new science policy in order to increase the supply of workers with science and engineering in higher education.

The problem with statements that there are shortages of skilled workers is that employment needs shift all the time. In other words, a mismatch (shortage) in a growing economy can turn into an oversupply in a down economy. In testimony for the U.S. House of Representatives, Dr. H. Salzman states that in the U.S. “plenty of STEM students have been graduating relative to employment growth in STEM occupations” (Salzman, 2007, p. 9). In the twenty-seven-member EU nations, although the labor force in science has grown, it remains concentrated in France, Germany, and the UK. Moreover, growth in the EU still leaves the member states with fewer overall researchers in science and a lower percentage than the U.S. or Japan (European Commission, 2008). Smaller nations, such as South Korea, face more daunting challenges as they attempt to maintain employment and convince a greater percentage of youth to enroll in science careers.

Government Has a Limited Role in Assisting Firms in Improving Performance

The logic in the previous subsections provides for a very limited role for government in relation to HRD specifically. Government action is driven more generally by a belief that investments in basic and higher education are necessary to improve the general preparation of individuals, not the specific preparation of trained workers for industry. This has always been a tension in education policy more generally, at least going back to the impassioned debate between Dewey and the progressives versus the industrial and vocational education lobby in the 1910s (Dorn, 2007; Kincheloe, 1999).

Within this view, there is no ongoing role for government in key HRD areas, such as firm-based training. Firm-specific training support is limited to work through higher education policies to support individuals finishing degrees that are in high demand. There is a role for government in career development, insofar as this is directed at students coming out of school or the unemployed. The ONET (Occupational Information Network) run by the Department of Labor is an example of the kind of core support the government can provide. ONET is an online system that details occupational information employers and job seekers need. It provides detailed assistance for individuals attempting to identify an occupation for training. There is virtually no access to organization development assistance from the federal government.

Support by state, regional, and local government for business is often more extensive than that provided by the federal agents. In particular, the state-level support for firm specific training through state-sponsored employment training agencies is extensive—although it has eroded significantly during the past recession. In 2002 (the last year for which we have a federal report covering this sector) twenty-three states spent \$278 million subsidizing employer-sponsored training (GAO, 2004). California's Employment and Training Panel (ETP) is the single largest program, and in 2009 and 2010 spent \$36 million on new training (Employment Training Panel, 2010).

Local and regional government also support economic development more generally, often resulting in expenditures for training on firms. This activity is highly varied across jurisdictional boundaries and remains largely understudied as a part of workforce development (Giloith, 2004).

KEY TRENDS IN HRD POLICY

Given the differences in focus between HRD and public policy as areas of study (and practice), there remain important similarities in the kinds of policies that firms and government agree are important to address. The concluding

section reviews three key public policy domains, reviewing the potential common efforts that can be expanded in this area.

Preparing the New Workforce

In a 2009 paper, I pointed out that one of the primary foci government and business agree upon is the preparation of a new workforce (Jacobs & Hawley, 2009). While business and government agree that compulsory education is a necessary requirement for work, there remain significant differences in post-secondary education that are emphasized as human resource development policies or government programs.

Many of the businesses are concerned in particular with entry-level technical workers, skilled tradespeople, or highly educated workers needed for science. The NAM-sponsored 2011 Skills Gap report stressed that manufacturers have the most difficult time filling jobs that are skilled and focused on production (Deloitte & Manufacturing Institute, 2011). There was little focus on entry-level workers or individuals with extensive education. The gap, according to manufacturers, might be understood in the competency framework to be the “highly skilled” or “master” workers. Each industry or occupation has a similar narrow interest in expanding the pool of highly skilled workers with substantial training. Some industries require individuals with higher education (such as health care), while in other industries this might mean an associate’s degree.

While the federal government shares an interest in developing programs for skilled trades through vocational or technical education and apprenticeship training, there is a lot of current interest in entry-level technical workers for sectors such as health care, green jobs, or the computer industry. While businesses continue to stress that there are shortages of workers for jobs in specific industries, government’s emphasis is on preparation for general careers.

Retraining Workers Displaced by Economic Change

The economic disruption in recent years has created a pool of underemployed workers, both experienced and new, requiring substantial assistance from the government. While unemployment assistance has helped workers mitigate the worst aspect of being let go from a job, the reality is that only a fraction (maybe 7 percent, according to surveys) have made a full recovery in terms of wages. Many of the unemployed, perhaps 35 percent, were considered “devastated” or “totally wrecked”—suffering a major decline in lifestyle that was temporary or permanent (Zukin, Horn, & Stone, 2011). Recent high school graduates, additionally, face extensive barriers to entering the workforce (Van Horn, Zukin, Szeltner, & Stone, 2012). Only three out of ten high school graduates from between 2006 and 2008 were employed full-time, and about one-third were unemployed.

Business does not consider the unemployed or underemployed to be part of their problem, in general. However, the efforts that firms make, particularly in the local markets where they recruit new workers, can have a major impact on the recruitment and retention of workers displaced by the economic crisis. For example, efforts made by firms to hire unemployed military veterans, or participation in local job fairs, are targeted efforts that companies will make to recruit needed skilled workers. The federal government does support efforts to hire displaced military veterans through tax credits.

Supporting Firm-Based Training

As described above, the most direct effort government makes in human resource development policy is the support of training through state-sponsored employment and training programs. The money that individual states spend averaged about \$278 million across twenty-three states in 2002, the last year for which we have comprehensive data. Moreover, as local and regional governments struggled to maintain economic growth in recent years, there has been a huge expansion of the use of tax subsidies for firms willing to relocate and set up businesses in a specific geographic area.

CONCLUSION

Human resource development policy (HRDP) focuses on training or other human capital enhancing interventions that can improve business performance. At the narrowest point, HRDP can be focused on specific interventions designed to improve business performance. However, there is very little government spending on business improvement through training, and even less through related areas such as career development or organization development. In contrast, government has focused its efforts on elementary and secondary education. In the New Education Consensus, higher education generally, and STEM specifically, are seen as the most important tools for national development.

The differences in emphasis between government and business do change with the economy; particularly as workers become scarce, firms and governments have a greater alignment of interest. In the present U.S. context, the research workforce and (to a certain extent) trade or skilled workers bring the two closer together. The STEM workers are viewed as in shortage, and while these shortages are hard to agree on, there is a lot of shared enthusiasm among business and government for recruiting and training workers in these areas. It is interesting to note that, while government wants to increase the supply of skilled workers in these areas, the policy tools (e.g., the HRDPs) are often still focused on the displaced or the disadvantaged. In other words,

while government espouses the need to retrain and place highly skilled workers, the emphasis overall is still on the historically disadvantaged.

Going forward, the HRD community needs to understand the limitations of their own understanding of public policy generally, and specifically of the theoretical basis of policy sciences.

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Legal Aspects of HRD¹

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The purpose of this chapter is to present a legal framework for the HRD function by providing a systematic framework of the full range of legal issues impacting HRD; such a framework is shown in Figure 28.1. An abstract of the issues, the risks associated with each, and practice guidelines are provided in Table 28.1. While this chapter focuses on the legal framework in the United States, the underlying model for this review might act as a guide in other national contexts. The chapter will examine the more core legal issues, with the remaining issues addressed in the online supplement.

By statute, regulation, and/or ruling, enforceable obligations may be placed on an organization's HRD function; failure to comply with those obligations can create risk of legal action. As shown in Figure 28.1, HRD's legal framework may be grouped into three main components: the administration of the HRD function, elements of the HRD production function, and the treatment of participants.²

¹This chapter is an abridged and updated version of Clardy, 2003a, 2003b.

²To my knowledge, no law mandates organization development as a procedure or technique independently of training issues; career development issues would be subsumed under training guidelines. In mid-2012, key word searches for "organization development" in the Lexis Nexis legal database produced no meaningful hits about laws, regulations, or court cases. During the summer of 2012, inquiries through the Organization Development Network listserv trolling for any member knowledge of OD-related laws or cases produced no response. Instead, statutes and regulations in the HRD domain invariably focus on training, and court cases turn on the issues of training provided. Thus, while attentive to the broader applications of HRD, this review of the legal HRD framework almost invariably defaults into training-related issues.

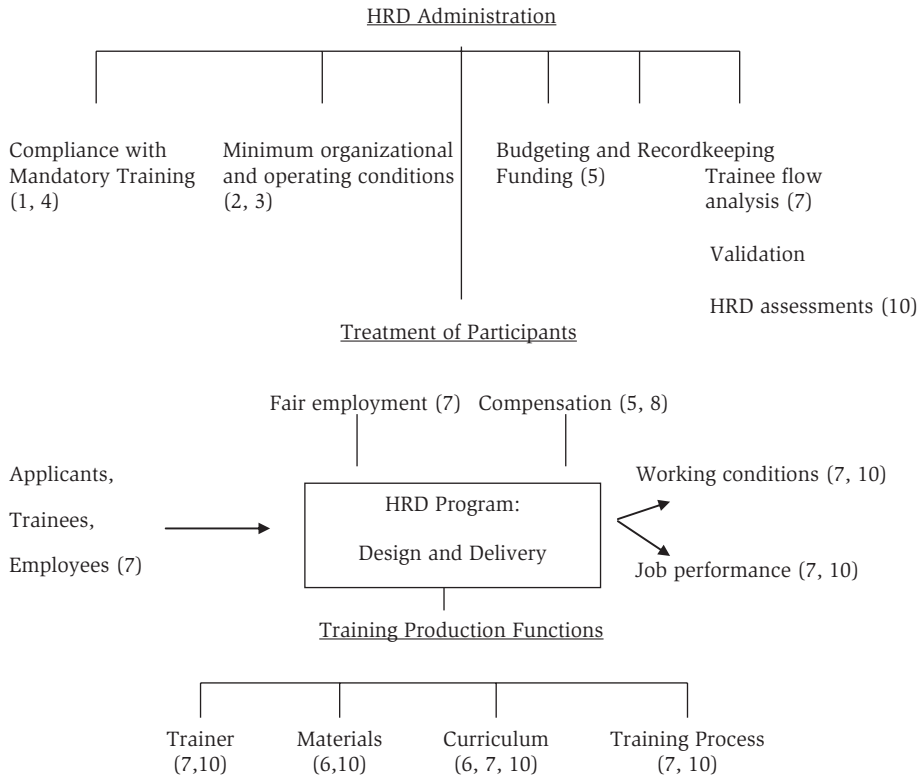


Figure 28.1 Modeling the Legal Framework of HRD

Note: Likely attendant risks are identified in parentheses.

Table 28.1 The Components of the Legal Framework of HRD

| <i>Legal Component</i> | <i>Risk</i> | <i>Practice Guidelines</i> |
|--|--|--|
| I. Mandatory Training: federal, state occupational, industry | Failure to provide required training invites punishments in fines, penalties, losses, etc. | Know of all required training and make sure it is provided as required |
| II. Minimum operating conditions: phones, privacy | Overhearing private communications Comments made during training used against employer | Provide adequate notifications about privacy |

(Continued)

Table 28.1 (Continued)

| <i>Legal Component</i> | <i>Risk</i> | <i>Practice Guidelines</i> |
|---|--|--|
| III. Minimum organization and structure: apprenticeship training vocational “schools” | Apprenticeship program not certified “Trainees” are really employees and must be paid accordingly | Structure programs to meet minimum requirements |
| IV. Training for legal “credit”: sexual harassment, ethics | Absence of meaningful training eliminates potential defense | Provide meaningful training in sexual harassment and ethics |
| V. Budgeting and funding: in-house HRD educational assistance | Expenditures on training are disallowed and carry tax implications for organization or employees | Rules and procedures should comply with tax code |
| VI. Training materials: A. Instructional and learning materials and supports B. Ownership | Violating intellectual property rights Not securing appropriate ownership of produced materials | Obtain permissions to use copyrighted materials Make sure development contracts are properly worded |
| VII. Fair employment A. Trainee flow in admissions, processing, and completion B. Curricular compliance with other laws (Denny’s) C. Accommodating trainees D. Non-traditional curriculum | A. Illegal discriminatory treatment of participants B. Teaching violations of other laws C. Discriminatory treatment of individuals with disabilities D. Religious discrimination | Monitor trainee flow for adverse impact Admission, continuance, and graduation standards should be job-related Validate training content and procedures (testing) Provide reasonable accommodation Offer alternatives to potentially discriminatory training without prejudice |
| VIII. Compensation A. Proper payment B. Recovery | Violating minimum wage and overtime rules Restraint of trade | Pay non-exempts for required training time Construct training cost recovery agreements carefully |

| <i>Legal Component</i> | <i>Risk</i> | <i>Practice Guidelines</i> |
|--------------------------|--|--|
| IX. Benefits | Providing improper pension investment advice | Follow “safe harbor” rules |
| X. Negligence | No or poorly conducted | Provide training to address |
| A. Workers’ compensation | training is cause of injury to employees or others | risks in work or in terms of duty owed |
| B. Negligent training | Training does not meet | Follow accepted |
| C. Malpractice | accepted standards in | procedures in design and |
| D. Due diligence | development or delivery | development Examine |
| | HRD issues in merger or | culture integration and |
| | acquisition not addressed | HRD issues in proposed |
| | | mergers |

ADMINISTRATION OF THE HRD FUNCTION

Training Mandated Directly by Statute or Regulation

Federal laws or regulations may require private employers to provide some training to their employees (Guein & DelPo, 2011). These statutory and regulatory obligations occur in a variety of venues. For example, the Drug-Free Workplace Act covers some primary contractors who do \$100,000 or more in business with the federal government or all entities receiving federal grants. These contractors and covered entities must certify that they maintain a drug-free workplace by, in part, educating their employees about policies and consequences of unlawful drug use, the dangers of drug abuse, and other features of a drug-free awareness program (Kahn, Brown, Zepke, & Lanzarone, 1996; Ledvinka & Scarpello, 1992). The Federal Motor Carrier Safety Regulation (Prevention of prohibited drug use, 1999) requires employees in safety-sensitive functions (such as vehicle operators and security personnel who carry firearms) to receive at least one hour of training on substance abuse effects and consequences; their supervisors must receive up to two hours of training in spotting substance abuse and in working with troubled employees.

The general duty clause of the Occupational Safety and Health Act of 1970 obligates employers to provide a safe and healthy workplace. While not mandating specific training, employers must comply with standards and regulations developed to implement the provisions of this Act. According to OSHA Training Requirements (OSHA, 1992), more than one hundred safety standards have been established which have training requirements. Some of these standards, covering topics like fire and disaster plans, personal protective gear (such as for hearing protection), and first aid, apply to most any

employer. Perhaps the best known safety training requirement occurs through the Hazardous Chemicals Communications (“HazCom”) standards. Under HazCom, employers must inform employees about any hazardous chemicals in the workplace and train and prepare them in how to handle the chemicals appropriately (Hazardous communications, n.d.). Safety training may be mandated by state laws and regulation, too. California requires employers with twenty or more employees in high hazard industries to establish and provide an injury prevention program that includes an “occupational health and safety training program” (Workplace Safety, 1999).

State-level laws and regulations mandating training can also be seen in the area of sexual harassment. Even though training in sexual harassment is not required either by federal law or regulation, several states have enacted laws that do require some form of sexual harassment training. For example, state agencies in Illinois are required to carry out training programs on sexual harassment (Employment, 1999). Similar laws apply to private employers. Maine, for example, requires that employers with fifteen or more employees “conduct an educational and training program for all new employees within one year of commencement of employment” (Sexual harassment, 2001, Title 26, Chapter 7, Subchapter IV-B). Further, management and supervisory personnel must also be given training in their specific obligations in preventing sexual harassment within one year of appointment.

Federal statutes may also require training for personnel in certain occupations. The Federal Aviation Administration (FAA) is authorized to establish minimum training and retraining standards for various air carrier personnel, including flight instructors, pilots, flight engineers, and flight attendants, among others (Air carriers operating requirements, 2000). Further, there are regulations that also require “crew resource management” (CRM) training (Driskell & Adams, 1992). In effect, regulations mandate the training of teams over and above the skills training required to do their individual jobs. Other examples of HRD mandates by state or local statutes include occupational training requirements for police, firefighters, and school personnel.

Training as a Defense to Claims of Unfair Treatment

Training may serve as a defense against charges of unfair employer treatment, discrimination, and harassment (Bison-Rapp, 2001). The use of training as an affirmative defense took shape in two cases of *Faragher v. City of Boca Raton* (1998) and *Burlington Industries, Inc. v. Ellerth* (1998), where the U.S. Supreme Court rulings elevated the role of training in providing a defense to employer liability from claims of sexual harassment. In both cases, female employees (Faragher as a lifeguard, Ellerth as a sales representative) claimed sexual harassment on the job by their supervisors, and while employment threats were made,

they were not carried out and neither employee received any adverse employment consequences. Both quit their jobs but without taking advantage of the internal complaint resolution procedures in place at their respective employers. In situations in which the employee does not suffer any adverse employment consequences, the Court ruled that employers may mount an affirmative defense to charges of discrimination if two conditions are met: the employer exercised reasonable care in preventing and correcting harassing behavior, and the plaintiff employee failed to take advantage of available remedies.

At issue was the question of what defines reasonable care. The 1999 ruling by the Supreme Court in *Kolstad v. the American Dental Association* (ADA) (1999) provided an answer. Carole Kolstad worked as a lobbyist for the ADA's office but was denied promotion to the director's position in favor of a male co-worker. She alleged sex discrimination and sought punitive damages. The Supreme Court ruled that an employer's good faith efforts to comply with the law counted, but that it took more than policy to establish good faith compliance (Valenza, 1999). Indeed, recent EEOC's *Enforcement Guidance* (1999) strongly advocated training (of both management and supervisory personnel as well as all employees) as an important indicator of an employer's reasonable care.

Negligence and the Common Law Duty to Train

Even without statutory or regulatory mandates for HRD programs, employers may still face legal risk under various tort theories of a duty to train and/or training negligence (Eyres, 1996). Tort law covers "a body of rights, obligations, and remedies that is applied by courts in civil proceedings to provide relief for persons who have suffered harm from the wrongful acts of others" (Tort law, 1988, p. 99). Three elements are essential to constitute any tortuous act. First, the injured party (the plaintiff) must establish that the defendant was under a legal duty to act in a particular fashion. Second, the plaintiff must show that the defendant breached this duty in either the omission or commission of an action, which was the proximate cause of the injury. Third, the plaintiff must demonstrate that s/he suffered loss as a direct result of this breach. Torts may occur intentionally, through strict liability (no-fault), or through negligence. When people suffer harm or injury from the actions of an employer or its agents, the cause for action by an injured party could be the employer's negligence or failure in training its employees.

Negligence and Employee Training

Negligence in HRD can occur in three ways. First, HRD programs may be conducted in such a manner as to create either physical or psychological harm and injury to participating employees. Second, non-employees, such as customers, suppliers, or others, may charge an employer with negligent training

if its employees did not demonstrate a reasonable level of due care in meeting a duty to others (Walsh, 2013). For negligence to be found, though, the duty of due care should be well established either by law, contract, or custom (Eyres & Moreland, 1994). Thus, cases of negligence in training are most easily found in municipal public service, especially in police settings, where legal standards (from the U.S. Constitution) establish a level of due care for police as agents of the State. That is, police officers have a legal duty to treat citizens in certain ways that in turn implies that police organizations have a duty to train their employees. Failure to provide adequate training could be interpreted as negligence by the organization.

The guidelines for determining negligence in failure of training were clarified in *The City of Canton v. Harris* (1988). After her arrest, Harris fell down incoherent several times while in jail, but was not given medical assistance; she sued the City of Canton for negligence in not properly training its jail staff. In rejecting her suit, the Supreme Court concluded that high standards must be breached in order to find a municipality guilty of failure to train. These standards rise above a contention that the police might have been badly trained; rather, the standards imply that the municipality followed an intentional policy not to train its officers in tasks for which it was likely constitutional rights could be violated. Specifically, for negligence in training to be found, these conditions must be met: (1) the failure to train is a deliberate indifference to the constitutional rights of persons with whom its agents (here, jail guards) come into contact; (2) the failure must be due to a deliberate policy or custom; (3) the lack of training is related to the tasks the employee must perform; and (4) the lack of training must be related to the ultimate injury.

Can these standards be applied to private employers? That is, can a duty arise for a “reasonable, prudent” employer to train its employees, apart from any mandated or legislated requirement? If a reasonable duty to train employees were found to exist, failure to perform that duty could signal negligence on the employer’s part. There are precedents in this matter, as seen, for example, in the case of *Mathis v. Phillips Chevrolet, Inc.* (2001). Mathis (an African American over forty years old but with considerable car sales experience) applied for but was not hired to a sales job at Phillips Chevrolet, even though seven white males under forty were. The jury found Phillips Chevrolet guilty of willful violations of the Age Discrimination in Employment Act (ADEA). Under the ADEA, violations of the law can be considered “willful” if an employer shows a reckless disregard for complying with the law. In effect, the dealership’s negligence in failing to train its managerial and hiring staff was aggravated enough to amount to reckless indifference.

The third way by which negligence in HRD can occur is by malpractice or professional misconduct, when the performance of his or her HRD duties would reveal an unreasonable lack of skills, lack of good faith, or proper ethical

or legal conduct (Malpractice, 1998). In a professional's domain of practice, some standard of performance and care is expected. This standard is defined by the profession as the acceptable level, form, and/or technique of conduct that a competent professional should demonstrate in responding to the client's presenting and underlying problem. Malpractice is a deviation from accepted professional conduct and is the proximate cause of harm to a recipient.

If professional standards exist, two questions remain. First, was the proper procedure followed by the professional? Second, did the professional execute the procedure acceptably well? Even though malpractice seems primarily applied to doctors and lawyers, malpractice suits against managers and educators are not unknown, and the potential for malpractice against HRD practitioners is possible. However, without clear standards of professionally acceptable conduct governing a field of practice, malpractice claims are less tenable.

Recovering Training Costs

Some employers may wish to recover the costs of training from employees who leave. This procedure would be established by pre-employment contracts that include a repayment agreement in which an employee who leaves during some initial period of employment would be obligated to repay the employer for some portion of the training costs incurred by the employer (Long, 2005; Von Bergen & Mawer, 2007). Such contracts have been subject to considerable dispute in the courts and in the law journals. At this point, several legal issues need to be considered (Bishara, 2006). First, while not prohibited by the FLSA, state statutes governing payroll may limit what deductions may be withheld. Second, if reductions are taken from non-exempt employees, the reductions should not lower that person's rate of pay below the minimum wage. Third, any training cost recovery agreements should be able to withstand the scrutiny of state laws regulating employment-based contracts, and state laws are quite varied. Finally, the amount to be recovered should either be documented costs or reasonable estimates of actual costs. The term of coverage should also be pegged to the actual and reasonable period of training and development (a year or two, not twenty or thirty), and the contract should be entered into freely by the employee without taint of coercion.

THE HRD PRODUCTION FUNCTION

Apprenticeship Training

Apprenticeship is a time-honored means for imparting the skills of a craft to a young understudy. Historically, the young apprentice worked as an indentured servant under the total supervision of the craftsman and his family, a

relationship easily fraught with the potential for abuse and mistreatment (Bridenbaugh, 1961; Jacoby, 1991). To protect against such abuses, apprenticeship programs were brought under federal law through the Fitzgerald or National Apprenticeship Act (1937) that created the Bureau of Apprenticeship and Training (now the Office of Registered Apprenticeship) for administering its provisions; counterpart state agencies can become authorized administrators of local programs. The law governs several aspects of apprenticeship training. Sponsoring employers should register their programs with the regulatory agency and comply with the standards set for apprenticeship programs. To be approved, an apprenticeship program must be a written document detailing employment terms and conditions, the training and supervision to be provided, and a schedule for progressively increasing wages for the apprentice. In addition to supervised, structured on-the-job work experience, the program is recommended to have a minimum of 144 hours of formalized, theoretical instruction. If registered, non-work time spent in formal instruction does not have to be counted as compensable work time for which the apprentice must be paid.

Copyright and Intellectual Property

The copyright law of the United States (Copyrights, 1976) protects intellectual property rights by controlling the use of original works by others. Materials produced for HRD activities and programs can be considered part of an organization's intellectual property, and that property can be copyright protected so that they cannot be reproduced, distributed, performed, or displayed publicly without the owner's permission. To be copyrighted, the work must be produced in some "tangible form of expression"; copyright rules apply not only to text, but also to cartoons, comic strips (Raugust, 1998), and musical recordings. When given form, copyright protection is established automatically.

Copyright protections apply to HRD in two ways. First, an HRD professional might desire to use the copyrighted materials of others, such as copies of articles, chapters, worksheets, tests, and the like. In general, copyright law requires that written permission be obtained from the author prior to using the material. The limited exception to this rule is the "fair use" doctrine. Here, copyright strictures may be exempted when small amounts of a copyrighted work are used for teaching purposes, particularly by nonprofit educational institutions. The fair use exception to the reproduction and use of materials would generally not be available to HRD professionals working in a private, commercial setting, though.

A second major effect of copyright laws on HRD practice occurs when an employer hires someone to create materials, such as training manuals or instructional software, which could be copyrighted. At issue here is the ownership of the resulting product, specifically whether or not the product was

commissioned by the employer or what is called a “work for hire.” If either of the two following conditions applies, the product is considered a work for hire, and copyright ownership belongs to the employer: (1) an employee creates a document (like a training manual) as part of his or her regular employment duties or (2) an independent contractor creates a work specially commissioned and identified as such in a written agreement between the parties indicating that it is a “work for hire.”

TREATMENT OF PARTICIPANTS

Compensating Participants

Participants in HRD programs are covered by laws governing compensation, primarily the Fair Labor Standards Act (FLSA) and its various amendments. In general, the FLSA requires that non-exempt employees be paid at least the minimum wage for their hours on the job (compensable time). Compensable time includes that which an employer requires its non-exempt employees to attend, including an HRD event. Further, any work hours required in excess of forty during the workweek must be paid at the overtime rate. This overtime rule even applies if the employer did not specifically instruct the employee to do assigned tasks on an overtime basis (like completing training at home) but was aware (or “suffered and permitted”) that such work was being done. Such situations are possible with the diffusion of online programs with the potential of 24/7 learning (Genova, 2010; Zielinski, 2000).

There are several exceptions to the overtime rule. For example, police and firefighters who attend certain types of required training outside normal working hours do not have to be paid overtime rates for that time (FLSA, 2001, Sections 785.27 et seq.). In general, time spent in an HRD program may not be compensable if the following four conditions are met (Kahn, Brown, Zepke, & Lanzarone, 1996): (1) attendance at the program is in fact purely voluntary; (2) the program is scheduled outside normal working hours; (3) the program is not directly related to the employee’s job; and (4) the employee performs no productive work while attending.

Finally, some employers may require applicants to complete a designated training program before being hired as employees. Indeed, an employer may run a training program or school specifically to prepare job applicants for employment, such as might be the case with airlines and flight attendant training. If people in these situations are “employees” during the training period, they must be paid for their time while in the training. If they are not “employees,” however, they do not have to be paid for their training time. Thus, it makes some difference to employers if “trainees” are also “employees.” Trainees can be excluded from the compensation requirement if an

employer-provided training program meets the following conditions (Kahn, Brown, Zepke, & Lanzarone, 1996):

1. The training curriculum is comparable to that of a vocational school.
2. The training is provided for the benefit of the students.
3. The trainees do not replace or do the work of regular employees.
4. The employer providing the training obtains no particular advantage from the activities of the trainees.
5. The trainees are not inherently entitled to a job with the employer/trainer once they complete the training.
6. Both the employer and the trainees understand the trainees are not entitled to wages during this training period.

Fair Employment and Human Resource Development

HRD programs are covered by various fair employment, anti-discrimination laws (Bartlett, 1978; Holt, 1977; Kahn, Brown, Zepke, & Lanzarone, 1996; Russell, 1984). This means that if HRD programs are conducted, they should be provided in a way that does not discriminate against protected groups of employees (or be defensible, if they do). The possible points at which fair employment laws may impact HRD programs are illustrated in Figure 28.2.

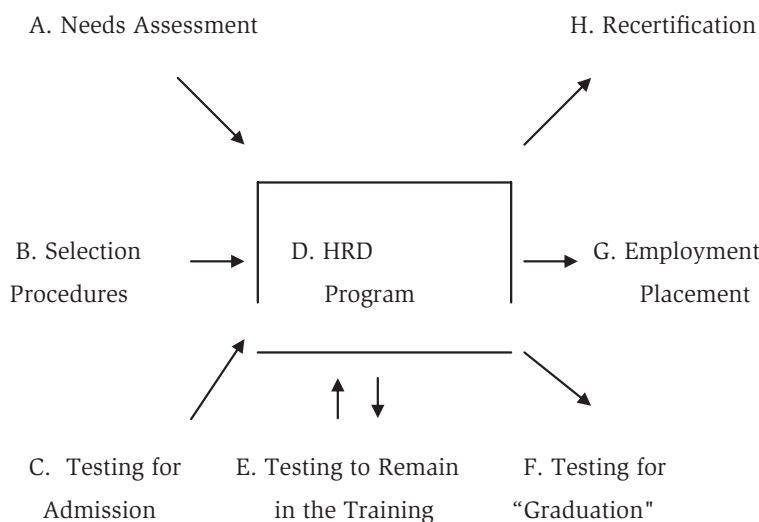


Figure 28.2 Points of Impact of Fair Employment Laws on Training

In this model, a HRD program may be associated with fair employment risks in the following ways:

1. In planning an HRD program (like an outdoor adventure program), an up-front needs assessment may be used to identify potential participants with any special conditions (such as a disability) that should be taken into account in designing and conducting the program or in order to decide who is admitted to an HRD program. The Genetic Information Non-Discrimination Act (What does GINA . . . , 2008) expressly prohibits the use of genetic information for making selection decisions into an HRD program, for example.
2. If there are limited training positions or there are prerequisite qualifications for admission into an HRD program, some applicants for training may be excluded.
3. Some form of testing may be used as a specific admission or screening procedure for use in deciding who is admitted into the HRD program, again creating a situation of potential exclusion for some.
4. The training process itself may be differentially administered so that some employees are not trained to the same level or in the same way as others.
5. To remain in an HRD program, standards may be established requiring the trainee to maintain some minimum rating based on performance in the HRD program, and some participants may be excluded for not meeting those standards.
6. Trainees may be required to demonstrate a minimum standard of proficiency before being allowed to “graduate” from the training, creating a possible condition of differential completion of the training.
7. Completion of an HRD program may be a prerequisite for hiring or promotion into certain positions. Successful completion of an HRD program may be established as a minimum standard for obtaining or retaining a position, creating differential outcomes.
8. Employees may be periodically required to recertify or requalify for their jobs through refresher training, the successful completion of which would be a condition for continued employment.

Across these various phases of HRD programs, there are certain common issues with legal implications, reviewed next.

1. Monitoring Trainee Flow to Assess Adverse Impact Under the Uniform Guidelines (1978), employers should monitor their selection practices for evidence of adverse impact, defined by the “four-fifths rule”³ among protected

groups. This includes HRD programs. For HRD programs, adverse impact might occur in the admission of people into and/or in terms of completion rates from a program. Specifically, are women, minorities, or other individuals in protected groups being disproportionately and adversely impacted in participation? (Bartlett, 1978). In the case of *Griffin v. City of Omaha* (1986), Griffin, an African American woman in an Omaha Police Department new recruit class, was terminated out of the class for failing firearms training. She claimed not to have received the same training and feedback as the other, white male recruits, and later passed such training given by the state police. The court found that the training process indicated unequal training treatment for black female trainees.

2. Modifying or Validating Training Practices If There Is Evidence of Adverse Impact If there is adverse impact, the procedure(s) creating the adverse impact should either be changed or be defensible. This rule applies particularly if participation in an HRD program was used to make personnel decisions (such as hiring, promotion, or termination).

3. Test Construction and Validation Tests of various kinds can be used at different points in HRD programs: for admission into, maintaining enrollment during, and/or graduating from the program. If so, they should be job-related and valid for how they are used. During the early 1970s, the Washington, D.C., police department used a written test (“Test 21”) to assess applicants’ verbal ability, vocabulary, reading, and comprehension, and passing this test with a minimum 50 percent correct was one of several requirements needed to gain admission into the department’s seventeen-week training program. Four times as many blacks as whites failed the test. In 1970, two black applicants who were denied admission into training (and thereby employment) sued, claiming the test was racially discriminatory because, in part, it bore no relationship to job performance (*Washington v. Davis*, 1976). On final review, the Supreme Court affirmed the job-relatedness of the test was clear enough: statistical studies correlating Test 21 scores with training program outcomes indicated that the test was a useful predictor of success in training.

³The “four-fifths” rule is a method for assessing whether a selection process unfairly discriminates against members of a minority group. The selection rate (number accepted/number applied) of a minority group (say, it is 4/10 or 40 percent) is divided by the selection rate of the majority group (say it is 45/50 or 90 percent). If the dividend is under 4/5s or 80 percent, the process is understood as having an adverse impact on the protected minority group. In this example, $40/90 = 44.4$ percent, which would signal the process has adverse impact.

4. *Reasonable Accommodations in Training* The Americans with Disabilities Act (ADA) (EEOC, 1999) also creates requirements in the conduct and delivery of HRD programs. To be relevant, the participant must have a disability as defined by the Act; if the disability is not plainly obvious, the applicant must inform the employer about his or her need for accommodation. If so, an employer should make a reasonable accommodation that does not impose an undue hardship. Specifically, HRD programs might need to provide sign language interpreters, or be offered in Braille, large print, or audio-cassette formats. This obligation extends not only to employer-provided HRD programs, but to contract training offered by external vendors. Even if the vendor cannot or will not offer the training material in alternative formats, the employer is still obligated to do so (EEOC Enforcement Guidance, 1999, question 15).

5. *“New Age” Training and Religious Discrimination* “New age” HRD programs create the potential for HRD legal risk and liability (Mitchell, 1990). Such programs purportedly use nontraditional training or group dynamic techniques to improve motivation, cooperation, or teamwork to change attitudes, self-concepts, or creativity. Some employees, though, may see what is being taught as a value-laden agenda at odds with their personal religious beliefs. The experience of Allstate Insurance in using Scientology-inspired management training is a good example (Sharpe, 1995). Beginning in the late 1980s, to support a recent reorganization to a more entrepreneurial structure among its insurance agents, Allstate began using a training consultant who taught management principles and practices directly derived from the Church of Scientology. This resulted in a growing restiveness among the agents about the nature of the program, what it taught, and the potential for conflict with their own religious beliefs and values. At least one agent, a devout Roman Catholic, was apparently reprimanded for his refusal to participate in aspects of the training. A number of complaints and suits were filed in protest, prompting Allstate to disavow the program by the mid-1990s. For such programs, an employer would be required to provide reasonable accommodation to that employee as long as it does not create undue hardship.

IMPLICATIONS: LAW AND THE HRD PROFESSIONAL

It is clear that HRD professionals must be attentive to the legal issues surrounding their practice. Liability can be triggered by the failure to provide required training or in how HRD programs are conducted, and HRD professionals must be knowledgeable of the requirements and the risks. There are two implications for the HRD practitioner. First, practitioners should be aware

of the full range of possible legal requirements and risks that exist, as well as understand the fundamental legal issues and principles involved. This may require the HRD practitioner to develop skills in accessing and interpreting materials written in legalese in literatures not normally followed. Further, the legal framework exists at federal, state, and even local levels, creating a patchwork of laws and regulations to follow. Absent routine legal counsel, the practitioner must be able to find and interpret HRD-related statutes, regulations, and/or cases at these different levels. Second, practitioners should organize their practices to comply with this legal framework by setting up recordkeeping and analysis systems that can inform the practitioner of the degree and quality of HRD compliance.

There are other implications for HRD scholars. For example, major HRD texts often do not adequately cover these legal issues. Thus, a key concern for HRD scholars is an educational one: how to provide practitioners, both students and operating professionals alike, information about this legal framework to enable them to meet these obligations. Beyond educational needs, five further areas for research can be noted. First, a major need is to develop a workable, comprehensive list of all the points at which laws and regulations impact the HRD function. While this review has attempted to be as systematic as possible, undoubtedly, areas of coverage have been underreported or missed altogether. For example, this review did not address either the legal implications of HRD vendor or consultant contracts, nor the public policy laws that deal with adult education, workforce training, and HRD. A complete model of the legal framework of HRD may need to include either or both. Second, legal requirements need to be translated into compliance methods and procedures. This is particularly important in dynamic jurisprudence areas, such as employee privacy, negligence, or training cost recovery.

A third area for HRD scholarship involves creating a means for specifying the complete HRD legal environment facing any given organization. As suggested, the legal environment for HRD tends to be a patchwork of laws and regulations. Without knowing the specific statutes and regulations that can affect their practice, practitioners are limited in their compliance attempts. A roadmap or analysis guide for determining an organization's specific legal framework is needed.

Fourth, it would be interesting to note the extent to which HRD functions attend to the legal issues of practice. For example, to what extent do HRD functions currently monitor and/or audit legal risks in their HRD practices? Along these same lines, is it possible to describe the best practices used by organizations to monitor and ensure compliance? What would those best practices be?

Fifth, the model presented here is clearly based on the laws, regulations, and judicial rulings in the United States at the start of the 21st century. While offered as a general template, to what extent does the model of the legal

environment presented here apply to other national economies? By investigating other national systems, new or additional areas of legal direction may be noted. While there are comparative studies of the macro policies for adult education and workforce development (Titmus, 1981), international comparative studies of micro, firm-level HRD practices are less common. Accounts of varying national practices would be of value to scholars interested in studying the HRD employment law regimes of different countries. Ultimately, understanding the legal framework of HRD is an important dimension for both practitioners and scholars alike. In a global economy, that understanding can only be enriched by identifying how other national economies promote, channel, and regulate HRD programs and practices.

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Strategic HRD

Adopting a Philosophy, Strategies, Partnerships, and Transformational Roles

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In the past, HRD professionals could purchase training programs from numerous vendors and/or develop them using instructional design techniques and strategies, schedule a training session, deliver the program, conduct simple reaction evaluation asking participants their opinions of the training event, and hope somehow employee performance would improve (Gilley & Gilley, 2003). While this is a negative description of the field of HRD, examples like this still exist far too often in today's organizations. However, Ulrich, Younger, Brockbank, and Ulrich (2012) believe many of today's strategic HRD professionals are dedicated, determined, and spend their energy, efforts, and time helping their organizations develop learning cultures, create performance management systems, and implement performance improvement and change initiatives. Such an approach creates developmental cultures and improves elements of the organizational system (e.g., organization's structure, mission, strategy, leadership, managerial practices, processes, and work climates). In the final analysis, this approach enhances strategic HRD professionals' credibility within organizations (Gilley & Gilley, 2007).

The purpose of this book chapter is to provide the reader with a way of (1) developing an understanding of the differences between activity-driven versus results-driven HRD, (2) creating a strategic HRD philosophy of HRD, (3) creating credibility in the organization, (4) identifying strategies that improve organizational effectiveness, (5) creating strategic partnerships in organizations, and (6) identifying the transitional and transformational roles in HRD, which include six transformational roles of strategic HRD professionals and the responsibilities residing within each role.

ACTIVITY-BASED HRD AND RESULTS-DRIVEN HRD PROGRAMS

Gilley and Gilley (2003) believe many HRD programs are perceived to be “outside” the mainstream of the organization because they are viewed as merely internal training houses for employees. Brinkerhoff and Apking (2001) contend training is not considered critical to the success of the organization, nor are HRD practitioners taken seriously; thus, little attention is given to the outcomes of training or the impact it has on employee performance. Accordingly, HRD practitioners are often treated with a lack of respect, which causes senior management to seriously question the value of HRD (Robinson & Robinson, 2008). As a result, HRD programs are the first to be eliminated during periods of financial difficulty, which weakens the image and credibility of HRD (Gilley & Shelton, 2009).

According to Robinson and Robinson (2008, 1989), HRD programs are either activity-based or results-driven. Gilley, Eggland, and Gilley (2003) believe activity-based programs embrace a training for training’s sake philosophy whereby training is perceived as a means to an end, while results-driven programs embrace a philosophy that HRD initiatives and interventions are used to achieve organizational results, including performance improvement, enhanced competitive readiness, and increased renewal capabilities and capacity (p. 7). Let’s explore these different types of HRD programs more completely.

Activity-Based HRD

Many HRD programs are not linked to the strategic business goals of the organization (Brinkerhoff & Apking, 2002; Brinkerhoff & Gill, 1994). When this occurs, training is conducted in a vacuum where little attention is paid to the problems facing the organization and how training can be used to address them (Robinson & Robinson, 2008). When HRD practitioners believe that the business of HRD is to deliver training for training’s sake, all their energy is directed toward the number of training courses they deliver and the number of employees they train (Gilley & Gilley, 2003). As a result, employees fail to receive the type of training, reinforcement, and learning transfer efforts to improve performance; consequently, overall organizational performance does not improve (Laird, Holton, & Naquin, 2000). Gilley and Shelton (2009) refer to this type of training as the “hit or miss” approach where training is conducted for training’s sake.

Results-Driven HRD

Moving from activity-based to results-driven HRD, HRD professionals begin to think strategically about how HRD interventions and/or initiatives can and will positively impact the organization and determine which interventions

and/or initiatives add value to the organization and which do not, always striving to improve organizational performance in everything they do (Gilley & Shelton, 2009). A results-driven approach is present when HRD professionals understand that organizational decision-makers are not interested in “training” but in what training can do for them. According to Brinkerhoff and Apking (2001), focusing on the organizational decision-makers’ needs will force HRD professionals to change their practice. However, they should be cautious because:

It is easy to generate a lot of training activity and claim that it makes a difference; it is much harder to identify the organizational results needed and determine whether they have been accomplished. When HRD professionals begin providing interventions that help the organization accomplish its strategic business goals, then HRD has *crossed over the line of demarcation* from the activity zone into the results-driven zone. (Gilley & Gilley, 2003, p. 27)

During this phase, HRD professionals begin to relinquish their training responsibility to managers and supervisors, who are ultimately responsible for improving employee performance and organizational productivity (Gilley & Shelton, 2009). By doing so, organizations allow the only organizational players accountable for performance appraisal and employee development to become the champions of HRD, rather than its gatekeepers.

Laird, Holton, and Naquin (2000) contend that HRD interventions and initiatives begin to change during this phase. Silber and Foshay (2009) believe that, instead of simply designing performance improvement interventions and change initiatives to improve employees’ skills and knowledge, HRD professionals must begin to develop interventions and initiatives focused on improving the performance capacity and effectiveness of organizations. Although these interventions and initiatives are more common during Phase Six, they are becoming more familiar during the operationally integrated phase (see below).

Results-driven professionals adopt a new approach to maximizing organizational performance, one that addresses the real problems of an organization and enables it to achieve needed results. HRD professionals develop an approach that helps them connect performance improvement and change interventions to the organization’s strategic business goals. Such an approach focuses on learning transfer strategies rather than on training activity (Laird, Holton, & Naquin, 2000). Gilley and Gilley (2003) contend HRD professionals redesign the performance improvement and organizational change process in order to develop a strategically integrated HRD program (Phase Six). They further believe the process consists of four phases, which are

1. Identifying organizational and performance needs,
2. Designing and developing performance improvement and change interventions,

3. Facilitating learning acquisition and learning transfer, and
4. Measuring performance improvement and organizational results. (p. 40)

Phases of HRD Programs

Gilley and Gilley (2003) contend, “HRD programs evolve through six separate phases, each with its own distinctive characteristics, purposes, and approaches” (p. 16). Four are activity-based and two are results-driven. As HRD programs evolve, their focus changes so that managers become more aware of their role in improving employee performance and developing their people. As a result, HRD becomes less of a separate department and more of an integrated function within the organization. The phases of evolution are

Activity-Based HRD Phases

- No HRD—period when an organization has no HRD professionals or focus
- One-person HRD—period when a single person provides traditional training and development activities
- Vendor-driven HRD—period when HRD practitioners identify and select training programs from outside vendors and deliver them to employees
- Vendor-customized HRD—period when HRD practitioners customize training programs and materials to more closely identify with a specific organization, its culture and practices

Results-Driven HRD Phases

- Operationally integrated HRD—period when HRD programs are linked to operation within an organization and managers begin accepting greater HRD responsibilities
- Strategically integrated HRD—period when a results-driven HRD has been realized and the responsibility of organizational effectiveness through HRD interventions and initiatives becomes the responsibility of every manager, supervisor, executive, and employee. HRD professionals now serve as internal consultants facilitating the organizational improvement and effectiveness process (Gilley & Gilley, 2003)

According to Gilley and Shelton (2009), applying the principles, techniques, and strategies of the strategic HRD approach, strategic HRD professionals should be able to develop a philosophy of HRD that will help organizations achieve their business results, adopt a strategic approach to

improving organizational performance and development, and think responsively but responsibly about client requests. Further, they should develop an understanding of an organization and its business; design, develop, and implement organizational transformation tools and techniques; develop a systems approach to organizational change and development; and develop performance management systems.

Additionally, they should develop strategic business partnerships, link HR interventions and initiatives to an organization's strategic business goals and objectives, adopt a customer service approach with internal clients, and help managers develop their employees. They should cultivate management development partnerships, help managers link performance appraisals to performance improvement, help managers develop performance coaching skills, implement organization development partnerships, and make the transition from trainer to organization development consultant (Gilley & Shelton, 2009).

Strategic HRD professionals should identify organizational and performance needs, use organizational and performance needs as the foundation of all HRD interventions and initiatives, design and develop performance improvement and change interventions, and create a learning acquisition strategy. Finally, they should eliminate barriers to learning transfer, implement learning transfer strategies, measure the impact of HRD intervention, improve the image and credibility of HRD within organizations, and develop a promotional strategy for an organization's HRD program (Gilley & Shelton, 2009, p. 450).

One clue used in determining the current phase of HRD is the types of interventions being offered within an organization. According to Silber and Foshay (2009), five types of interventions can be offered. These include: (1) isolated training, which is a single training event; (2) isolated performance, which focuses on a single performance problem; (3) total training, which is a holistic approach to improving an organization's performance capacity; (4) total performance, which focuses on improving the entire human performance system with an organization; and (5) total cultural, which incorporate an examination of performance problems and solutions in a context that addresses the organization's values and corporate culture. Each adds value to the organization; however, their impact is drastically different. Typically, Phases One through Three are common in activity-based HRD programs, while Phases Four and Five are common in results-driven programs.

According to Gilley and Shelton (2009), other clues in determining the current phase are

- The type of organizational effectiveness strategy employed by HRD practitioners,
- The type of performance partnerships developed,

- The way the HRD program is organized, and
- The application and sophistication of HRD practice within the organization. (p. 18)

CREATING A STRATEGIC HRD PHILOSOPHY

The journey of creating a results-driven HRD function cannot begin until HRD professionals understand why they behave the way they do, and the answer may be found in the assumptions and beliefs one holds about HRD (Brinkerhoff & Apking, 2001). In other words, what is their philosophy of HRD, and how does it affect their behavior and action?

Seven deeply held beliefs contribute to the activity-based approach of HRD. These beliefs appear to anchor HRD practitioners into this philosophy, affecting their behavior, actions, and the decisions they make (Gilley & Gilley, 2003). The first five anchors were introduced by Brinkerhoff and Gill (1994), while the last two were surfaced by Buckingham and Coffman (1999). They are as follows:

- Training makes a difference.
- Training is an HRD practitioner's job.
- The HRD practitioner's purpose is to manage training programs.
- Training's purpose is to achieve learning objectives.
- Employees fear applying new skills or knowledge, so training should be fun.
- Training is designed to "fix" employees' weaknesses.
- Training is a missionary endeavor.

Making the transition from activity-based to results-driven requires a re-examination of an HRD professional's philosophy of HRD (Silber & Foshay, 2009). For some, a minor revision proves sufficient, while others require a major shift in thinking. According to Gilley and Gilley (2003), to examine one's HRD philosophy, answer several of the following reflective questions:

- How do my efforts align with my organization's strategic goals and objectives?
- Why is training needed?
- What skills and knowledge are you trying to improve?
- What business problem are you trying to resolve?
- How will you know whether training was applied to the job?
- Who should receive the training intervention?

- What kind of training interventions fit the business strategy?
- How will the impact of training be evaluated?
- When should training be delivered?
- Who should be involved in delivering training?
- What other factors must be considered for training to be successful (motivation system, management action, reinforcement schedule)?

CREATING CREDIBILITY IN THE ORGANIZATION

Silber and Foshay (2009) suggest that, before engaging in the radical alteration of one's HRD program, answer two simple questions: (1) Why are you considering transforming your HRD program? and (2) What will be the advantages and benefits of doing so? Further, Ulrich, Younger, Brockbank, and Ulrich (2012) contend the answers to the first question should include things like:

- Improving the linkage between HRD interventions and initiatives and the organization's strategic goals and objectives,
- Increasing organizational effectiveness, competitive readiness, or organizational renewal, and
- Enhancing learning transfer and improving performance.

The answer to the second question involves improving the credibility of HRD and its professionals. This can be accomplished by enhancing strategic partnerships (see below), improving influence, or providing leadership within the organization. In short, adding value to the organization enhances credibility (Gilley & Shelton, 2009).

Strategies for Improving Credibility

Improving credibility occurs when strategic HRD professionals demonstrate their professional expertise as well as their understanding of the organization's mission and strategy, operations, business processes, and organizational culture (Gilley & Gilley, 2007). As such, they communicate their potential to provide real value to the organization. According to Ulrich, Younger, Brockbank, and Ulrich (2012), creating credibility means that strategic HRD professionals are believable and reliable and exhibit several behaviors that demonstrate and enhance their credibility. They reported the following activities that enhance credibility:

- Be accurate in all HRD practices, which includes analysis activities (performance, needs, causal, organizational);
- Design interventions and initiatives, performance and organization development consulting activities, and evaluation;
- Be predictable and consistent—dependable and reliable so that decision-makers have confidence in one's actions and recommendations;
- Meet one's commitments in a timely and efficient manner;
- Establish collaborative client relationships built on trust and honesty;
- Express one's opinions, ideas, strategies, and activities in an understandable and clear manner, and at the most appropriate times;
- Behave in an ethical manner that demonstrates integrity;
- Demonstrate creativity and innovation;
- Maintain confidentiality; and
- Listen to and focus on executive problems in a manner that brings about mutual respect.

Earning Credibility

Gilley and Gilley (2007) believe professional credibility can be earned in one of three ways. First, it can be earned by demonstrating the ability to solve complex and complicated problems. Second, attempting to identify with clients both personally and professionally can earn credibility. Third, credibility can be earned by identifying common interests, histories, ideas, and experiences with one's clients. Such commonality provides a starting point for SHRD and their clients and allows for mutual sharing, which often proves very valuable when building value-added relationships.

Transferring Credibility

Ulrich, Younger, Brockbank, and Ulrich (2012) believe credibility can be transferred, most commonly through third-party references, which are sometimes referred to as a professional network. Gilley and Gilley (2007) refer to a professional network as a collection of individuals who can introduce strategic HRD professionals to key organizational decision-makers, as well as keep them informed of critical developments occurring within an organization, which can gain strategic HRD professionals instant access and establish immediate credibility with one's clients.

Developing Credibility Through Reputation

Ulrich, Younger, Brockbank, and Ulrich (2012) suggest that developing a reputation of achieving results in a timely and value-added manner could

enhance one's credibility. This also includes demonstrating one's experience and expertise, professionalism, and professional background. Gilley and Gilley (2007) contend credibility can further be enhanced by sharing one's professional accomplishments and knowledge of the client's situation, and communicating one's understanding of the client's difficulties. It is also a way of communicating one's insight and the level of professional expertise available.

Additional Techniques for Establishing Credibility

According to Gilley and Gilley (2003), "credibility can also be established by demonstrating the ability to solve complex problems, satisfying client developmental needs and expectations, exhibiting an understanding of organizational operations and culture, demonstrating integrity by delivering results on time, within budget, and at quality standards, and networking with organizational decision-makers" (p. 55).

Anderson (1997) identified seven additional techniques for establishing credibility, which include:

- Demonstrate understanding of business strategies, goals, tactics, and financial performance, and connect that knowledge to the skills, competencies, practices, and people who are available to execute the business strategy.
- Establish performance goals that relate directly to business strategies.
- Provide credible follow-up to management on HRD's effectiveness in supporting the business strategy.
- Know the value of the HRD skills, competencies, practices, and business knowledge available to execute business strategies.
- Market competencies to management because, in too many cases, they are not aware of what HRD can do to support them.
- Provide management with value-added service.
- Provide efficient and effective service. (pp. 148–149)

ORGANIZATIONAL EFFECTIVENESS

Fallon and Brinkerhoff (1996) reported that the most common definition of organizational effectiveness focuses on "an organization's long-term ability to consistently achieve its strategic and operational goals" (p. 14). This approach is known as the "goal method," which is the oldest and most widely used evaluation approach for measuring organizational effectiveness. However, it is not the only method used.

Burke (1992) suggested additional definitions of organizational effectiveness. First, he stated “organizational effectiveness can be measured by the ability of an organization to acquire needed resources to accomplish its desired goals. Thus, organizations are perceived to be successful when they are able to obtain the quantity and quality of resources appropriate, which could include financial, material, and/or human resources” (p. 8). Robinson and Robinson (2008) believe organizational effectiveness can be defined in terms of how smoothly the organization functions, especially the degree or absence of internal strain within the organization. They suggest this definition is applied; it is often referred to as the “process model” of organizational effectiveness. Third, Gilley and Gilley (2003) contend, “Organizational effectiveness can be determined by the extent to which the organization is able to satisfy all of its internal and external clients” (p. 2). Internal clients include managers, executives, and employees, with satisfaction measured in terms of loyalty, motivation, cooperation, and teamwork.

Each of the three definitions provides insight as to the importance of organizational effectiveness; however, it may be difficult to arrive at an agreed-on definition. Regardless, it is certainly an important aspect of organizational existence. Consequently, strategic HRD professionals strive to obtain an acceptable definition that relates to one’s organization and/or industry. Accordingly, an agreed-upon definition becomes a target identified by all members of the organization, which they can strive to achieve (Ulrich, Younger, Brockbank, & Ulrich, 2012).

IDENTIFYING STRATEGIES THAT IMPROVE ORGANIZATIONAL EFFECTIVENESS

Strategic HRD programs are no longer merely training houses within organizations (Robinson & Robinson, 1989, 2008). Rather, they help organizations manage change and improve their competitiveness. According to Gilley and Gilley (2003), several core strategies are commonly used to improve organizational effectiveness, including:

- *Establishing a Development Culture*: Helping senior management embrace the importance and value of a developmental culture, which enhances organizational performance and effectiveness.
- *Assessing Organizational Effectiveness*: Helping clients determine what their needs are and which services will have the highest organizational impact.
- *Implementing Performance Management Systems*: Helping clients improve performance through the use of appropriate development and

feedback strategies linked to the compensation and rewards systems. This includes identifying competency maps for all job classifications, performance standards, and evaluation methods that enhance employee and organizational performance.

- *Setting Strategic Direction:* Helping business units set long-range strategic goals and develop tactical plans in support of those goals.
- *Leadership Development:* Helping clients ensure that current leaders have appropriate performance coaching skills to produce organizational results.
- *Managing Change:* Helping clients develop effective strategic plans for implementing change and understanding the human implications of change. (p. 37)

Brinkerhoff and Apking (2001) believe another characteristic of strategic HRD is the movement from improving individual employee performance to improving organizational performance and effectiveness. They suggest that this shift may appear subtle, although HRD interventions and initiatives are now targeted at improving performance problems as well as performance management systems, rather than fixing isolated training problems.

CREATING STRATEGIC PARTNERSHIPS IN ORGANIZATIONS

Bellman (1998) suggested that partnerships are essential to the success of any organization (a partner is a person who takes part with others), and partnerships involve the parts we each play in their work (p. 39). Further, a partnership is a mutually beneficial relationships created to help the organization better achieve its goals and objectives. Gilley (2006) contends:

These intra-organizational alliances are formed to ensure successful completion of the organization's overall strategic plan. They are mutually beneficial and long-term oriented in their quest to help an organization succeed. . . . Partners mutually share in the risks and benefits that result from political interactions and engagements. They consist of two or more persons or groups jointly participating in a political interaction and engagements and sharing in both the benefits and risks associated with such ventures. The success of these exchanges relies solely upon their mutual cooperation and collaboration. (pp. 50–51)

Two primary elements of partnerships are purpose and partnering (Bellman, 1998). No partnership exists without a purpose, which brings strategic HRD professionals and their clients together. Purpose can be both explicit and implicit. The former is typically imposed by a client and is quite clear and understood by all. The latter occurs due to a mutual exploration

of a purpose about to be defined. Further partnering occurs when strategic HRD professionals and their clients pursue a common purpose together (Bellman, 1998). By examining the visible and invisible dynamics between partners and purpose, roles can be better clarified and the purpose becomes better understood (Waite, 2009). Additionally, partnering helps surface underlying assumptions, trust and risk, shared values, and expectations (Sovoca, 2009).

Bright (2009) believes that creating partnerships is one of the most important activities in which strategic HRD professionals may engage. She contends that partnerships are long-term oriented and interdependent, allowing for better understanding and anticipation of one's clients' needs. These partnerships help develop a responsive attitude, which is necessary to improve one's customer service orientation.

As partners, Dixon and Thero (2009) contend that strategic HRD professionals break down the walls between themselves and their clients. They also believe partnerships give them the opportunity to develop personal relationships with clients, which create trust and develop a shared vision of the future through a free exchange of ideas, information, and perceptions (pp. 404–405). According to Wilson (1987), partnerships also promote establishment of working relationships based on shared values, aligned purpose and vision, and mutual support. Consequently, lasting commitments are forged and investments are made in learning, performance, and change efforts. Sims (2009) believes partnerships encourage a complete understanding of clients' contributions and the values they bring to an interaction. Accordingly, strategic HRD professionals become immersed with their clients' performance problems, needs, concerns, and expectations.

Bellman (1998) believes that the client's role may entail (1) products and outcomes; (2) accountability for results; (3) clarity of vision and values; (4) managing resources (time, energy, money, human talent, materials, equipment, environment); and (5) creating structure and systems (p. 41). Strategic HRD professionals' role conveys competence combined with adaptability in its focus on clients' needs. This role encompasses "clarity regarding one's contributions, awareness of the organization's needs, developing alternatives, revealing new perspectives, modeling risk taking, and knowledge of the consulting process, all while honoring one's personal purpose, vision, values, and core beliefs" (Gilley & Maycunich, 2000, p. 93).

According to Gilley (2006), "partnership involves identifying needs and expectations to other people. To guarantee success, identify all parties involved in the partnership, identify and communicate the respective needs and expectations of all participants, and allow time for all participants to understand the value of the partnership relationship. Further, define

members' roles and responsibilities within the partnership, encourage partners to discuss problems or mutually beneficial issues, and establish focus groups made up of partners to ensure a proactive, collaborative approach to problem solving" (p. 50).

Partnerships may emerge at three levels. According to Chermack (2009), strategic HRD professionals may be willing to become strategic business partners with clients from different business units, divisions, and departments to provide them information useful in make critical business decisions. Such partnerships require strategic HRD professionals to become responsible for providing customer service, help clients make performance improvement and organization development decisions, and identify demands facing clients along with potential responses (Sims, 2009).

Second, Waite (2009) says the second type of partnership, which improves organizational performance, is known as management development partnerships. Accordingly, it requires alliances with managers and supervisors to develop their performance coaching skills and managerial expertise. In this way, managers and supervisors become responsible for the majority of training and development of their employees, which enables strategic HRD professionals to focus on developing transformational roles in the organization (see transformations roles below). Waite (2009) referred to this as a micro approach, where performance improvement occurs one manager and one employee at a time.

A final type of partnership, the macro approach, occurs when you focus your attention on improving organizational effectiveness by altering the organizational and performance management systems, which improves the overall group potency of the organization (Shelton, Waite, & Makela, 2010). According to Chermack, Bodwell, and Glick (2010), this type of partnership with organizational leaders and decision-makers includes engaging in scenario planning activities and organization development initiatives that directly maximize organizational effectiveness.

IDENTIFYING TRANSACTIONAL AND TRANSFORMATIONAL ROLES IN HRD

HRD professionals can choose one of two roles. The first is *transactional*, which focuses attention on an activity-based strategy where training is the principal focus of HRD. The other is a *transformational* role where the focus is on a results-driven strategy that is performance and organizationally centered (Robinson & Robinson, 2008). In this role, strategic HRD professionals help the organization achieve its strategic business goals and objectives.

Gilley and Gilley (2007) contend that transactional HRD roles differ from transformational roles in that transactional roles are more administratively focused, serving in a supportive function, are considered a cost-centered role, and are centralized within the organization. Transformational roles are business-focused and linked to the business strategy of the organization. As such, transformational roles are considered a value-added proposition and an investment in improving organizational effectiveness by management in that both parties embrace a shared ownership philosophy in organizational success.

Transactional and transformational roles differ in their focus and contributions to an organization (Gilley & Gilley, 2003; Robinson & Robinson, 2008; Silber & Foshay, 2009; Ulrich, Younger, Brockbank, & Ulrich, 2012). Transactional professionals focus on training, while transformational professionals help maximize organizational performance and effectiveness (Gilley & Gilley, 2003). Regardless, strategic HRD professionals must choose either an activity strategy that embraces a business as usual approach or a results-driven strategy that requires them to adopt a new and exciting role (Robinson & Robinson, 2008).

Transactional Roles

In activity-based HRD, practitioners perform several different roles. According to McLagan (1989), the most common ones are as trainer, instructional designer, needs analyst, and learning evaluator. These can be defined as:

- Trainers are responsible for presenting and facilitating the information associated with learning programs and training activities.
- Instructional designers are responsible for designing, developing, and evaluating learning programs and training activities, although most designers seldom implement them.
- Needs analysts conduct needs assessment activities used to identify training needs.
- Learning evaluators determine the learning participants' reaction to training and whether learning occurred.

When engaged in these roles, HRD practitioners provide services to an organization in the way of training programs, performance support material, needs assessment activities, training manuals, and the like (Gilley & Gilley, 2007). Typically, these roles are present during the first four phases of HRD, which are located in a centralized training and development and/or HRD department.

Transformational Roles

While transactional roles provide an important service in organizations, today's strategic HRD professionals adjust to ever-changing conditions and circumstances. Moreover, the challenges facing organizations require strategic HRD professionals to adopt roles that can improve organizational performance, facilitate renewal capacity and capability, and enhance competitive readiness (Gilley & Shelton, 2009). Transformational roles allow strategic HRD professionals the greatest opportunity for organizational leadership and influence in order to work directly with organizational leaders and decision-makers to dramatically alter the organization's strategy, mission, operations, processes, and systems (Ulrich, Younger, Brockbank, & Ulrich, 2012).

Gilley and Gilley (2003) refer to these roles as *transformational* because strategic HRD professionals become strategic instruments used to improve the organization's effectiveness, renewal capacity, and competitive readiness. Accordingly, transformational HRD professionals help managers develop analytical skills useful in addressing performance problems and organizational breakdowns. Ulrich, Younger, Brockbank, and Ulrich (2012) believe transformational (that is, strategic) HRD professionals examine the organizational structure, workflow, job design, employee attitudes, performance criteria and standards, performance appraisal and review process, and quality improvement processes for the purpose of identifying ways of improving performance.

When strategic HRD professionals serve as transformational professionals, they work directly with key organizational leaders, decision-makers, and managers in the execution of performance improvement interventions and change initiatives (Silber & Foshay, 2009). This ultimately enables strategic HRD professionals to develop higher levels of credibility within their organization. According to Gilley and Gilley (2003), strategic HRD professionals serve in one of six roles:

- *Relationship Builder*—uses communication and interpersonal strategies to build collaborative client relationships that enhance trust within the organization;
- *Organizational Architect*—demonstrates an understanding of the informal and formal organizational structure, manages the organizational immune system (Gilley, Godek, & Gilley, 2009), and understand the organizational system;
- *Strategist*—responsible for strategic and scenario planning initiatives within the organization;
- *Performance Engineer*—responsible for performance improvement and performance engineering activities within an organization;

- *Change Champion*—applies change management techniques to improve overall organizational effectiveness; and
- *Political Architect*—demonstrates professional and organizational competence and expertise as well as political savvy strategies to improve client relationships and organizational effectiveness. (p. xvi)

The first role is a *partnership role* where strategic HRD professionals work toward building relationships with organizational leaders and critical decision-makers. The next three roles are *professional roles* where strategic HRD professionals demonstrate their technical expertise, organizational understanding, and organizational analysis expertise. The last two roles are *leadership roles* where strategic HRD professionals help improve organizational effectiveness by utilizing their change management and political expertise.

CONCLUSION

Strategic HRD cannot be realized until HRD professionals embrace the following:

- Develop an understanding of the differences between activity-driven versus results-driven HRD,
- Create a strategic HRD philosophy of HRD,
- Create credibility in the organization,
- Identify strategies that improve organizational effectiveness,
- Create strategic partnerships in organizations, and
- Identify and differentiate between the transitional and transformational roles in HRD.

Once achieved, HRD will be perceived and embraced as a conduit for organizational success and improvement (Ulrich, Younger, Brockbank, & Ulrich, 2012).

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CHAPTER THIRTY



Morality and Ethics in HRD

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This chapter considers morality and ethics in HRD. To ground the discussion, it begins with an overview of some of the key ethical theories: (a) ethical relativism, (b) utilitarianism, (c) deontological ethics, (d) virtue ethics, (e) ethic of care, and (f) social contract. These ethical theories provide the basis for examining specific issues related to HRD.

The second subsection examines some concerns related to the diversity of moral-religious systems. More specifically, this section considers ethics within different religious and theological views. Since the previously discussed ethical frameworks come from the Judeo-Christian view, the discussion will focus on Hinduism, Confucianism, Buddhism, and Islam.

The third section discusses the role of professional codes of ethics for HRD researchers and scholar-practitioners. The discussion addresses issues related to the conduct of research and of practice. It should be noted that some specific codes will be mentioned, such as the *Standards on Ethics and Integrity* of the Academy of Human Resource Development.

The fourth section discusses HRD practice in the workplace, such as worker entitlements and worker obligations. It also attempts to address concerns related to discrimination and sexual harassment within the work environment, both of which also address issues of diversity and inclusion.

The final section identifies implications for HRD research and practice. These implications will inevitably affect the key audiences and stakeholders for both HRD research and practice.

INTRODUCTION AND OVERVIEW

Morality and ethics in HRD represent decisions made within organizational settings. Let us consider a few cases:

- *Case 1:* A manufacturing plant has been operating in a community and has been a major source of employment for decades. Foreign competition with lower pricing, though, has cut into the revenues and profits. The owner realizes that there are two options: (a) move much of the operation to some less expensive and non-unionized location or (b) reduce the workforce and attempt other cost-cutting measures. The HRD manager and a scholar-practitioner discuss the pros and cons of each option, specifically pointing out the skill deficiencies and training needs and expenses that may be encountered with new employees with a move (following Option A) as well as the lower morale and possible productivity losses (following Option B). What recommendation should the HRD manager provide? What ethical principles will guide the HRD manager's suggestions?
- *Case 2:* An HRD independent scholar-practitioner/consultant has contracted with a global organization to undertake a 360-degree feedback process as an initial part of a staff development effort. The consultant meets with the regional vice presidents and states that the purpose of this process was to provide individual feedback and developmental suggestions to employees prior to the HRD interventions. Furthermore, the consultant clarifies that the results would be confidential and will only be provided to individuals so that they could create their personalized development plans. After the data are gathered, the vice president from one of the regions requests that the consultant provide a list of the employees with the highest and most positive ratings so that the local managers can recognize these employees with some special bonuses. Furthermore, this particular vice president, who was a major advocate for the 360-degree process, is most insistent that such bonuses would help productivity. What should the consultant do? What standards should the person use to make this decision?
- *Case 3:* An HRD researcher has agreed to undertake an evaluation of an employee engagement process within an organization. The researcher meets with the HR and HRD managers to understand the process and to suggest the data collection possibilities. As a group they decide that the researcher will conduct surveys and individual interviews, as well as some focus groups. The data collection goes smoothly, although the researcher feels that the reports appear more positive than with similar previous interventions. Later an employee states that the HR and HRD managers told employees that positive results of the evaluation would ensure that the program would continue. What should the researcher do? What standards and principles should the researcher use?

- *Case 4:* An HRD researcher develops an experimental research design (with pre- and post-intervention assessment for two experimental and one control group) to examine three alternative approaches to providing constructive feedback within an organization. Senior management agrees with undertaking this research and assures the researcher that there will be random assignment to the three feedback conditions. The researcher works with management on the implementation, but individual managers are assigned to undertake the alternative feedback approaches. The researcher analyzes the data and publishes the results in a reputable, refereed publication. Later the researcher learns that some managers in one of the experimental conditions decided to modify the feedback so that it would be “more effective.” What should the researcher do? What principles or standards apply?

These cases represent a few of the ethical dilemmas facing HRD researchers and scholar-practitioners, and they suggest that HRD professionals face difficult ethical choices. The following chapter will (a) provide a background as to the various relevant ethical theories, (b) discuss some current issues in HRD research and practice, and (c) identify implications for researchers and scholar-practitioners.

KEY PRINCIPLES AND THEORIES

This chapter will briefly outline some ethical key principles and theories that can help to inform decision-making. These include (a) ethical relativism, (b) virtue ethics, (c) utilitarianism, (d) deontological ethics and moral rights, and (e) care ethics.

Ethical relativism suggests that “decisions about right and wrong are purely personal and subjective” (Ruggiero, 2008, p. 1) or that “what is right or wrong is relative to society” (Manning & Stroud, 2008, p. 29), or that “there is no one true body of doctrine in ethics” (Blackburn, 2000, p. 38). This is the perspective that ethics are relative to the culture, society, or situation and can be viewed in the writings of David Hume, Friedrich Nietzsche, and Michael Foucault. HRD professionals working in international situations may feel the need to consider ethical relativism; after all, the mores and views within one society may not be relevant or appropriate in another. However, one should recognize that this ethical view moves beyond tolerance of cultural differences to suggesting that one must follow unquestioningly the dictates of one’s own culture or society (Manning & Stroud, 2008).

Virtue ethics arose from Aristotle’s writings, *Nicomachean Ethics*. Aristotle (384–322 BC) suggested that virtues consisted of a right balance or “a midpoint

between extremes of excess and defect” (Ruggiero, 2008, p. 142). One example would be extravagance (as an extreme of excess), stinginess (as an extreme of defect), and generosity (as the midpoint); another example would be short temper (as an extreme of excess), apathy (as an extreme of defect), and gentleness (as the midpoint). These ideas suggest that there are certain character traits that are critical (Aristotle, Plato, Friedrich Nietzsche). Cardinal virtues, tracing to the ancient Greek philosophers, include prudence, temperance, justice, and fortitude. Thomas Aquinas (1225–1274) expanded these ideas by suggesting natural ethics (following Aristotle’s ideas) and theological ethics (with virtues of faith, hope, and charity). Furthermore, Aristotle suggested that through repetition such virtues become habits (Gini & Marcoux, 2012).

Utilitarianism focuses ethical decision-making on the consequences of the action and suggests that institutions’ actions and decisions should lead to the general good. More specifically, Jeremy Bentham (1988) proposed that “utility” could be defined as pleasure and the absence of pain. According to John Stuart Mill, however, that definition meant that pleasures received the same weighting (Schneewind, 2002). Mill further suggested that there are higher order pleasures, mostly involving intellectual endeavors, as contrasted with lower order pleasures. Another issue facing this approach involves who determines what will lead to the maximum pleasure. Some believe that “experts,” such as economists, can determine which policies will lead to the greatest good. Others, following the tradition of Adam Smith (Smith & Butler-Bowdon, 2010), claim that competitive markets will yield the greater good.

Deontological ethics suggests that duty and obligation are of primary importance, rather than the consequences of the action. Immanuel Kant (1998) introduced the Categorical Imperative, or a duty that represents a universal rule or law. Indeed, he suggested that one should act in ways that can be universally applied. Furthermore, people should be treated as ends and not as means and should be treated as moral equals. One problem arises, however, in that people are different in terms of culture, history, abilities, and so forth. However, the idea of moral equality is all people “are entitled to basic respect” (Manning & Stroud, 2008, p. 53). These ideas led to the *moral rights* tradition, which can be found in the Declaration of Independence and in the Universal Declaration of Human Rights. Moral rights are not written in laws but are claims to be enforced by society and institutions. These rights cannot be waived or overridden, and they are universal, applying to everyone.

Care ethics refers to the ability to recognize the needs of others and to modify one’s behaviors in accordance with those needs. This ethical approach has arisen somewhat more recently than the previously described approaches. Gilligan (1982, 1993) first suggested that care ethics arose from female concerns with caring for children and the sick. Later, Hoffman (2000) claimed that care arises from the human capacity for empathy, and Slote (2001)

considered care to be a meta-virtue. Noddings (2003) presented care within the framework of an ethical theory, while Held (2006) expanded these ideas into the international arena.

One thought experiment would be to try to use each of the ethical theories above to arrive at a decision in each of the vignettes provided at the beginning of the chapter. In some cases, the decision may be clear-cut, such as a utilitarian decision that would yield the greatest good for the greatest number of people. In other cases, the decision may be less clear-cut, such as trying to use virtue ethics. Nevertheless, these theoretical approaches undergird much of the discussion as to HRD ethics.

ISSUES RELATED TO GLOBALISM AND DIVERSITY OF RELIGIOUS-MORAL PERSPECTIVES

Although the ethical theories described in the previous section represent some of the major approaches, we need to recognize that all of them come from a Judeo-Christian view. Given the global reach of ethical and HRD issues, it would be appropriate to examine some other moral and religious frameworks. In most cases, the religious approaches inform and influence the ethical perspectives (DeGeorge, 2013; Manning & Stroud, 2008). We start with the Judeo-Christian perspective and will turn to Hinduism, Confucianism, Buddhism, and Islam.

Judaism is one of the oldest monotheistic religions, originating about 2000 BC. The Talmud presents seven basic commandments that apply to all of the descendants of Noah, both Jews and non-Jews: Do not murder; do not steal; do not worship false gods; do not be sexually immoral; do not eat anything of the body of an unslaughtered animal; do not blaspheme; and set up righteous and honest courts and apply fair justice in judging offenders. Beyond these commandments, Jews must follow 613 Mitzvots or Commandments. Christianity can be considered an off-shoot of Judaism, and both Judaism and Christianity follow the Ten Commandments. The first four commandments focus on the worship of God, followed by: Honor your father and your mother; do not commit murder; do not commit adultery; do not steal; do not bear false witness against one's neighbor (or lie); and do not covet others' possessions.

Hinduism originated about 5000 BC. It represents a combination of religious, philosophical, and cultural ideas and practices. The four Vedas (*Rg*, *Sama*, *Yajur*, and *Atharva*) are viewed as foundational (Rambachan, 2005, p. 2). Furthermore, the *Bhagavad Gita* provides a compendium of major ethical themes. The world and the self, or the soul, although thought of as "real," are

simply illusions. There is, however, the ultimate Self. Since action is unavoidable and the individual self is an illusion, the person should try to act so as to avoid denying the ultimate Self. The good life, then, consists of *artha* (or wealth, power, success), *kama* (or pleasure), *dharma* (or duty and virtue), the law of *karma* (meaning all actions produce appropriate results), *moksha* (or freedom as the highest end of life). Furthermore, overcoming *avidya* (or ignorance and blindness) allows the person to attain liberation (or *moksah*). Such liberation then leads to an attainment of bliss (constituting the nature of *brahman*) (Rambachan, 2005).

Confucianism was founded by Kong Qiu (K'ung Ch'iu), who was born around 552 BC. Confucius was a teacher to sons of the nobility and traveled from region to region with some disciples. He believed that because heaven and the after-life were beyond human comprehension, people should concentrate on doing good and right in life. In *The Analects* (1979), Confucius identified three main virtues: *Jen* or humanity concerns “to master oneself and return to propriety (12:1) and “to love man” (12:22). *Li* or propriety or principle involves the rules of society. Following these rules helps to establish harmony. *Hsian* or filial piety means supporting one's parents with a feeling of reverence (2:7, 4:18). To determine whether a particular action is a virtue or a vice, one can (a) seek moderation (similar to Aristotle's view) and (b) apply the golden rule, or “Do not do to others what you do not want them to do to you” (12:2, 15:23).

Buddhism focuses on experience and practices to recognize the true nature of reality. The historical Buddha was Siddhartha Gotama, born about 500 BC. Although born to royalty, he recognized that wealth did not lead to happiness. After six years of study, he found “the middle path” to enlightenment. Buddhist practice does not attempt to overcome desires and fears but rather to awaken them. There are four Noble Truths. The first Noble Truth is that our mind and body are subject to change. The second Noble Truth is that clinging and craving lead to suffering. The third Noble Truth is that there is no way to end suffering. The fourth Noble Truth is that the way to end craving is to practice the Middle Way, avoiding too much pleasure and too much pain. The Eightfold Path provides practice guidelines to lead to ethical and mental development. These consist of Right View, Right Intention or Thought, Right Speech, Right Action, Right Livelihood, Right Effort, Right Mindfulness, and Right Concentration; and the word “right” means “completed” or “perfected” (Phelan, 2005). Right Speech comprises the first ethical principle and means that one should avoid lies and slander. Right Action means that one should avoid killing, stealing, and misusing sex. Right Livelihood means that one should gain wealth through legal and peaceful means, avoiding harm to other beings. Right Effort, Right Mindfulness, and Right Concentration focus on various areas of mental development.

Islam comes from the Arabic root *salama*, meaning “peace” or “to submit” or “to surrender.” The system of beliefs, laws, and ethics results from the act of surrendering to Allah, or God. Ethical thought comes primarily from the *Qur'an*, with the text being revealed through the prophet Mohammad in the years 650–655 AD. Free will is assumed, and all are given the choice to follow God or to be an unbeliever. The five Pillars or Principles of Islam (Nelson, 2005) include: (a) testimony of faith; (b) *salat* or prayer five times during the day; (c) *saum* or fasting, or control from worldly pleasure, during the month of Ramadan provides a time to purge bad habits; (d) *zakat* or donation or poor tax paid once a year to help balance wealth among community members; and (e) *hajj* or pilgrimage to Mecca required of every Muslim once in his or her lifetime. Certain practices are prohibited, such as consuming alcohol or eating pork, or participating in gambling, usury, or bribery.

At this point, it might be useful to identify some commonalities and differences among these different religious and moral perspectives. Several of the religious and moral guidelines suggest the following: (a) respect your parents; (b) avoid murder or killing; (c) avoid stealing; (d) avoid lying; and (e) avoid sexual misconduct. There also appears to be some agreement with acting with moderation (or the Middle Way) and with following the Golden Rule.

There are two distinct differences between Eastern and Western philosophy and thought. First, rather than treating others equally, as is suggested in Western philosophy, the person has special obligations and duties to particular individuals according to Eastern philosophy. Second, unlike the Western ideal of autonomy and individuality, independence for some of the Eastern perspectives is seen as a failure to be virtuous.

ROLE OF AND ISSUES WITH PROFESSIONAL CODES OF ETHICS

This section will discuss the role of professional codes of ethics. It will consider the reasons for professional organizations and associations creating such codes. It will present a brief history of *Standards on Ethics and Integrity of the Academy of Human Resource Development*, and it will identify some common factors and features in HRD-related codes of ethics. The section concludes with discussing some issues related to these codes of ethics.

According to Manning and Stroud (2008), professional codes of ethics “summarize a shared view of moral standards” for the profession, “provide a standard for teaching,” and “guide the behavior of members in difficult situations” (p. 85). Furthermore, they define a profession as involving three major components: (a) individuals in the profession function with autonomy in

their work; (b) the work focuses on the common good, and (c) the members of the profession follow a code of ethics. Hatcher (2002) identified some of the benefits of codes of ethics as derived from the business ethics literature. Some of these benefits can be applied to professional codes of ethics, such as providing norms, values, and ideas; promoting ethical sensitivity and judgment; serving as an educational tool; providing a common moral framework to guide practice; and serving as a beacon that a profession is serious about the professional's responsibility and conduct (Hatcher, 2002, Table 4.1, p. 64).

The Academy of Human Resource Development (AHRD) arose in 1992 from a group of faculty who felt the need for an association that focused on research and scholarship in human resource development. In 1998, the AHRD board commissioned a taskforce to consider the development of a code of ethics. After some drafting of the code and review by the board and the AHRD membership, the AHRD Standards on Ethics and Integrity were adopted. Further discussion of the history of the development can be found in Aragon and Hatcher (2003) and Russ-Eft (2004).

Table 30.1 presents a comparison between the themes emerging from several related professional codes of ethics (specifically, the Academy of Management, 2005; the American Evaluation Association, 2004; American Education Research Association, 2011; American Psychological Association, 2010; Organization and Human Systems Development, 1996; Society for Human Resource Management, 2007) and those in the AHRD Standards. The table shows several common areas of agreement: (a) professional competence, (b) professional responsibility and integrity, and (c) respect for people. In addition, some of the codes include social responsibility or responsibility to the general public.

These codes tend to incorporate the ideas from the various ethical and religious and moral perspectives, such as communicating accurately and honestly and respecting the rights of others. However, some controversial issues do arise. One issue is the concern for social responsibility. To what extent should HRD practice and research within an organizational setting contribute to the general and public welfare and to social responsibility? Indeed, Russ-Eft (2009) examined this issue with respect to evaluations of HRD programs and practices.

Another issue facing professional organizations that adopt such ethical codes involves the question as to whether the code and standards will be enforced. The AHRD Standards clearly state that they are aspirational. Others, such as the American Psychological Association, have instituted judicial type bodies to investigate and rule on ethical cases. The American Evaluation Association has considered the possibility of some sort of certification and enforcement of standards (Altschuld, 1999), but has yet to adopt that approach.

Table 30.1 Comparison of the Major Categories/Domains and Competencies of Other Ethical Codes with the AHRD Standards on Ethics and Integrity

| <i>Standards Categories/Domains and Competencies</i> | <i>AHRD Standards (1999)</i> |
|---|---|
| <i>Professional Foundations and Competence</i> | <i>Competence</i> |
| | Boundaries of competence |
| Communicate accurately and effectively | Maintenance of competence |
| Observe ethical standards | Basis for research and professional judgments |
| Obtain and maintain needed skills | Description of HRD professional's work |
| | Data collection |
| | Responsibility |
| | Avoidance of false or deceptive statements |
| <i>Professional Responsibility, Integrity, Accountability</i> | <i>Integrity and Professional Responsibility</i> |
| | Misuse of HRD professional's work |
| Accurately represent skills | Multiple relationships |
| Disclose conflicts of interest | Consultations and referrals |
| Negotiate honestly | Third-party request for services |
| Communicate accurately and fairly | Advertising and other public statements |
| | Publication of work |
| <i>Respect for People</i> | <i>Respect for People's Rights and Dignity</i> |
| Use informed consent | Respecting others |
| Maintain confidentiality | Nondiscrimination |
| Maximize benefits and reduce harms | Exploitative relationships |
| Communicate respect for stakeholders | Delegation to and supervision of subordinates |
| | Institutional approval |
| | Informed consent |
| | Incentives to participants |
| | Deception in research |
| | Interpretation and explanation of research and evaluation results |
| | Privacy and confidentiality |

Standards Categories/Domains and Competencies *AHRD Standards (1999)*

| | |
|--|--|
| <i>Social Responsibility</i> | <i>Concern for Others' Welfare and Social Responsibility</i> |
| Consider wider implications and side-effects | |
| Recognize obligations for public good | |

ISSUES AND TRENDS IN BEST PRACTICE

Given the previous discussions concerning ethical theories, diverse global perspectives on ethics, and the commonalities in professional codes of ethics, this section will discuss issues related to the work environment and HRD practice: It will consider issues of worker entitlements and worker obligations.

Humans have viewed work with some ambivalence. According to Aristotle (1998) and Marx (1985), happiness is achieved by reaching one's full potential, and work provides the opportunity for that achievement. On the other hand, Aristotle (2000) also disparaged work because of its demeaning and slavish nature. Thus, work can provide meaning but can also be demeaning and oppressive. Certainly, work can provide an income, but it can also provide psychic goods (such as self-esteem) and social meaning (DesJardins, 2011). Providing meaningful work for all can prove problematic. What may be meaningful for one person may not be meaningful to another. In addition, individuals can find meaning outside of the work setting. Finally, given its individual and personal nature, society can only provide individuals with the means (such as certain needed skills or possibly certain levels of education) to obtain meaningful work, while at the same time recognizing that "meaningful work" rests with the individual.

All ethical frameworks recognize that "humans have moral worth" (Manning & Stroud, 2008, p. 173) and that their basic needs should be fulfilled. Work may provide the means for meeting such basic needs, and society should provide such work regardless of age, gender, race, or differential ability. Nevertheless, not all humans are able to work; for example, most societies prohibit child labor. In such cases, society would be required to provide such individuals with their basic needs, following principles of equality, contribution, and membership.

A current issue, and one that appears in Case 1 above, involves that of continued employment, assuming that one performs well on his or her job. Such

guarantees are only available through some sort of labor contract. Otherwise, workers exist in a state of employment at will, meaning that the employer can lay off or fire an employee for any reason. Although a formal contract may not be signed, the employer provides the employee with an implicit promise of continued employment. Another argument is based on the past contributions of the employees. It is only through those contributions and labor that the employer has realized a profit. The employers, the organizations, and the employees exist within the community; and continued employment represents continued contribution to the community. At the same time, the employees are free agents and can quit at any time for any reason. Reciprocity would suggest that employers should be able to make similar decisions. Of even greater importance, though, are changes in the market when the employer may feel that terminations are justified.

Work also presents the worker or employee with certain obligations to the employer, to colleagues, and to customers. For HRD researchers and scholar-practitioners, work requires professional obligations. Ethical theories underscore the importance of these obligations. Utilitarianism, for example, requires that workers maximize good results. Care ethics suggest that employees value the relationships and trust that come from their work. Most of the religious frameworks emphasize the importance of good efforts in one's work and in positive relationships with others, including the employer, colleagues, and customers.

These worker and employer obligations also lead to concerns with regard to discrimination, racism, and sexual harassment within the work environment. Such issues actually involve concerns with diversity and inclusion, and they encompass all forms of workplaces, including business and industry, nonprofits, religious groups, government agencies, and even universities (Carter & Scheuermann, 2012). Furthermore, if those organizations fail to address these concerns, government regulations may be developed and invoked. Recently, for example, as a result of the Sandusky case at Pennsylvania State University, the state of Oregon now mandates that all government employees (including university faculty) must report any instances of child sexual abuse—whether observed on the job or outside the scope of employment. It is, thus, incumbent on HRD researchers and scholars to consider their approach to their own work and workplace.

IMPLICATIONS FOR HRD RESEARCHERS AND SCHOLAR-PRACTITIONERS

HRD researchers and scholar-practitioners can use the various ethical frameworks to help with decision making. In Case 1, for example, the HRD scholar-practitioner can help the executive team consider the impact of their decision

to move the operation or to cut positions on not only the organization, but also the employees and the community. It may also be appropriate to consider the effects on the customers, since some of those customers may come from the community.

Turning to Cases 2 and 3, both of which involve HRD researchers, the individuals should turn to the various professional, ethical codes. In Case 2, there are issues related to confidentiality and respect for people's rights. The HRD researcher needs to state clearly that confidentiality has been promised and that promise cannot and should not be violated. Case 3 presents a more challenging issue. In this case, the researcher needs to confirm the remarks of the employee. It may be that the employee misinterpreted the statements or simply decided to sabotage the effort. If, indeed, the HR and HRD managers did suggest that positive results should emerge for program continuation, the researcher/evaluator should confront these individuals and explain the purposes of program evaluation. At that point, it may be necessary to undertake some additional and/or alternative data collection in order to yield valid evaluation findings.

Case 4 involves the conduct of research within an organizational setting. The dilemma that arises for the researcher involves the issue of publication of findings that are misleading, even though done without the researcher's knowledge. It would appear that there are several obligations and responsibilities here. First, the organization would have the original responsibility of informing the researcher of the modifications in the procedures. Unfortunately, that information was not provided soon enough, and the researcher published potentially invalid results. Once having learned of the procedural issues, that researcher presumably has an obligation to the field to correct the public record, and the journal and its editor have the responsibility of publishing that correction. All of that may be easier said than done.

Beyond these cases, however, there are several important research implications and questions for examination by HRD researchers. It should be noted that Ianinska (2008) did examine HRD professionals' perceptions of the AHRD *Standards* and whether the standards were used or useful. Her survey of AHRD members showed that the number of years as an AHRD member related to familiarity with and use of the *Standards*. Although viewed positively, these *Standards* are still not widely known and used. Similarly, Claus (2013) surveyed AHRD members and found that, in general, the *Standards* were clear but showed lower levels of application.

Still, several questions remain, and the following provides only a few examples. It should be noted that the focus of these questions is on the AHRD *Standards*, given their direct relevance to HRD researchers and scholar-practitioners. In light of Ianinska's and Claus's work, what might be effective strategies to have the *Standards* more widely known and used? Claus, for example,

recommended that AHRD members be required to sign that they have “read, understand, and are committed to adhere to AHRD’s *Standards on Ethics and Integrity*” (p. 131). Given the changes in technology and in society, to what extent are the AHRD *Standards* still relevant, or do they need to be re-examined and updated? Again, Claus recommended that some updating of the *Standards* may lead to greater familiarity and use. To what extent, if any, are HRD academic programs highlighting or using the AHRD *Standards* or other ethical codes? In what ways, if any, do the AHRD *Standards* or other ethical codes influence the work of HRD researchers and scholar-practitioners who are not AHRD members? Given the increasing interest in corporate social responsibility (e.g., Garavan & McGuire, 2010), what is the role of such ethical codes in connection with organizational efforts at corporate social responsibility? Since the *Standards* were developed with a Western perspective, what portions are relevant and applicable in other cultures? What modifications, if any, would be needed in the *Standards* to ensure their relevance to non-Western researchers and scholar-practitioners? Using survey methods, such as Koonmee, Singhapakdi, Virakul, and Lee in Thailand (2010), or a case-study method, such as Thite (2013), what do HRD managers view as the relationship among ethics, quality of work life, and employee job-related outcomes? What are the opinions of both researchers and scholar-practitioners about the need for the use of sanctions with regard to the *Standards*? And what procedures would be used to enforce these sanctions? These and other questions need to be addressed and answered.

CONCLUSION

The development and use of codes of ethics in HRD research and scholarly practice provide an important indication that this represents a unique professional field. This chapter examined the origins and links of these codes to ethical and moral theories. It furthermore raised both research questions and practical issues, such as whether and how to implement sanctions related to violations of these codes. Future researchers and scholar-practitioners will need to grapple with and resolve these issues for the continued vitality of the field.

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HRD in Smaller Firms

Current Issues, Insights, and Future Directions for Research and Practice

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Small and medium-sized enterprises (SMEs) dominate the landscape of modern economies around the globe and are regarded as important engines of economic growth, jobs, and social cohesion (Ram & Edwards, 2010). While recognizing the considerable heterogeneity of firms under the SME label, global statistics show that such firms represent up to 99 percent of businesses in developed and developing countries (APEC, 2011; OECD, 2012; SBA, 2012). Given their importance, SMEs are unquestionably a fertile ground for the application of research effort to gain an understanding of human resource development (HRD). However, the importance of such enterprises is at odds with our understanding of HRD practices and processes within them (Hill, 2004; Pajo, Coetzer, & Guenole, 2010; Stewart & Beaver, 2004). The tendency of management theory to emphasize large firms gives a distorted picture of the industrial landscape, masking the fundamental importance of SMEs as a source of employment and as contributors to a dynamic economy (Hendry, Arthur, & Jones, 1995). As a consequence, critical questions about the relevance of the HRD concept to such firms remain unanswered. Fundamentally, the key question of whether SMEs represent an arena for HRD persists and, relatedly, the extent to which theorizing in HRD is sufficiently robust to be functional and meaningful in this domain lies in doubt (Gold, Holden, Iles, Stewart, & Beardwell, 2010). The situation is exacerbated by the fact that the current evidence base surfaces disparate understandings and conclusions concerning SME HRD practice.

The SME context is both interesting and challenging from an HRD perspective. First, the HRM/psychology literature is littered with examples of the

positive impact of training and development on various dimensions of organizational performance (e.g., Aguinis & Kraiger, 2009; Tharenou, Saks, & Moore, 2007). This stance is heavily underpinned by human capital and resource-based theoretical perspectives, whereby investment in the development of a firm's human resource base generates economic returns and a unique competitive advantage. Moreover, training and development has been found to be the most vital component of a high performance work system (HPWS) in the SME context (Bryan, 2006). Second, SMEs represent an area ripe for investigation in which to understand the dynamics and operation of HRD. They are heavily reliant on their human capital for their success, which suggests that the study and practice of HRD in this context is of paramount importance.

However, while SMEs constitute a critical place that can illuminate and expand our vision of HRD (cf. Nissley, 2011), considerable methodological challenges can be identified. These include definitional complexities surrounding the terms SME or small firm and HRD, difficulties accessing SMEs, inflexible research designs, and the "absence of HRD in any recognizable form at empirical level" (Hill, 2004, p. 22). Finally, HRD in SMEs faces significant practical challenges due to the unique features of the smaller business. These include exposure and vulnerability to external environmental uncertainty due to limited market power and influence (Storey, 1994). SMEs invariably respond by adopting a short-term horizon, favoring projects offering rapid returns (Storey & Greene, 2010). Flexibility in operations is deemed crucial to permit responsiveness to external pressures. The high risk of failure among SMEs is frequently manifested in a reluctance to make long-term investments in HRD, where the benefits are not immediately apparent (Hill & Stewart, 2000). In addition, the pervasive influence of key decision-makers in SMEs, notably the owner-manager, cannot be overlooked. Evidence suggests that not only does the attitude and motivation of the owner-manager exert a considerable influence on the likelihood/priority of smaller firm HRD, but it also affects the nature of the interventions that take place (Keogh, Mulvie, & Cooper, 2005; Ylinepää, 2005).

The neglect of HRD in SMEs is both surprising and difficult to justify given the inextricable link between economic performance and the performance of smaller businesses. We suggest that this neglect can be partly explained by two key factors: the evolution of the knowledge base of HRD from a preoccupation with *atypical* (large) firms, coupled with the implicit assumption that the findings concerning HRD in these larger organizations have universal relevance (Iles & Yolles, 2004; Kuchinke, 2003). Specifically, it has been suggested that the ubiquity of informality complicates the assessment of HRD in SMEs (Devins & Johnson, 2002). However, it would be wrong to take the lack of a clearly identifiable formal infrastructure for managing HRD as indicative

of indifference toward the development of the workforce. Simplistic analyses of HRD based on the presence/absence of formal, large-firm measuring rods mask the complexity and substance of actual practice in smaller firms, resulting in a distorted picture and underestimation of HRD activity (Rigg & Trehan, 2004). Hence, until greater attention is devoted to understanding the distinct contextual factors influencing HRD in SMEs, theoretical models can only be partial and incomplete.

The purpose of this chapter is to reflect on the condition of SME HRD research (cf. Blackburn & Kovalainen, 2009) through an analysis of its nature and form in this unique setting. We argue for a focus on the actual practice of HRD in the SME context, rather than suggesting that these firms do not conform to a normative ideal. The chapter begins by examining the parameters of SMEs and the concept of smallness. It then explores the evidence regarding what is known about the characteristics of HRD in SMEs. From this, it is suggested that crude stereotypes persisting about HRD in this domain, notably that the SME is deficient in terms of HRD (Patton, 2005), should be questioned and challenged. Deficiencies within the extant HRD literature are presented with the aim of differentiating between the myths and the reality regarding HRD activity in SMEs. The remainder of the chapter proposes a new avenue for future theoretical development in this distinct context and outlines some potential implications for HRD practice.

MAPPING THE TERRAIN OF SMALLER FIRMS

Discussions about smaller firms frequently begin with the matter of how the term “small firm” or SME should be defined. A significant challenge remains the lack of comparability in the definitions used by national governments or statistical offices (OECD, 2012). Within the OECD area, the most commonly used definition is that of the European Commission (2003). Three main categories of firms are identified, including micro firms (fewer than ten employees), small firms (ten to forty-nine employees) and medium-sized enterprises (fifty to 249 employees). Annual turnover and/or balance sheet totals and autonomy (non-subsidiary and independent) are also taken into consideration for eligibility. The U.S. Small Business Administration (SBA) (2012) broadly classifies a small business as an independent firm with fewer than five hundred employees. The SBA also affords important recognition to the sector-specific nature of size and outlines a range of size standards for different industries. This approach is also adopted within the Asia-Pacific Economic Cooperation (APEC) region, which includes Australia, China, Japan, Malaysia, Peru, and Singapore. There is also widespread variation in terms of numbers employed and turnover thresholds (APEC, 2011).

Regardless of the definition used, research has shown that SMEs are not a homogeneous group of entities to which universal conclusions apply (Curran, 2006; Torrès & Julien, 2005). Wapshott (2008, p. 30) observes the tension that exists between acknowledging the diversity of firms under the SME banner “while also finding sufficient homogeneity to permit a body of research to develop.” In an effort to offer a more comprehensive picture of HRD in SMEs, to recognize the contested nature of SME definition, and to accommodate contextual influences, we opt instead for the term “smaller firms” throughout the remainder of this chapter (see also Marlow, Patton, & Ram, 2005; Storey, 2002). In doing so, our aim is to recognize that such firms *differ radically from large businesses* (Storey & Greene, 2010), possessing unique characteristics that influence their approach to HRD. It also serves to reinforce the importance of “smallness” as the most defining characteristic which has significance for the nature of HRD practice in this context (Stewart & Beaver, 2004).

CHARACTERISTICS OF HRD IN SMALL FIRMS: EXAMINING THE EVIDENCE

Although smaller firms have featured on the HRD agenda in recent decades, academic interest has fluctuated. There has been a steady flow of rather fragmented output, rather than a coherent program of ambitious research. Moreover, there is a tendency among researchers to focus on the reasons why smaller firms *do not* engage in HRD, rather than offering satisfactory explanations for actual practice in this context. International comparability is also challenging due to divergent size-class definitions of smaller firms and sectoral classifications. Nevertheless, it is possible to observe general trends regarding HRD practice across countries.

Patton (2005) refers to training, development, and learning as critical elements of the employment relationship in smaller firms. However, research undertaken to date suggests that HRD in smaller firms is characterized by conditions of absence and deficiency (Hill, 2004). The international evidence indicates limited engagement in formal training and development among smaller firms in comparison to their larger counterparts (Hoque & Bacon, 2008; Storey, 2004). Studies conducted in Australia (Kotey & Folker, 2007), Ireland (Birdthistle & Fleming, 2007), The Netherlands (De Kok, 2002), Poland (Marzec et al., 2009), Spain (Castany, 2010), Thailand (Thassanabanjong, Miller, & Marchant, 2009), the UK (Forth, Bewley, & Bryson, 2006), the United States (Hite & McDonald, 2006), and Vietnam (Nguyen & Bryant, 2004) all indicate that firm size has an inverse relationship with formal training provision. It is argued that smaller firms lack a robust HRD infrastructure in terms

of a dedicated training budget and specialist HR expertise (Hoque & Bacon, 2006; MacMahon & Murphy, 1999; Matlay, 1999; Westhead & Storey, 1997). In addition, a systematic approach to HRD, which includes the formal assessment of needs, the development of a training plan, and subsequent in-depth evaluation of interventions, is rarely evident (Hite & McDonald, 2006; Keogh, Mulvie, & Cooper, 2005). Owner-managers in smaller firms tend to view external providers such as government agencies, public bodies, business associations, and education/training providers with skepticism and question their credibility and relevance (Bishop, 2011). The use of more innovative and sophisticated approaches to training delivery such as e-learning is also not prevalent in EU SMEs (Admiraal & Lockhorst, 2009).

Attitudes to and awareness of such methods also appear significantly lower than in larger firms. For example, an Irish study by Brown, Murphy, and Wade (2006) describes such take-up among smaller firms as “lackluster,” while Harris (2009) observes the skepticism and lack of perceived legitimacy of e-learning in UK SMEs. Sambrook’s (2003) study of small Welsh firms echoes such findings. However, as Patton (2005) notes, the limited evidence of formal HRD should not be taken to suggest that HRD does not take place in smaller firms. On the contrary, a plethora of studies indicate the prevalence of informal and idiosyncratic HRD approaches in this setting (Coetzer, Redmond, & Sharafized, 2012; Gold & Thorpe, 2008; Kitching, 2007). Activity tends to be embedded in everyday routines and working practices (Drummond & Stone, 2007; Kitching & Blackburn, 2002), which renders it somewhat invisible (Hill, 2004). The concept of informality in HRD is examined further below.

DRIVERS OF HRD

One of the most significant drivers of HRD activity in smaller firms is the owner-manager (Hoque & Bacon, 2006; Kerr & McDougall, 1999). Their characteristics, values, attitudes, and beliefs regarding the importance of HRD are central to the initial decision to train and the manner in which HRD is deployed within the firm (Beaver & Hutchings, 2005; Bishop, 2008). In a study of the UK hospitality and tourism industry, Pittaway and Thedham (2005) found that prior positive experiences of formal training among owner-managers led to greater awareness of the benefits of future training for themselves and their employees. They were also more likely to make more time available for training and believe in the need for further training. Indeed, studies suggest that the nature of HRD for those employed in a smaller firm usually follows the same pattern as that experienced by its owners/managers (O’Dwyer & Ryan, 2000; Smith & Whittaker, 1998). Professionally trained/qualified owner-managers tend to value more formal and systematic HRD and

actively encourage their employees to engage in further development. On the other hand, those who have learned through an apprenticeship system or the like regard this as the optimum approach (Matlay, 1999).

The dominant objective of smaller firms is survival rather than growth, innovation, or business development (Beaver, 2003). Hence, the HRD agenda is mainly driven by operational and pragmatic concerns, whereby all decisions are highly integrated with, and reflective of, the needs and priorities of the business (Hill, 2004). Hill and Stewart (2000) remark on the predominantly reactive nature of activity, which is almost exclusively directed at the solution of immediate work-related problems (such as skills gaps/performance deficits) rather than the long-term development of people. In a study of South African SMEs in manufacturing, services, and food and beverages sectors, Hirschsohn (2008) found that approaches to HRD were influenced by the demands of the competitive business context. In general, SMEs made investments in both formal and informal HRD, where there was an immediate, identifiable need and demonstrable return. The importance of an immediate payback on activity is a common theme throughout the literature. Smaller firms are likely to be more aware of which activities offer value for money (Gray, 2004), and the impact of HRD tends to be evaluated based on its relevance and application to day-to-day operations (Walker, Redmond, Webster, & Le Clus, 2007).

BARRIERS TO HRD

As noted above, much of the discussion in the literature centers on the barriers that prevent smaller firms from engaging in formal HRD. Indeed, some suggest that HRD in this context mirrors the specific characteristics of SMEs themselves (Hill, 2004; Ylinepää, 2005), which feeds the absence of a formal HRD culture (Gold & Thorpe, 2008). A useful classification is proposed by Lange, Ottens, and Taylor (2000), who identify four main categories of barriers: cultural, financial, access and provision, and awareness. The attitude of the owner-manager is identified as a significant cultural barrier (Coetzer, Redmond, & Sharafizad, 2012) and their skepticism of external training and development offerings is apparent (Bishop, 2008). A study of small computer software firms in Scotland by Keogh and colleagues (2005) found that owner-managers frequently neglect their own HRD needs, which can in turn influence the priority placed on developing the skills of others. Similar findings have been reported in Australia (Webster, Walker, & Brown, 2005) and Ireland (MacMahon & Murphy, 1999). Some owner-managers may also face disincentives to provide employees with access to formal HRD opportunities because they fear that formally qualified staff have greater labor market mobility and

thus are at a higher risk of being poached (Keogh, Mulvie, & Cooper, 2005; Walker, Redmond, Webster, & Le Clus, 2007).

Financial and access/provision barriers to HRD tend to be intertwined. The key resource deficiencies of time, personnel, and finance are particularly critical. Operational demands can often compete for attention and take priority over developmental activities (Keogh, Mulvie, & Cooper, 2005; Thassanabanjong, Miller, & Marchant, 2009). Ram (2000) concluded that the implementation of a structured approach to training and development in the dynamic and sometimes frenzied setting of the smaller firm workplace can hinder responses to day-to-day matters that are often seen as more urgent. Due to financial constraints, Westhead and Storey (1996) contend that the *real* price of training tends to be higher for smaller firms: the opportunity cost of absent staff is greater when fewer personnel are available and the actual fixed costs are spread over fewer employees (see also Brown, Murphy, & Wade, 2006; Castany, 2010). Smaller firms also face a higher risk of failure and are more inclined to take a short-term view of all investment decisions, including training (Storey & Greene, 2010). This poses challenges for engagement in formal training, where the benefits are said to accrue at best in the medium term (Kitching & Blackburn, 2002).

However, in a study of SME management development in the EU, Gray (2004) argues there may be good reasons why smaller firms, with their more limited resources, engage in fewer formal development activities. This stems directly from the mixed evidence of causal linkages between workforce training and business performance in SMEs (Storey & Greene, 2010). A further access and provision barrier relates to the suitability of the training available to smaller firms. Matlay (2004) observes the supply-driven nature of provision, which tends to neglect the needs of smaller firms. Birdthistle and Fleming (2007) found that external training was often regarded by Irish SMEs as unsuitable and irrelevant to the business. They reported concerns with the timing, place, and content of provision. Finally, smaller firms may lack awareness of the benefits of training, including the ability to identify and nurture the needs of others (Marlow, 1998). The lack of growth in Investors in People (IiP) recognition¹ in small UK firms in recent years is testament to this (Hoque & Bacon, 2008). Lack of awareness also extends to a lack of suitable information about the availability of training initiatives (Bishop, 2008). This

¹Investors in People (IiP) is the UK's national quality standard for people management. Launched in 1991, the standard aims to improve business performance by promoting best practice in managing and developing people. The latest figures indicated that over one-third of the UK's workforce is employed by IiP recognized employers or organizations working toward achieving recognition status. Further information is available from www.investorsinpeople.co.uk.

is because there is less financial incentive on the part of training providers to contact smaller firms (Storey & Westhead, 1997).

THE RATIONALITY OF INFORMALITY IN SMALLER FIRM HRD

Stereotypical depictions of the inferiority of smaller firm HRD that are based purely on the absence of formalized infrastructure and practice are simplistic. We suggest that there are a number of particular “problems” in applying the HRD concept to this context. These are closely linked to the normative prescriptions, homogeneous and universalist tendencies found in dominant HRD theorizing, which is preoccupied in arguing what HRD *should be*, accompanied by insufficient attention paid to empirical grounding in what HRD *actually is* (Kuchinke, 2000, 2003). The explicit lack of focus on how HRD is actually managed in a smaller firm context is observed by Iles and Yolles (2004). Echoing Storey and Greene (2010), we suggest that owners/managers in smaller firms make “informed” rather than “ignorant” decisions about training, which may serve as a more convincing explanation for the relative lack of HRD formality in this context.

First, the extent to which HRD is absent in smaller firms depends on the definitions and measures that are used. Rigg and Trehan (2004) observe the preoccupation with narrow definitions of HRD and with methods that focus on the easily measurable, whereby more natural, informal approaches are overlooked. Such methodological deficiencies stem from the positioning of large firms as the benchmark against which smaller firms are analyzed, coupled with the assumption that formality is the norm (Blackburn, 2005) and indicative of the substance and effectiveness of HRD activity. For example, UK studies focusing on the implementation of best practice HRD frameworks such as liP place substantial emphasis on formal, written policies, procedures, and practices (unlikely to be found in the smaller firm setting) as the main indicators of HRD sophistication (Hoque, 2008; Smith & Collins, 2007). It is argued that there is a disconnect between such approaches and the idiosyncratic, informal modus operandi of the smaller firm (Clarke, Thorpe, Anderson, & Gold, 2006). Thus, in overlooking and omitting ubiquitous informal approaches, the inevitable (misconceived) conclusion is that smaller firms are deficient in terms of HRD (Devins & Johnson, 2002; Kitching, 2007). Methodological challenges also extend to the participants themselves in that many smaller firm respondents do not consider informal training to be “proper” training (e.g., Admiraal & Lockhorst, 2009; Birdthistle & Fleming, 2007).

The implicit assumption in much of the literature is that smaller firms should emulate larger firms and demonstrate greater proactivity in the adoption of formal training opportunities that are available (e.g., Bryan, 2006; Marzec et al., 2009; Thassanabanjong, Miller, & Marchant, 2009). For example, a study of small to midsize IT companies in Taiwan by Wang, Tolson, Chiang, and Huang (2010) emphasized the importance of encouraging SMEs to allocate a greater proportion of their limited resources to the provision of formal training and career development opportunities for employees. The fact that they do not is widely seen as indicative of smaller firm ineffectiveness and inefficiency in their HRD activity (Gibb, 2000; Rigg & Trehan, 2004). Relatedly, Storey and Greene (2010) highlight that, on account of the greater likelihood of formal training provision in larger firms, the widespread implication in much of the literature is that they are “better managed” than their smaller counterparts.

Recent studies suggest that the comparative unwillingness to invest in formal HRD may reflect rational and informed decision making on the part of the smaller firm owner-manager (Pajo, Coetzer, & Guenole, 2010; Storey, 2004). To date, empirical associations between the provision of formal training opportunities and enhanced business performance remain inconclusive (Storey & Greene, 2010). Thus, rather than displaying ignorance of the benefits of formal HRD, the smaller firm preference for informality may be derived from sound reasoning (Kotey & Folker, 2007; Patton, 2005). Boxall and Purcell (2011) maintain that pragmatic (and predominantly informal) approaches to HRD to address performance deficits or counteract the fear of poaching in smaller firms are economically rational and should therefore not be criticized. Studies have also found that smaller firms may not have a perceived need/motivation to train because of current skill requirements or recruitment policies (Keogh, Mulvie, & Cooper, 2005; Kitching & Blackburn, 2002). Hence, it may be a coherent policy to avoid investment.

With regard to the working environment in smaller firms, studies consistently report that employees in smaller firms are “happier” (as evident in higher levels of job satisfaction, lower turnover, and less absenteeism), and attribute this happiness to the informal manner in which these firms operate (Storey, Saridakis, Sen-Gupta, Edwards, & Blackburn, 2010; Tsai, Sengupta, & Edwards, 2007). It is not unreasonable to assume that this “happiness” also extends to the manner in which HRD takes place in this setting. Drummond and Stone’s (2007) study of HPWS among the UK’s “Best Small Companies to Work For” found that continuous employee learning as part of everyday routines and working patterns served to normalize skills development and embed it within day-to-day operations. Therefore, HRD formed an integral part of the smaller firm culture. Thus, the relative simplicity and seamlessness in organization and

delivery of HRD interventions via informal means in smaller firms does not automatically equate to absence, inadequacy, or inferiority (Hill, 2002).

The fact that smaller firms provide limited formal training is not indicative of a failure to practice HRD (Gold & Thorpe, 2008), nor does it mean that their workforces are poorly trained or lack the appropriate skills (Kitching & Blackburn, 2002). On the contrary, there is much evidence to suggest that an informal approach is the most highly valued HRD intervention in this context (e.g., Birdthistle & Fleming, 2007; Coetzer, Redmond, & Sharafizad, 2012). This may be attributed to the stronger “contextual fit” (Dalley & Hamilton, 2000) of informality to the smaller firm.

Ultimately, HRD theory is ill-equipped to capture and explain the complexities of smaller firms, the predominance of informality, and the manner in which they engage in HRD. There is inadequate understanding and accommodation of the unique idiosyncrasies of smaller firms, their analytical distinctiveness to larger businesses, the constraints they face, and the motivations that drive their decision to engage in all forms of HRD. This is aptly captured by Kuchinke (2003, p. 295), who maintains that the reasons for variation in HRD practices between large and smaller firms are “theoretically underdeveloped and empirically under researched.” In the following section we make a number of recommendations as to how these deficiencies may be addressed.

RESEARCHING HRD IN SMALL FIRMS: NEW DIRECTIONS

Our aim in this section is to move the debate away from what could be seen as sterile commentary that smaller firms do not practice HRD to an alternative that is stimulating and challenging. The empirical deficits concerning HRD more generally (Beattie, 2006; Gold, Holden, Iles, Stewart, & Beardwell, 2010) should prompt skepticism as to the validity of HRD theory. Statistical evidence serves to illustrate how the preoccupation with large firms in the HRD literature is wholly disproportionate to their share of the industrial terrain. It is arguable that the fundamental unit of analysis for research and subsequent theorizing should, therefore, be the smaller firm rather than the marginal larger business.

The deficiencies inherent in HRD theorizing and related criticisms of informal HRD practice in smaller firms are noted. In order to progress the research agenda, an approach that can capture and explain the complexity and idiosyncrasy of actual practice in the unique setting of the smaller firm is required. There is a need to engage with practice as we find it (Taylor, 2006), as the reality for many smaller firms is likely to be far removed from theoretical idealism presented in extant frameworks of HRD (Sadler-Smith & Lean, 2004). We

suggest that much HRD theory is acontextual in nature and support Kuchinke's (2003) view that convincing theoretical explanations for the heterogeneity of practice are lacking. Our fundamental premise is that theorizing in HRD can be illuminated, enhanced, and extended by an examination of the smaller firm context. This is in line with recent calls for context-sensitive understandings of HRD in smaller firms (e.g., Gold & Thorpe, 2008) and developments in the broader employment relations literature that stress that such firms cannot be understood independent of their context (Edwards, Sengupta, & Tsai, 2010; Harney & Dundon, 2006; Ram, Woldesebbet, & Jones, 2011).

A focus on context recognizes that HRD, as a central aspect of the employment relationship, is the product of a range of influences arising externally and internally to the firm. These include product and labor markets, industrial sector, ownership, management style/ideology, and company strategy, to name but a few (Edwards, Sengupta, & Tsai, 2006; Gray & Mabey, 2005). The impact of these influences serves to shape the nature and form of HRD in smaller firms.² The need to understand firms in their own context is given further importance by the concept of informality. Empirical progress needs to be made to shed light on the dynamics of informality in smaller firm HRD (cf. Ram & Edwards, 2010). A greater emphasis on this concept can help to explain the diversity of practices within all firms, but particularly in smaller firms because of the significant degree to which it governs the employment relationship in general (Ram, Edwards, Gilman, & Arrowsmith, 2001; Verreynne, Parker, & Wilson, 2011), including HRD. Importantly, a context-sensitive approach that focuses on practice *in situ* serves to respect and accommodate informality, facilitating a better understanding of how and why it works in smaller firms. Moreover, it recognizes that, while important, size alone is not a sufficient explanatory variable for smaller firm behavior (Barrett & Rainnie, 2002; Behrends, 2007).

In keeping with the above discussion, we suggest a number of theoretical avenues that may serve to enhance our knowledge of HRD in the smaller firm. Our first suggestion is that research designs should adopt an "analytical approach" to HRD (cf. Boxall & Purcell, 2011). The primary concern of analytical HRD is to produce empirical descriptions of what smaller firms actually do in practice. It moves attention away from normative prescriptions and instead provides robust theoretical explanations of why and how smaller firms behave as they do. We maintain that a context-based conceptualization

²This chapter does not seek to discuss these influences in detail but rather aims to emphasize that the manner in which smaller firms conduct HRD is context-dependent (Patton, 2005). Moreover, as Garavan (2007) has suggested, there is a need for HRD theory to incorporate multiple levels of context, from the individual to the global level, and to focus on the interactions between HRD practices and the broader context within which these practices play out.

of HRD assumes particular importance in this setting because of its ability to tactically engage (Jacques, 1999) with smaller firm practice and accommodate its informality.

Our second suggestion concerns the utility of the “complex resource-based view of the firm” (an extension of RBV) (Colbert, 2007) as a theoretical basis for examinations of smaller firm HRD. Building on the discussion surrounding the rationality of informality, rather than being obliged to operate along informal lines, smaller firms may, in fact, make a conscious choice to engage in informal HRD because it serves to strengthen their position (Edwards, Sengupta, & Tsai, 2010; Marlow, Taylor, & Thompson, 2010). In this way, informality is not merely an evitable characteristic of smaller firm HRD (Ram, Edwards, Gilman, & Arrowsmith, 2001), it is a vital resource. For example, in his study of small UK businesses, Kitching (2007) observes the deliberate, goal-directed approach of informal skill development practices. Colbert (2007) suggests that the value of resources is grounded in their synchronicity with a firm’s operating context. Thus, because informal practices can enable flexibility and responsiveness to the demands of the internal and external environment of the smaller firm, thereby affording competitive advantage (Ram & Edwards, 2010; Verreynne, Parker, & Wilson, 2011; Ylinepää, 2005), they represent a key synchronous resource.

Our final suggestion builds on the above in advocating a more prominent role for strategic choice theory (Child, 1997) within the HRD discourse. Bishop (2008) observed how subjective orientations held by internal stakeholders significantly shape smaller firms’ approaches to training. The close proximity between employers and employees, whereby rigid bureaucratic reporting structures are rare and flattened hierarchies the norm, affords a greater role to individual agency and personal choice in influencing and shaping training practice. Choices create idiosyncrasy, reflecting the context in which HRD takes place. Thus, the strategic choice perspective may help to explain the diversity of HRD practice across a population of smaller firms. In addition, as it emphasizes the importance of asking questions as to who makes decisions regarding the employment relationship and why they are made (Bratton, 2012), it is in tune with the other suggestions outlined above.

IMPLICATIONS FOR HRD POLICY AND PRACTICE

From a policy perspective, smaller firm skepticism surrounding the credibility and relevance of external support suggests a need to develop more effective ways to engage with such businesses. Negative perceptions need to be challenged by creating schemes and initiatives with greater contextual fit (Dalley & Hamilton, 2000). As Gibb (2000, p. 28) observed, “the real issue may be one

of developing and changing institutional arrangements on the supply side so that they become much better at developing support for informal methods of people developing, appropriate to the culture of the small firm.” External stakeholders need to engage in more meaningful conversations about HRD with smaller firms by connecting with their interests and needs, providing guidance that reflects their aspirations and ambitions. In this way, support for HRD interventions can be framed as an integral part of broader business functioning and development. This type of approach is more likely to “be on the wavelength” of the smaller firm (Bishop, 2008; Coetzer, Redmond, & Sharafizad, 2012), particularly in terms of its connection to the owner-manager’s line of thinking.

An ability to understand the “SME world” (Gold & Thorpe, 2008) is vital. In advocating a contextualized approach to HRD that connects with the local situation of the smaller firm, we suggest that existing and new external initiatives may require the appointment of translators. Translators are people who can bridge the gap between external advice and internal practice (Skálén, Quist, Edvardsson, & Enquist, 2005) by learning to speak the language of the smaller firm and cultivating informal, open, and dynamic relationships with internal stakeholders (Birchall & Giambona, 2007). In doing so, we suggest that translators can become trusted, credible contacts who understand the motivations of smaller firms as a means of stimulating greater participation in HRD.

CONCLUSION

Smaller firms form the backbone of modern economies worldwide; their economic, social, and political significance is undisputed. Concomitantly, HRD is widely regarded as an essential activity in the pursuit of organizational sustainability and success (Werner & DeSimone, 2011). However, the nature and form of HRD in smaller firms represents a much neglected topic. Our limited understanding stems directly from a paucity of empirical evidence investigating smaller firm HRD practice on its own terms, rather than in comparison to the acontextual normative prescriptions of the HRD literature. The large firm origins and universalist tendencies of the HRD literature combine to perpetuate the myth that smaller firms do not engage in HRD. This is further compounded by subtexts of inferiority relating to prevalent informal approaches. Such criticisms are clearly not justified. Simplicity in organization and delivery does not equate to absence or inadequacy, nor does it correspond to inferiority. On the contrary, we maintain that such informality plays a particularly crucial role in smaller firms because of its synchronicity with the firm’s operating context. Hence, the decision to engage in informal HRD should be

understood rather than condemned. Particular attention needs to be devoted to exploring the subjective orientations of actors within the smaller firm in terms of how they shape HRD practice.

Academic work has been sporadic, patchwork, and piecemeal, and a coherent, sustained program of research that focuses on the dynamics of HRD in the smaller firm context is long overdue. The paucity of extant HRD theory has been exposed by inadequate explanations of how things actually happen in smaller firms, notably regarding the adoption of HRD practice, the adaptation of practice at the local level, and the practices of individual actors. Thus, theory development specific to the smaller firm context is necessary. We have suggested the complex RBV, strategic choice theory, and the notion of analytical HRD as alternative perspectives that may illuminate the actual characteristics and qualities of HRD in the smaller firm context. Such perspectives may also serve to accommodate the heterogeneity of smaller firms and HRD practices therein. Our recommendations also have implications beyond the realm of the smaller firm and the field of HRD. Further research is undoubtedly required to test these ideas in light of the broader literature governing the management of the employment relationship. We hope that the ideas presented in this chapter will help to extend the theoretical horizons of HRD research.

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PART VII



INNOVATIVE APPLICATIONS



Action Learning

An HRD Tool for Solving Problems, Developing Leaders, Building Teams, and Transforming Organizations

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Action learning is a dynamic group process in which team members learn while they are solving problems. It has recently emerged as a powerful tool used by organizations for solving their critical and complex problems. It is also becoming a primary methodology utilized by companies around the world for developing leaders, building teams, and transforming corporate culture. Over the past twenty years, action learning programs have become instrumental in creating new products and services, saving billions of dollars, reducing production and delivery times, expanding customer bases, improving service quality, and positively changing organizational cultures (Boshyk & Dilworth, 2010; Pedler, 2011).

Recent surveys by the American Society for Training and Development indicate that two-thirds of executive leadership programs in the United States use action learning. A 2009 study by the Corporate Executive Board (2009) noted that 77 percent of learning executives identified action learning as the top driver of leadership bench strength. *BusinessWeek* identified action learning as the “latest and fastest growing organizational tool for leadership development” (Byrnes, 2005, p. 71).

BLENDING THE LEARNING AND THE ACTION IN ACTION LEARNING

Since Reg Revans first introduced action learning in the coal mines of Wales and England in the 1940s, there have been multiple variations of action learning (Cho & Egan, 2010; Marsick & O’Neil, 1999). However, all forms of action

learning share the elements of real people resolving and taking action on real problems in real time, and learning while doing. Cho and Egan (2010) point out that the most powerful forms of action learning balance the elements of learning with elements of action.

Learning Components

Sofo, Yeo, and Villafane (2010) identified three building blocks that are valuable in enhancing and assuring learning in action learning, namely, an action learning coach, a focus on reflective inquiry, and a focus on learning at the individual, group, and organizational levels.

An Action Learning Coach or Facilitator Unless there is someone with the power as well as the responsibility to assure that time is spent in learning, groups tend to focus only on the urgent (i.e., the action) and neglect the important (i.e., the learning). The action learning coach helps the team members reflect both on *what* they are learning and *how* they are solving problems. Through questions, the coach enables group members to reflect on how they can improve their work as a team and how they can better solve the problem. The learning coach can also help the team focus on what they are achieving, what they are finding difficult, what processes they are employing, and the implications of these processes. The coaching role may rotate among members of the group, or a person may be assigned to that role throughout the duration of the group's existence. More and more organizations are utilizing a skilled, trained coach to serve in this role (Coughlan & Coughlan, 2011).

Focus on Insightful Questioning and Reflective Listening Action learning emphasizes questions and reflection above statements and opinions. By focusing on the right questions rather than the right answers, action learning focuses on what one does not know as well as on what one does know. Action learning tackles problems through a process of first asking questions to clarify the exact nature of the problem, then reflecting and identifying possible solutions, and only then taking action. The focus is on questions, as they build group dialogue and cohesiveness, generate innovative and systems thinking, and enhance learning results (Marquardt, Leonard, Freedman, & Hill, 2009).

Commitment to Learning at the Individual, Group, and Organizational Levels Solving an organizational problem provides immediate short-term benefits to the company. Each group member (as well as the group as a whole) learns on an individual and group basis, and is encouraged to apply these learnings within his or her organization on a system-wide basis

throughout the organization. Thus, the learning that occurs in action learning has greater value strategically for the organization than only the immediate tactical advantage of early problem correction (Dilworth, 1998). Accordingly, action learning places as much emphasis on the learning and development of individuals and the team as it does on the solving of problems. The smarter the group becomes, the quicker and better will be the quality of its decision making and action taking.

Action Components

Yeo and Nation (2010) have identified three critical components to assure that action learning groups take action after each session and implement the agreed-on actions at the end of the program: (a) urgent problem, (b) diverse group with accountability and responsibility, and (c) expectation of action.

An Urgent and Important Problem Action learning centers around a problem, project, challenge, issue, or task of high importance to an individual, team, and/or organization. It should provide opportunities for the group to generate learning; to build knowledge; and to develop individual, team, and organizational skills. Groups may focus on a single problem of the organization or multiple problems introduced by individual group members.

A Diverse Group with Accountability and Responsibility The core entity in action learning is the action learning group (also called a *set* or *team*). The group is ideally composed of four to eight individuals who examine an organizational problem that has no easily identifiable solution. The group should have diversity of background and experience, so as to acquire various perspectives and encourage fresh viewpoints. Depending on the action learning problem, groups may be volunteers or may be appointed; they may come from various functions or departments, may include individuals from other organizations or professions, and may involve suppliers as well as customers.

Power and Responsibility of the Group to Develop Strategies and/or Take Actions Action learning requires the group to be able to take action on the problem on which it is working. Members of the action learning group must have the power to take action themselves or be assured that their recommendations will be implemented, barring any significant change in the environment or the group's obvious lack of essential information. If the group only makes recommendations, it loses its energy, creativity, and commitment. There is no real meaningful or practical learning until action is taken and reflected upon. One is never sure an idea or plan will be effective until it has been implemented. Action enhances learning because it provides a basis and

anchor for the critical dimension of reflection. The *action* element of action learning begins with taking steps to reframe the problem and determining the goal, and only then determining strategies and taking action.

MULTIPLE-PROBLEM AND SINGLE-PROBLEM ACTION LEARNING GROUPS

Action learning groups may be formed for the purpose of handling either a single problem or several problems. In the *single-problem group*, all the group members focus their energies on solving that problem. In this type of action learning, both the membership and the problem are determined by the organization. The primary purpose of the group is to solve the problem proposed to them by the organization. The group may disband after handling just one problem, or may continue for a longer, indefinite period of time and work on a series of challenges submitted to them by the organization. Membership in the action learning group is determined by the organization based on the type of problem and the aims of the program.

For example, if the organization is seeking to create networks across certain business units, it can appoint members from those units to participate in the action learning programs. If the development of high potential leaders is the goal, then such leaders will be placed in these action learning programs. If the issue is more focused, then participants may be selected according to their interests, experience, and/or knowledge. In some in-company action learning programs, individuals may be allowed to volunteer, but the organization reserves the right to confirm or not confirm the final composition of an action learning group.

In *multiple-problem sets* (also referred to as *open-group* or *classic* action learning or action learning *circles*), each individual member brings his or her problem/task/project to the group for help from fellow members to solve. The members self-select to join the group and support and assist each other on the problems that they bring. During each action learning session, each member is allocated time for the group to work on his or her problem. Thus, a six-member group that meets for three hours would devote approximately thirty minutes to each person's problem.

In open-group action learning, the members may meet on a monthly basis for a few months or a few years. Open-group action learning is usually voluntary and has more limited funding. Thus, the groups often meet on their own time and rotate the coaching role among themselves. Over a period of time, new members may join as older members withdraw. The members are

usually representatives from a variety of organizations, as well as independent consultants and people who are no longer in the workplace (Marquardt, 2011a).

THEORETICAL UNDERPINNINGS OF ACTION LEARNING

Action learning has an amazing capacity and power to solve complex problems and change individuals, teams, and organizations. What accounts for this marvelous capacity? Why does action learning work so well? Simply stated, action learning is successful and powerful because it has the unique ability to interweave a wide array of organizational, psychological, sociological, educational, and political theories that form a foundation and synergy unavailable in any other source. Action learning works so well because it integrates and builds on the best practices and principles of the following disciplines:

- *Management science.* Action learning incorporates the leadership principles and theories espoused by theorists and world-renowned authors such as Collins (2001), Drucker (2006), Goleman (2006), Peters (2010), and Bryant (2011). It integrates theories of organizational change and complex adaptive systems as well as the major management principles of McGregor, Maslow, and McClelland.
- *Education.* Action learning capitalizes on the theories, principles, and practices of each of the five schools of adult learning, namely, the behavioral, cognitive, humanist, social learning, and constructivist schools (Waddill & Marquardt, 2003). Unlike most development programs, which tend to favor one approach or another to learning, action learning bridges these schools and builds from their best ideas and practices.
- *Psychology.* Action learning utilizes key aspects of individual, group, and social psychology, including the classic theories of Jung, Skinner, Rogers, Allport, and Mead, as well as more recent research in the field of industrial or organizational psychology.
- *Group dynamics.* Action learning incorporates the best and most applicable principles of group interaction, communications, cohesion, management of conflict, decision making, strategy development, and action implementation (Hackman, 2011; Levi, 2011).
- *Sociology.* Action learning taps into the principles of the field of sociology as advanced by leading sociologists such as Mead, Durkheim, Weber, and Parsons. Also, the benefits gained by having diversity in

organizational rank, age, gender, education, and experience allow a group's action learning to be powerful (Weick, 2000).

- *Open systems and engineering (chaos theory)*. Action learning avoids the limitations of Newtonian physics and uses the energy and chaos of open systems engineering. Action learning groups are deeply and naturally engaged in systems thinking via the questioning process, the decision making in complex environments, and the diversity in membership.
- *Political science*. Action learning utilizes and balances the politics of power, distributing it throughout the group and ensuring opportunities for all to participate and lead (Shively, 2009). For example, a key power in action learning is not necessarily the person with the highest rank or the most knowledge, but rather the one who has the best questions (which may come from an administrative assistant as easily as from a CEO).
- *Appreciative inquiry*. Action learning searches to uncover and build on the best and most positive elements of every situation. Groups explore first what is going well, what works, what can be done better, what the group wants to achieve—not what went wrong. The group moves quickly from the presenting problem to the reframed problem to what it is attempting to achieve (Cooperrider, Sorensen, & Yaeger, 2001).
- *Ethics*. In action learning, issues that are normally kept underneath the table and are used to keep the group from its optimum performance are brought above the table by the questions of the action learning coach. Hidden and political agendas are opened with dialogue rather than entrenched and enhanced with debate and power grabs. Respectfulness and fairness are engrained in the action learning process (Dean, 1998).
- *Biology and life science*. As an organism's environment becomes more complex and unpredictable, the organism must develop adaptive and transformative capabilities. The organism's own capabilities interact with the environment to produce a unique path of evolution. No change can happen that doesn't build on existing capacity. Organisms, like action learning teams, must have the ability to create their own breakthroughs. All parts of the organism must be mobilized for action as action learning carries its learning to the organization (McLagan, 2003).
- *Anthropology*. Action learning is widely practiced and equally effective in cultures around the world because it builds on the universals of individual and group values (respect, reflection, causes of satisfaction) and yet is sensitive to each individual culture (Geertz, 1993; Hofstede, 2010).

OVERVIEW OF THE STAGES OF ACTION LEARNING

There are many different forms of action learning. Action learning groups may meet for one or several times over a few days or over several months, may handle one or many problems, and may meet for short periods or long periods. However, action learning generally operates along the following stages and procedures:

Formation of group. The group may be volunteers or be appointed, and may be working on a single organizational problem or each other's individual problems. The group may have a predetermined amount of time and sessions, or may determine these aspects at the first meeting.

Presentation of problem or task to group. The problem (or problems, if a multi-problem group) is briefly presented to the group. Members ask questions to gather more information about the problem or task.

Reframing the problem. After a series of questions, the group, often with the guidance of the action learning coach, will reach a consensus as to the most critical and important problem that the group should work on and establish the crux of the problem, which may differ from the original presented problem.

Determining goals. Once the key problem or issue has been identified, the group searches for the goal, one that solves the problem in a sustainable way as well as energizes the group.

Developing action strategies. Much of the time and energy of the group will be spent on identifying and pilot-testing possible action strategies. Like the preceding stages of action learning, strategies are developed via the reflective inquiry and dialogue modes.

Taking action. Between action learning sessions, the group as a whole (as well as individual members) collects information, identifies status of support, and implements the strategies developed and agreed to by the group.

Capturing learnings. Throughout and at any point during the session, the action learning coach may intervene to ask the group members questions that will enable them to reflect on their performance and to find ways to improve their performance as a group.

IMPORTANCE OF DIVERSITY IN ACTION LEARNING

Action learning thrives on and leverages group diversity since the creative solving of difficult, complex problems requires requisite variety (Ashby, 1965), as it enables the group to see and understand the problem from multiple

perspectives. Diversity also generates the synergy and strength to ask the challenging questions needed to solve problems. The diversity in action learning groups is equally valuable in helping others to learn, as it provides feedback and reflection from multiple perspectives.

Unlike most problem-solving groups, which are afraid of diversity because it can cause personality conflicts and require great amounts of time to get everyone “up to speed” and “on the same page,” action learning encourages questions from all perspectives; thus, outside members can ask their “fresh” questions within a few minutes of joining the group. Action learning seeks diversity not only in terms of gender, age, ethnicity, and education, but also in terms of hierarchy, expertise, and personality.

EVIDENCE FOR THE EFFECTIVENESS OF ACTION LEARNING

Although organizations and individuals around the world have regularly reported success in their use of action learning programs, these reports have been mainly anecdotal case studies. However, very little rigorous research has been conducted to determine the effectiveness of action learning. Recently, however, Leonard and Marquardt (2010) and Cho and Egan (2010) have conducted extensive meta-analyses of refereed articles as well as doctoral dissertations from every part of the world. The evidence elicited from these studies support the following: (1) action learning develops broad executive and managerial leadership skills, particularly collaborative leadership and coaching skills; (2) action learning improves the ability of managers to develop integrative, win/win solutions to conflict situations; (3) governing variables that were consistently identified as critical to the success of action learning include questioning, taking action, learning from group members, listening, group diversity, feelings of confidence and well-being, safe environment, and the presence of a coach; and (4) significant factors for conducting successful action learning programs involved (a) *team-level processes* of skilled coaching, diversity, self-directed team processes, effective team presentations, and review of team processes as well as (b) *organization-level processes* of ensuring implementation of solutions, alignment and importance of the problem, support of top decision-makers, and the leveraging of organizational resources.

APPLICATIONS OF ACTION LEARNING

Action learning is used to accomplish the following five objectives: (1) solve problems, (2) develop leaders, (3) build teams, (4) create learning organizations, and (5) increase individuals' professional skills.

Problem Solving

Action learning begins with and builds around solving problems—the more complex and the more urgent, the better suited is action learning. The dynamic interactive process used in action learning allows the group to see problems in new ways and to gain fresh perspectives on how to resolve them. Questioning from multiple perspectives creates solid systems thinking in which the group sees the whole rather than parts, relationships rather than linear cause-effect patterns, underlying structures rather than events, and profiles of changes rather than snapshots. The action learning process enables the group to look for underlying causes and leveraged actions, rather than symptoms and short-term solutions. Action learning examines both macro and micro views so as to discover when and how to best implement the proposed actions. As a result of its fresh approach to problem solving, action learning generates “breakthrough” insights, solutions, and effective strategies (Marquardt & Yeo, 2012).

Leadership Development

Most leadership development programs, whether corporate or academic, have been ineffective and expensive (Pfeffer & Fong, 2002). The weaknesses of traditional leadership development programs are caused by a number of factors, most notably: (1) teachers rather than practitioners are the purveyors of knowledge, (2) a separation exists between the learning and action, (3) very little learning gets transferred to the workplace, (4) the business environment is changing so fast that the knowledge gained from the programs is too slow and inadequate, and (5) there is an absence of reflective thinking in the education process (McNulty & Canty, 1995). Typical executive development programs provide little of the social and interpersonal aspects of the organizations and tend to focus on tactical rather than strategic leadership.

Action learning differs from normal leadership training in that its “primary objective” is to ask appropriate questions in conditions of risk, rather than to find answers that have already been precisely defined by others and that do not allow for ambiguous responses because the examiners have all the approved answers (Revans, 1982). Action learning does not isolate any dimension from the context in which managers work; rather, it develops the whole leader for the whole organization. What leaders learn and how they learn cannot be dissociated from one another, for how one learns necessarily influences what one learns (Dilworth, 1998).

Traditional leadership programs that use case studies are like learning how to steer a boat by looking out the stern. Examining what happened yesterday will not drive change or make a company competitive. Today, success factors keep changing, and no company can stay on top by doing what it used to do. In action learning, we have the opportunity to grow as leaders, because we

are reflecting on what is urgent and important to us and when our assumptions are challenged. McGill and Beaty (1995) point out how action learning provides managers the opportunity to take “appropriate levels of responsibility in discovering how to develop themselves” (p. 37).

Building Teams

Action learning teams are extremely cohesive and high-performing. They become more effective every time they meet, because the action learning process focuses on how individually and collectively teams can become smarter and faster. A “team-think and team-learn” capability steadily emerges. The group shares clear responsibility and accountability on real problems, causing a need for deliberative team unity and success. The process of ongoing questioning and shared learning builds powerful caring and cohesion among the members. Developing consensus around problems and goals develops clearness of task, strong communications, collaboration, and commitment, during which powerful team synergy and learning emerge.

Creating Learning Organizations

A learning organization is constructed around four primary subsystems: (1) increased learning skills and capacities, (2) a transformed organizational culture and structure, (3) an involvement of the entire business chain in the learning process, and (4) enhanced capability to manage knowledge. Members of action learning groups transfer their experiences and new capabilities to their organizations in a number of ways.

- First, action learning groups themselves are mini-learning organizations and model perfectly what a learning organization is and how it should operate.
- Action learning groups seek to learn continuously from all their actions and interactions. They adapt quickly to external and internal environmental changes.
- Learning and knowledge are continuously captured and transferred to other parts of the organization that could benefit from these experiences.
- Individuals who participate in action learning groups appreciate the tremendous benefits of questions and reflection in helping them to continuously improve when they return to their respective jobs. They are better learners, as well as better leaders.
- As the action learning members resume their day-to-day activities, their new mindsets and skills gradually impact the entire organization,

resulting in a culture more likely to learn continuously, to reward learning, and to connect learning to all business activities (Marquardt, 2000).

Individual Professional Growth and Development

Weinstein (1995) notes that participants in action learning achieve learning at three different levels: (1) understanding something intellectually, (2) applying some newly acquired skill, and (3) experiencing and thereby undergoing an inner development that touches on beliefs and attitudes and leads to personal development. Action learning is particularly effective at this third level, since it provides the opportunity for internal dissonance, while the problem and/or action may provide the external trigger. In action learning we become more aware of our blind spots and weaknesses, as well as our strengths; and we receive the feedback and help that we have requested.

Action learning generates tremendous personal, intellectual, psychological, and social growth. Butterfield, Gold, and Willis (1998) note how action learning participants experience “breakthrough learning” when they became aware of the need to reach beyond their conscious beliefs and to challenge their assumptions about their present worldviews. This readiness to change and grow is a prerequisite for development. Some of the specific skills and abilities developed for those participating in action learning include:

- Critical reflection skills;
- Inquiry and questioning abilities, where the individual can do more than just advocate and push personal opinions;
- Systems thinking, so that individuals begin to see things in a less linear, less accurate fashion;
- Ability to adapt and change;
- Active listening skills and greater self-awareness;
- Empathy, the capacity to connect with others;
- Problem-solving and strategy-selection skills; and
- Presentation and facilitation skills.

Action learning has also been utilized as a highly valuable tool for examining and advancing one’s personal career. For example, job seekers have effectively used action learning to help them better understand themselves, their career goals, their strengths, and the best resources for locating and landing a job.

Examples of how various organizations have utilized action learning for problem solving, leadership development, team building, creating learning organizations, and professional development are presented in Table 32.1.

Table 32.1 Organizational Applications of Action Learning

| <i>Organization</i> | <i>Primary Focus of Action Learning Program</i> | <i>Outcomes</i> |
|---|---|--|
| United Nations Environmental Program (UNEP) | Problem solving | Design, funding, and construction of a carbon-neutral headquarters for UNEP within twelve-month time period (UN, 2012) |
| Microsoft | Leadership development, professional growth | Implementation of a global Front Lines Leadership program with projects in Peru, Kenya, Singapore, United Arab Emirates, and United States (Waddill, Banks, & Marsh, 2010) |
| Intelsat | Problem solving and team building | Identification of new funding sources and clients for satellites |
| Panasonic | Organizational learning, team building | Incorporation of action learning into the orientation and on-boarding of all new employees (Marquardt, Leonard, Freedman, & Hill, 2009) |
| American University | Leadership development | Action learning as cornerstone in executive master's degree in public administration program (Kramer, 2008) |
| Fairfax County Public Schools | Problem solving, leadership development | Leadership development for assistant school principals |
| Goodrich | Problem solving, organizational learning | Development of a corporate electronics center |
| Boeing | Leadership development, problem solving | Development of Boeing partnerships in Europe, Asia, and Australia (Marquardt, 2003) |
| Federal Aviation Administration | Team building and organizational change | Design and implementation of restructuring of human resources |
| Toyota | Problem solving, organizational learning | Development and implementation of Lexus marketing strategy in Japan (Marquardt, Leonard, & Freedman, 2009) |
| Caribbean Water Project | Community development | Development of political, legal, and institutional framework for watershed management among Caribbean countries (McIntosh, Leotaud, & Macqueen, 2008) |

| <i>Organization</i> | <i>Primary Focus of Action Learning Program</i> | <i>Outcomes</i> |
|--------------------------------|---|--|
| DuPont | Problem solving | Programs to reuse, reduce, and recycle Corian byproducts (Marquardt & Yeo, 2012) |
| Constellation Energy | Problem solving and organizational learning | Development of a work schedule for miners |
| Nationwide Insurance | Problem solving | Increased market share through better collaboration with independent agents (Yeo & Nation, 2010) |
| Arkansas Electric Cooperative | Organizational learning and team building | Development of scorecard measurements |
| Sony Music | Leadership development | New streams of revenue by developing a full services agreement with new and renewing artists, including marketing of tours and merchandise |
| Morgans Hotel Group | Problem solving | Development of strategies to sustain hotel occupancy during construction |
| Welsh Farmers | Problem solving and community development | Income-generating projects, including bio-fuel plant, brewery, tourism, and egg marketing (Williams, 2007) |
| Anglo American Mining | Team building and problem solving | Budget management and cost accounting systems established (Perrie, Bergh, & Gross, 2012) |
| National Bank of Dominica | Organizational learning | Development of a customer-focused corporate culture (Marquardt & Yeo, 2012) |
| Federal Deposit Insurance | Problem solving and organizational learning | Development and implementation of environment culture |
| U.S. Department of Agriculture | Leadership development, team building | Improvement of leadership skills of senior leaders (Raudenbush & Marquardt, 2008) |
| Humana Health Systems | Leadership development | Strategies for homecare and for lowering health care costs |

CHALLENGES IN THE APPLICATION OF ACTION LEARNING

A number of challenges exist for organizations as they seek to implement and sustain action learning programs.

- *Time commitment*—members in action learning groups may be working for many hours both within but also between sessions. Managers thus will need to allow them to attend all the action learning sessions and possibly identify other staff to implement the members' day-to-day work while they are engaged in the action learning project.
- *Submission of an urgent and important project*—managers may be reluctant to submit an important problem to the action learning group for fear that they may not develop the desired strategies. If they give action learning groups projects that are deemed by the action learning group as being unimportant, group members will quickly lose their creative energy.
- *Large groups*—for political and social reasons, organizations may choose to put ten, twelve, or more members into the action learning group. The resultant large group will have a difficult, if not impossible, time to collectively learn and decide in an efficient, effective way.
- *Commitment to learning*—organizations may feel that the group can operate without a designated, competent action learning coach, and thus attempt to operate without this resource. However, without the presence of the action learning coach, the importance of learning is soon subsumed by the urgency of the action. And with little or no time spent on learning, the action learning group will revert to the lower and slower productivity of typical problem-solving groups.

AREAS FOR FUTURE RESEARCH

Action learning is an evolving methodology that continuously seeks to improve its benefits and to better solve the complex problems faced by groups, organizations, and communities. Much of the research done on action learning to date has been qualitative case studies. Thus, much more effort should be made to undertake more quantitative measurement relative to the impact of action learning on individual, group, and organization development via pre- and post-tests (Marquardt, Leonard, Freedman, & Hill, 2009).

The introduction of action learning coaches is a relatively new phenomenon in action learning programs. Research on how coaches can be better

trained and how they can be most effective in serving as coaches are critical areas to explore. The use of questions is an important element of action learning, and research on when and how to ask questions that generate learning as well as action should be undertaken.

Another important research area to measure is the impact of action learning on leadership development, especially in the areas of critical thinking, innovation, self-awareness, and systems analysis, including how these skills can best be developed during the action learning sessions as well as how they can be sustained between and after the action learning project.

CONTINUED GROWTH OF ACTION LEARNING AROUND THE WORLD

Although action learning has been implemented since the 1940s when Reg Revans brought action learning in the coal mines of England and Wales, the growth of action learning was relatively minimal during its first sixty years. Beginning with the dawn of the 21st century, however, it has rapidly expanded into every type of organization and in all types of communities in every part of the world. The clear signs of action learning's popularity can be seen in its appearance in a growing number of publications. Whereas only a few books were written about action learning in the 1900s (and almost exclusively in English), scores of action learning books have been written and/or translated into over twenty languages, including Korean, Italian, Japanese, Chinese, Thai, Portuguese, Russian, Arabic, Spanish, and Farsi, in the first decade of the 21st century.

As more and more people become aware of the unique and ubiquitous power of action learning to solve complex problems, develop leaders, build teams, and transform organizations, it will continue to grow in public and private agencies as well as in academic and community environments (Boshyk & Dilworth, 2010; Kramer, 2008; Marquardt, 2011b).

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Virtual HRD

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Human resource development (HRD) is an evolving field. It changes with the needs and strategies of professionals and their organizations. Thus, it is subject to the social and historical context of a given era, which presently is characterized by knowledge work and the widespread integration of digital technologies. Information and communication technologies have become so ubiquitous that they are often taken for granted, at least until web server or cell phone outages delay the flow of constant communication. New generations of employees expect work to be virtual, to some extent, and many people are no longer traveling to a singular workplace. Rather, technology has enabled “workplace” to be a flexible concept that includes the ability to access work systems from many locations and to connect through technology to many other locations. Web technology, including the Internet and internal knowledge networks or intranets, gives the appearance of seamlessness when systems are often disparate and decentralized. Seamlessness provides strategic virtual space that extends human capability, and blending the power of people and technology is the subject of this chapter: Virtual HRD.

Virtual HRD is a new area of inquiry that represents a paradigm shift in the field (Bennett, 2010), because it focuses on the virtual environment in which HRD processes occur rather than just the processes themselves (Bennett, 2009a). It also connects other essential organizational activities in the same system, such as workflow and management systems, to create strategic synergy—if used appropriately. There are plenty of examples of non-strategic, and worse, destructive, uses of technology that plague this era. Think spam and spyware. Instead, Virtual HRD is predicated on developing technology to create an environment for optimal learning, performance, and growth of individual and organizational capacity. Virtual HRD must also be viewed in terms of the larger organizational systems, both technical (information systems) and practical (policies and functions).

Technology has been a growing focus in HRD, although most accounts have addressed the subject of isolated technology tools or online learning systems (McWhorter, 2010), yet there has been an increasing prevalence of technology-related publications (Githens, Dirani, Gitonga, & Teng, 2008). A call for technology development to be added to the pillars of organization development, training, and career development was issued (Bennett, 2010), underscoring a fundamental difference between Virtual HRD and information technology, with greater emphasis on learning in Virtual HRD.

This chapter will show that Virtual HRD touches many theoretical and practical aspects of HRD, but it is also its own area of inquiry. The chapter defines Virtual HRD, provides essential theoretical and practical underpinnings, defines technology development, and addresses enabling technologies and new skills for HRD professionals.

DEFINING VIRTUAL HRD

Virtual HRD is defined as a “media-rich and culturally relevant web[bed] environment that strategically improves expertise, performance, innovation, and community-building through formal and informal learning” (Bennett, 2009a, p. 364). A webbed or networked environment often takes the form of an intranet, or an organization’s private knowledge system that connects software applications, technology-enabled workflow, and electronic communications, making them appear seamless and centralized through the use of web technology. Even in organizations that rely heavily on mobile technology, there are often one or more central hubs that manage communication and essential resources.

The definition of Virtual HRD stems from empirical research that studied how organizational culture and change were embedded in an intranet (Bennett, 2006). The study was framed primarily by organizational culture theory and knowledge management. Traditional theories of organizational culture address how shared values and beliefs among members are central to organizational activities (Deal & Kennedy, 2000; Kotter & Heskett, 1992; Schein, 1997, 1999), including the way organizations manage knowledge. Knowledge management is an area of inquiry that focuses on how knowledge is acquired, created, and distributed (Alvesson & Kärreman, 2001; Lengnick-Hall & Lengnick-Hall, 2003), and it deals with various forms of knowledge, including a distinction between tacit (unspoken or taken for granted) and explicit knowledge (Bhatt, 2001; Choo, 1995). The distinction between tacit and explicit knowledge is more relevant with web technology than in traditional information systems because graphics, sounds, emotions, and other forms of human communication provide a unique look and feel to a given intranet (Bennett, 2009a).

In the field of HRD, the connections between organizational culture and knowledge management were modeled by Bennett (2005, 2009a, 2009b). She concluded that cultural values and assumptions determine the relevance and meaning of new information within a corporate context, and knowledge management activities reinforce and change organizational culture, since cultural knowledge can be managed through technology. This creates mutual influence that occurs at tacit and explicit levels, predicated on learning.

The way in which organizations consume information is critical for performance and even for corporate survival (Choo, 1995), and consumption requires learning and interpretation through a lens of prior knowledge, experiences, and values (Bennett, 2005). Knowledge management is closely connected to organizational learning, sometimes used synonymously, but a useful distinction places the emphasis of organizational learning on learning process, whereas knowledge management involves technology (Cummings & Worley, 2005). Organizations learn when new knowledge and solutions to problems are embedded (Garvin, 2000) or crystallized (Watkins, 1996) in organizational structures, including technical systems (Bennett, 2009a). Newer views of knowledge management mirror organizational learning, especially notions of knowledge processing. Knowledge processing depends on omnidirectional communication at all points and it starts with individual learning, moves to group learning and adoption by the organization, and finally integration into practice (McElroy, 2003). Organizational learning multiplies individual learning; even small changes can shift groups in substantially different directions. Learning, then, is a fundamental aspect of Virtual HRD at all organizational levels.

Learning Is Fundamental to Virtual HRD

A fundamental proposition in Virtual HRD is the centrality of learning and interaction within a virtual environment. Two forms of learning are contained within the definition of Virtual HRD: (1) *formal learning* that is instructor designed with predetermined learning objectives and (2) *informal learning*, which is everyday learning. Both contribute to a thriving environment for Virtual HRD and to the development of an organization's people resources. Formal learning is essentially training delivered electronically or supported by technology, and it is most often the focus of HRD professionals and managers alike. It is designed instruction and is more often knowledge-based, or explicit, although experiential components built into formal learning can develop tacit knowledge or personal knowing (Polanyi, 1966), which helps build expertise.

As a field, though, HRD recognizes that training is not always the answer for improving organizations and that one must think more widely about the

facets that affect performance, such as changes to work systems and reward structures. This is why HRD integrates training, career development, and organization development (McLagan, 1989) to “unleash the power of human expertise” (Swanson & Holton, 2001, p. 4). Expertise is built through day-to-day work and it develops over time. Simply put, expertise requires informal learning from experience. The vast amount of information available through technology, and the communication that occurs through technology, is more likely to inspire informal learning, and so it is the stronger partner in Virtual HRD over formal learning (Bennett, 2009a), yet it may not be the first thing considered during organizational diagnosis.

Informal learning occurs in natural settings with learner direction, even if the learner does not recognize it as learning (Merriam, Caffarella, & Baumgartner, 2006). Informal learning takes at least three forms that vary by the extent to which they are conscious and intentional activities (Bennett, 2011a, 2011b, 2012; Schugurensky, 2000). These are (1) self-directed learning that is conscious and intentional, (2) incidental learning that is conscious but unintentional, and (3) tacit learning that is both non-conscious and unintentional. Integrative learning is a newly theorized fourth form of informal learning that is non-conscious but intentional learning, which involves intuition and manifests through sudden insight or the classic “aha!” moment (Bennett, 2011a, 2012).

People learn all the time in ways that are often not recognized, yet are essential for the healthy functioning of an organization. Informal learning can also lead to negative consequences. For example, a particular culture can inadvertently reward withholding information and punish risk taking. Power may be achieved through knowledge hoarding, lack of transparency, and shifting expectations without notice. Consequences serve to reduce knowledge sharing and informal learning, and thus inhibit Virtual HRD. Negative messages may be inferred through language use in corporate systems, even if explicit encouragements are also there. Members learn over time by watching actions and engaging in interactions to confirm what is acceptable. This idea is supported by Bennett’s (2006, 2007) research that identified daily interaction through technology as a key ingredient for understanding culture and enabling Virtual HRD; it is not sufficient for technology systems to function simply as a repository. Although some limited acquisition of new information can occur when technology is used as a repository, it is not necessarily strategic or useful, nor does it build community.

Cultural practices can support or hinder knowledge practices and learning. Organizational (or group) culture, then, is highly influential to learning in Virtual HRD because it directs how technology develops and the types of communications that are allowable in a given environment. Additionally, actions that seem appropriate for the larger corporate culture could

potentially harm subcultures that formed over time and have become necessary for a particular type of work context, even ones that seem to be oppositional to wider corporate values. Given the role of culture, HRD professionals must address both individual and collective activities that make up organizational learning and performance within organizational technology.

Individual and Collective Activities in Virtual HRD

The definition of Virtual HRD includes higher order activities that are important outcomes for professional work, and they occur at the individual and collective levels. These are the development and improvement of (1) performance, (2) expertise, (3) innovation, and (4) community building. While not exhaustive, they contain many subtasks and learning processes that accomplish these outcomes. As more work is supported by technology tools, the more experiences that build expertise are mediated through technology. The outcomes identified here can work in concert or potentially conflict with each other. For example, innovation relies on creativity, which can be hindered by short-term performance expectations. In fact, some suggest that external pressure to perform can heighten a person's attention away from internal creative processes and result in routine and uncreative responses (Partridge & Rowe, 1994). A balance needs to be struck to solve the tensions among various short- and long-term outcomes in Virtual HRD; this is a critical area for future research.

Because a technology-enabled environment includes both individual and collective activity, there are varying units of analysis during organizational diagnosis. One person's individual performance affects the collective and vice versa. If an activity can be enabled by technology, it can also be disabled or derailed. HRD professionals can participate in analysis and planning phases to steer technology away from disabling an organization and to promote optimal learning conditions that grow organizational capacity. Long-term health also depends on building community and a sense of belonging. Palloff and Pratt (1999) regard communication efforts within technology as an attempt to build community. Technology-enabled interaction with other organizational members in Virtual HRD can build healthy social bonds within professional groups and organizations, even if members are remotely distributed.

Performance, too, can reflect an individual's contributions, that of a group or work unit, or even the larger organization's accomplishments. Each level of performance overlaps with another level within Virtual HRD and, thus, demonstrates organizational learning. Organizational mission and objectives guide performance expectations and are often embedded in technology via content development and application selection. Social bonds can promote engagement and retention, but could potentially inhibit individual action and creativity if

the balance swings to the collective, a type of groupthink, and away from personal initiative. The challenge is holding activities at the individual and collective level in balance. Next, we will consider Virtual HRD within the context of the larger Virtual HR system.

Virtual HRD Within Virtual HR

In an organizational context, a leader engages in both human resource management (HRM) and development activities, the aims of which can conflict. For example, an employee's short-term performance may suffer when he or she makes mistakes necessary for growth and development. A leader needs to know when to chalk up mistakes to valuable development needs versus holding the employee accountable; balancing these approaches is not easy without devaluing performance expectations or, conversely, demotivating future learning and development. It is our perspective that these tensions are inherent in technology-enabled environments, and the effect of punitive measures can be more widespread, given that individual and organizational learning are present in one system.

According to Bennett and Bierema (2010), Virtual HRD is a branch of Virtual HR, and it coexists and sometimes conflicts with Virtual HRM. The authors identified typical activities within Virtual HR, which are depicted in Figure 33.1. Activities on the left side are more characteristic of management and are typically part of human resource information systems. Activities on the right side are more consistent with HRD. Virtual HRM allows employees access to corporate policies and self-service benefits, and it digitizes recruitment and new employee on-boarding, which meet management aims, but do not necessarily develop employees to be exceptional contributors within their work groups.

Bennett's (2006) study of an intranet demonstrated that an organization's use of electronic performance reviews, tracking of safety training, and other HRM requirements coexisted with informal learning, development, and community building within the same system. Ideally, development includes fostering collaboration, authentic work environments, feedback, and communication; although these are often unevenly practiced in real organizational life and they require continuous efforts of adaptation and improvement. In a nutshell, development requires learning, but learning can be subject to organizational and technological constraints.

When used effectively, Virtual HR can create synergy between management and development. For example, an employee could complete an online training certificate that is automatically recorded in his or her electronic personnel record, which could then be rewarded with merit pay and recognized in the company newsletter. The synergy not only serves to support individual

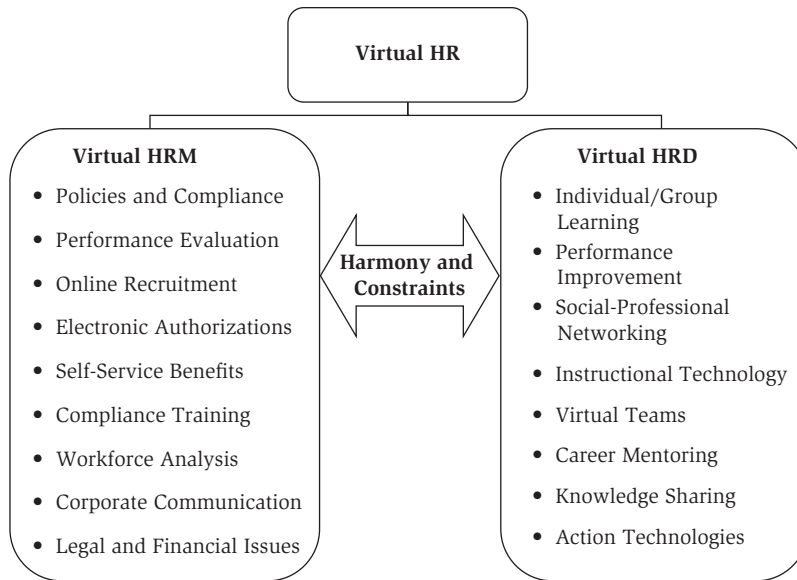


Figure 33.1 Branches in Virtual HRD

Adapted from Bennett and Bierema, 2010.

accomplishment, but also reinforces organizational values for all members because what the company values is made public through email or the intranet. The combined branches of Virtual HR echo organizational learning premises, particularly Argyris and Schön's (1996) description of an organization's theory of action, where individuals have incomplete pictures of organizational knowledge because knowledge is also embedded in complex routines, practices, and systems that hold fundamental beliefs and assumptions about how to accomplish work, which includes all organizational communication and administrative activities such as "allocating resources to particular functions, rewarding and punishing individual performance, constructing career ladders and regulating the rates at which individuals climb them, and recruiting new members and instructing them in the ways of the organization" (p. 14). Clearly, the scope of learning and action is large and complex, especially when adding the ingredient of virtual technologies. It can be difficult to know where to draw the line between the need for flexibility and the need for structure.

Given the ubiquitous nature of technology, we can extrapolate that Virtual HR embeds an organization's theory of action, its culture, its knowledge, and its ability to develop people within a technological environment that is media-rich and culturally relevant. A more complete picture of organizational knowledge can be found in technical systems, given the vast amount of

individual and organizational learning used to create them over time. HRD's role is to promote Virtual HRD so that it is strategically aligned with the overarching mission and to protect learning and collaborative activities that develop expertise, innovation, performance, and community building, as well as other essential activities in the field that can be supported by technology.

In summary, this section provided an overview of definitional and theoretical issues in Virtual HRD. Next, this chapter addresses emerging perspectives of Virtual HRD reflected in the HRD literature.

EMERGING PERSPECTIVES OF VIRTUAL HRD AND ENABLING TECHNOLOGIES

Virtual HRD has developed to the point that it is being formalized as an area of inquiry (McWhorter, 2010). The discussion has primarily been held at the Academy of Human Resource Development annual conference in the Americas and in a themed issue of *Advances in Developing Human Resources* (McWhorter & Bennett, 2010). Virtual HRD can be informed by many theoretical perspectives and existing bodies of research. For example, Virtual HRD has been analyzed from the lens of alternative work strategies, such as working from home (Bennett, 2009), and virtual team literature, indicating that trust and non-authoritarian approaches are needed in Virtual HRD (Bennett & Bierema, 2010). Table 33.1 provides an overview of articles published in *Advances* that focused on defining and exploring Virtual HRD, including keywords and authors. A common element to all articles was the criticality of learning for Virtual HRD. The information in Table 33.1 demonstrates there are many emerging perspectives applicable to Virtual HRD.

Best practices for adult learning (Mancuso, Chlup, & McWhorter, 2010) and adaptive game-based learning (Huang, Han, Park, & Seo, 2010) were explored in two articles. Chapman and Stone (2010) and Nafukho, Graham, and Muyia (2010) addressed measurement aspects of Virtual HRD, the former from a perspective of authentic assessment and the latter recommended human capital formulae. Yoon and Lim (2010) drew the connection between virtual learning and talent management. Bennett and Bierema (2010) discussed Virtual HRD as an ecological system that can and should be critiqued to promote equal opportunity and innovation. These perspectives support the idea that the traditional purposes of HRD are not replaced or supplanted by Virtual HRD (Bennett, 2010). Virtual HRD, instead, shifts the paradigm in which HRD operates with the integration of technology. Next, this chapter addresses enabling technologies for Virtual HRD.

Table 33.1 Virtual HRD Articles in *Advances in Developing Human Resources Journal*

| <i>Title</i> | <i>Issue</i> | <i>Key Words</i> | <i>Authors</i> |
|---|--------------|--|--|
| Virtual HRD: The Intersection of Knowledge Management Culture and Intranets | 10(4), 2009 | knowledge management; organizational culture; virtual human resource development; technology; intranet; alternative work strategies | Elisabeth E. Bennett |
| Exploring the Emergence of Virtual Human Resource Development | 12(6), 2010 | VHRD; Virtual HRD; virtual teams; virtual world | Rochell R. McWhorter |
| The Ecology of Virtual Human Resource Development | 12(6), 2010 | Virtual HR; Virtual HRD; innovation; technology; systems of innovation; critical HRD | Elisabeth E. Bennett Laura L. Bierema |
| Harnessing and Optimal Utilization of Human Capital in Virtual Workplace Environments | 12(6), 2010 | Virtual HRD; human capital; virtual learning; globalization | Fredrick M. Nafukho Carroll M. Graham Helen M. A. Muyia |
| Measurement of Outcomes in Virtual Environments | 12(6), 2010 | VHRD; virtual learning environment; 3D virtual worlds; evaluation; assessment; HRD | Diane D. Chapman Sophia J. Stone |
| A Study of Adult Learning in a Virtual World | 12(6), 2010 | adult learning; andragogy; Virtual HRD; VHRD; virtual environment | Donna S. Mancuso Dominique T. Chlup Rochell R. McWhorter |
| Managing Employees' Motivation, Cognition, and Performance in Virtual Workplaces: The Blueprint of a Game-Based Adaptive Performance Platform (GAPP) | 12(6), 2010 | VHRD; motivation; game; performance; workplaces; Virtual HRD | Wen-Hao David Huang Seung-Hyun Han Un-Yeong Park Jungmin Jamie Seo |

(Continued)

Table 33.1 (Continued)

| <i>Title</i> | <i>Issue</i> | <i>Key Words</i> | <i>Authors</i> |
|---|--------------|--|-------------------------------|
| Systemizing Virtual Learning and Technologies by Managing Organizational Competency and Talents | 12(6), 2010 | virtual learning; technology; competency; talent management; VHRD | Seung Won Yoon Doo Hun Lim |
| The Coming Paradigm Shift: Synthesis and Future Directions for Virtual HRD | 12(6), 2010 | Virtual HRD; VHRD; learning transfer; workforce development; knowledge management | Elisabeth E. Bennett |

Enabling Technologies

The influence of technology on the field of HRD has been far-reaching. Swanson and Holton (2009) discussed advancing technologies that have impacted the field of HRD. These technologies included solving problems, delivery of interventions, and development when and where it is needed. Chermack, Lynham, and Ruona (2003) predicted key trends that impact HRD practice, including the “marketability of knowledge” and a “technological explosion” (p. 258) that preceded the emergence of Virtual HRD.

Technology Is About Solving Problems Technology has been defined as “a sociotechnical means of defining and solving problems (Swanson & Holton, 2001, p. 382), and it is generally accepted as the application of knowledge to practical dilemmas. In this broad context, HRD professionals use technology routinely, and there is an increasing emphasis on digital technology for interventions that improve performance. For instance, a recent trend has been the application of *lean six sigma concepts*, which are methods for eliminating wasted time, money, and material. Kannan (2010) offered ten key technologies for lean process improvement initiatives (see Table 33.2). These technologies can also be considered as enablers of Virtual HRD, as they create environments that strategically improve performance through the efficient management of knowledge flow.

One example from the list of key technologies for lean process improvement highlights the prevalent trend of employee self-service (ESS) tools (Kannan, 2010), which are part of Virtual HRM. Leading vendors of enterprise software, such as Oracle, PeopleSoft, and SAP, offer portal, intranet, and

Table 33.2 Ten Key Technologies for Lean Process Improvement

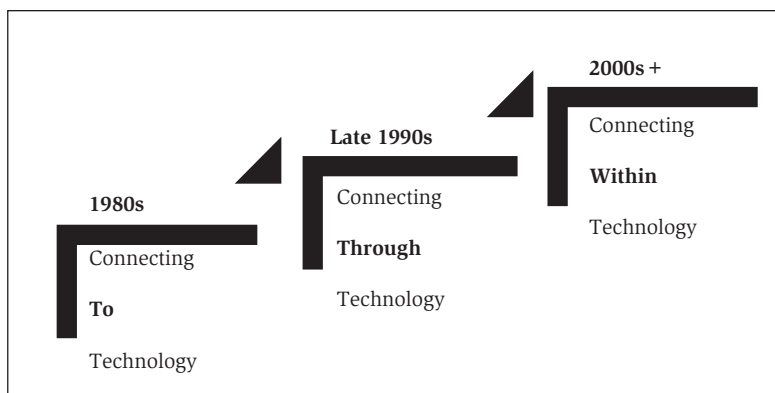
| | |
|-----|---|
| 1. | The Internet |
| 2. | Wireless Connectivity |
| 3. | Automated Workflow Systems |
| 4. | Scanning and Digitization |
| 5. | Service-Oriented Architectures |
| 6. | Document Management Systems |
| 7. | Business Process Monitoring and Measurement |
| 8. | Business Process Management Systems |
| 9. | Business Rules Systems |
| 10. | Online CRM Systems/Self-Service FAQ System |

Source: Kannan, 2010.

web-based services that allow employees to independently handle job-related tasks, such as updating their employee profiles, choosing insurance benefits, retrieving company information, and applying for reimbursements (Snell & Bohlander, 2010). ESS tools can result in substantial savings in insurance administration costs and HR staffing because employees take more responsibility for their own professional needs (Jackson, Schuler, & Werner, 2012), which may affect their development and career aspirations as they build new knowledge through these interactions. ESS tools provide access to spaces in which employees share in the management of resources, and they often connect to the wider internal network; thus, they intertwine with Virtual HRD in related training programs, knowledge-building processes, and cultural expectations about the way work gets done. Certainly, allowing technology to handle the minor administrative tasks allows HR professionals to focus on building relationships and solving higher order problems, but the downside is that technology could make HR more aloof, cold, and inaccessible.

Technology for Connecting Information and communication technology (ICT) has been paramount in mediating communication among workers, virtual teams, and virtual organizations (Bastiaens, 2009). Enabling technologies for Virtual HRD have grown over the past several decades (McWhorter, Mancuso, & Hurt, 2008), and they connect workers *to*, *through*, and *within* the technology (Kapp & O’Driscoll, 2010; McWhorter, 2010, 2011), depicted in Figure 33.2.

One of the major components of Virtual HRD is the collaborative meeting space created through and within technology (McWhorter, Mancuso, Chlup,



Adapted from: Fazarro and McWhorter, 2011; Kapp and O'Driscoll, 2010; McWhorter, 2011.

Figure 33.2 Enabling Computer Technologies for Virtual Human Resource Development

& Demps, 2009). In a technology-enabled environment, the work of the organization can be accomplished with a significant savings in resources (Fazarro & McWhorter, 2011). They can also increase virtual “touch” through such applications as video conferencing.

Technologies that facilitate immersive connections in real time include platforms for social media, web conferencing, mobile learning applications, and virtual world technology, all powered through cloud computing and intranets that allow anytime access to organizational knowledge. “Individually, each technology already impacts work and workplace culture. Their convergence makes up the digital megatrend reshaping business processes” (Roberts, 2011, p. 40). These highly collaborative spaces are media-rich and used when they are culturally relevant, thereby increasing expertise and performance, fostering innovation, and building community (Bennett, 2009a). The next section describes a special technical application, ePortfolios, which demonstrate a microcosm of Virtual HRD.

EPORTFOLIOS AND VIRTUAL HRD

Historically, academic portfolios were regarded as a paper-based tool “to collect and store concrete evidence, or artifacts, to attest to a learner’s skills and knowledge” (Cummins & Davesne, 2009, p. 849). As computer technology evolved, the use of the electronic portfolio (ePortfolio) became commonplace in academic settings, allowing archiving in a digital format such as compact disk (CD), USB drive, or website (Penny Light, Chen, & Ittelson, 2012). Recently, sophisticated Web 2.0 technology facilitated the creation of

ePortfolios for digital archiving of multimedia artifacts from *lifelong* (across a lifespan) and *lifewide* (e.g., professional practice, community involvement, and recreational) achievements (see Bhattacharya & Harnett, 2007; Cambridge, 2008; Peet, 2010). These new ePortfolios are highly portable and integrated with other systems, including course management systems (CMS) and social media platforms (Batson, 2012).

Empirical studies have supported ePortfolio usage in academic settings for *student learning* (Chang, 2001; Peet, Lonn, Gurin, Boyer, Matney, & Marra, 2011); *student assessment* (Beagle, 2010); and *program evaluation and development* (Fitch, Peet, Reed, & Tolman, 2008). In addition, new purposes for ePortfolios have meaningful application in Virtual HRD (McWhorter & Bennett, 2012). For example, ePortfolios are being utilized by organizations for the *recruiting and selection* of employees (Whitworth, Deering, Hardy, & Jones, 2011), enabling *career and professional development* (Garis, 2007; Herman & Kirkup, 2008; Naude, 2010), *employee evaluation* (Freeman, Harkness, & Urbaczewski, 2009), and *community building* (Garrett & Jackson, 2006).

Medical education provides an example of how ePortfolios can be used for Virtual HRD. Medical education produces physicians through a continuum from higher education to the workforce (Bennett, Blanchard, & Fernandez, 2012). Throughout training, a physician moves away from learning in traditional, classroom-based settings and moves to learning in clinical practice. Practice-based learning is highly experiential and focused on the successful application of medical knowledge. At the graduate level, physicians are simultaneously students and employees. Learning is intertwined with work, and feedback includes assessment of academic growth required by accrediting bodies and measurement of performance based on criteria for essential job functions that are determined by the employing hospital.

Increasingly, ePortfolios are used to manage academic records and learning activities in medical education. They have the potential to allow students to identify their own learning gaps, receive formal evaluations from physician faculty, record test scores, and engage in career development and planning, among other things (Bennett, McWhorter, & Sankey, 2012a). They could also be used to capture actual performance data from electronic health records, which are being implemented in many hospitals and clinics. The data from these records pertain not only to the patient, but also to the performance of clinicians and the overall aggregate performance of health care; thus, management *and* development professionals are interested in the same data at multiple and potentially competing organizational levels.

Education in health care is a high-stakes endeavor because real lives are on the line, requiring continued cycles of competency assessment. Mistakes are no longer academic. In fact, one report from the Institute of Medicine estimated that almost 100,000 patients in the United States die annually due to

medical errors (Kohn, Corrigan, & Donaldson, 2000) and ineffective communication is the root cause of a portion of medical errors (Leape, Woods, Hatlie, Kizer, Schroeder, & Lundberg, 1998), which is particularly important to Virtual HRD since electronic health records are increasingly mediating communication in health care.

Real information on patient outcomes, such as infection rates and relapses, could be manually recorded in an ePortfolio or automatically fed through special programming interfaces with the hospital's information systems, thus allowing quality and safety results to be fully integrated within medical education so that real-time data can help correct unsafe practices. Of course, accomplishing integration is fraught with complexity to ensure that the system measures what it should and so that measures are appropriately attributed to the responsible physician.

A recent literature review studying ePortfolios found that there is a tension between learner-centered and program-centered needs in education and training (McWhorter & Bennett, 2012), including medical education (Bennett, McWhorter, & Sankey, 2012b). Program needs often focus on measurement and reporting, whereas learner needs tend to be more dynamic, such as desiring supportive feedback, mentoring, the ability to learn from mistakes, and career planning. The tension found in ePortfolio discussions has wider implications for Virtual HRD. Specifically, an organization must balance the need to judge and critique performance against the need for a psychologically safe environment to encourage learning and collaboration. Striking a good balance requires HRD professionals to be part of the process of developing organizational technology, which indicates a need for new skills in a new paradigm.

TECHNOLOGY DEVELOPMENT AND NEW HRD SKILLS

The technology-enabled workplace requires careful planning and intervention and, we submit, an emphasis on learning that is characteristic of HRD. There have been documented failures of technological interventions that were costly in terms of resources, productivity, and raw dollars. For example, a decade ago, a number of companies began the adoption of enterprise resource planning (ERP) systems that were supposed to improve corporate management of businesses and integrate functional areas (Yusuf, Gunasekaranb, & Abthorpe, 2004). Although these systems offer the promise of integrated software applications and greater flow of information throughout an organization, they have met with mixed results. For example, a large pharmaceutical company, FoxMeyer Drug, filed for bankruptcy due to difficulties associated with implementation of ERP (Al-Mashari & Zairi, 2000; Chen, 2001).

Around that same time, Dell Computers reportedly wasted tens of millions of dollars on an ERP system they found “too rigid for their expanding global operations” (Trunick, 1999). In retrospect, successful adoption and implementation of ERPs involves an organization’s structure, culture, management style, and the willingness of management and employees to wholeheartedly adopt the technology transformation (Wood & Caldas, 2001; Yusuf, Gunasekaran, & Abthorpe, 2004). In other words, good ideas can be sunk by poor implementation. HRD practitioners, armed with their traditional processes, diagnostic tools, and theories, can be even more influential when partnering with those who are implementing new technologies during design phases, and they can be instrumental for helping members adapt once implementation is in progress.

New technologies have great potential to solve organizational problems—or to become the organizational problem. To ensure against the latter, technology must be developed to meet organizational needs, to dovetail with current organizational systems, and to achieve a high level of usability that allows for good workflow and learning. Learning cannot just be a catch phrase or latest fad in management literature, but it needs to be a core value whenever we speak of development at any level. This means that the HRD perspective must be represented early when technology is being designed and implemented to support learning, workflow, and organizational infrastructure.

A Definition of Technology Development

This chapter advances Bennett’s (2010) call for technology development to be adopted as a fourth pillar of HRD, adding to the traditional three pillars: training and development, career development, and organization development. A working definition of technology development is *the integration of technology with HRD objectives and processes to improve learning capacity and performance*. We believe that improving learning capacity not only applies to an individual’s learning needed to produce isolated solutions, however important they may be, but also the capacity of an organization to promote and leverage organizational learning. Learning capacity is described as moving beyond information processing to achieve the development of understanding and wisdom through curiosity, openness to differences and new possibilities, and integration of the whole self to create more meaningful work (Chalofsky, 2010), which is consistent with newer and more organic (Firestone & McElroy, 2003) or ecological views of knowledge management (Bennett & Bierema, 2010; Malhotra, 2002). Developing technology that supports learning capacity, meaningful work, and excellent performance requires new skills for the profession and practice of HRD.

New Skills for HRD Professionals

Using technology to build learning capacity, to leverage individual and organizational learning and performance, and to create a healthy environment for Virtual HRD, requires new skills for HRD professionals in addition to existing professional skills. These include:

- Information systems project management, including bridging stakeholder needs and technologist perspectives through effective partnerships;
- Pilot testing, navigation, mapping, flow-charting skills (University of South Hampton, 2011);
- Visual-spatial skills and the ability to imagine downstream systems (Bennett & Bierema, 2010);
- Knowledge of Web 2.0 and meta data technologies (Bingham & Conner, 2010);
- Ingenuity for solving complex problems (NewsCore, 2011), including internal crowdsourcing;
- Integrating learning theory into design (Bennett, 2011a; Huang, Han, Park, & Seo, 2010; Mancuso, Chlup, & McWhorter, 2010; Short, 2010);
- Technical communication and the ability to analyze technical literacy of learners (Palloff & Pratt, 2011; Raisor & McWhorter, in press);
- Incorporating authentic assessment, both rubric-based (Chapman & Stone, 2010; Raisor & McWhorter, 2011) and reality-based (Fazarro, Lawrence, & McWhorter, 2011);
- Creating online communities, which may result in a shift in power to users (Delello, McWhorter, & Camp, 2012; Palloff & Pratt, 2011), and determining appropriate levels of monitoring;
- Developing policies that balance learning and performance needs in a technology-enabled environment; and
- The ability to ensure security of stakeholder confidentiality in virtual environments when virtual data sharing is needed (Gatley, 2009).

While not exhaustive, the above list provides examples of skills needed to ensure that HRD professionals can partner in the development of technological systems that power Virtual HRD and, in some cases, lead projects for this very purpose. We recommend that HRD academic programs consider implementing applied projects that involve technology development, perhaps partnering with schools of business and computer science to enrich the perspectives of all future practitioners of organization-related disciplines.

CONCLUSION

This chapter has provided a high-level overview of Virtual HRD. At many points, the chapter provided the best-case perspective, whereas potential pitfalls were also made evident. We focused on definitional issues as well as practical aspects foundational to this area of inquiry. It is an exciting time to be engaging in innovation and discovery present in Virtual HRD. Our field can function as a critical partner to leverage technology that extends capability of people and of organizations. The chapter does not purport to have all the answers nor does it provide a list of steps for creating a learning system. Virtual HRD has to be enacted within a specific organizational context and within a specific culture, balancing structure and spontaneity (Bennett & Bierema, 2010).

Creative chaos in a hospital has very different consequences than for a greeting card company, and so Virtual HRD must be driven by the needs of and risks to the organization and its stakeholders. Solid approaches to technology integration allow machines to take on burdensome and tedious work and free people to be creative, strategic, and ethical when the right constraints are designed into the system. There is a problem, however, when technology becomes burdensome, which it easily can, and individual and organizational goals are frustrated. Although technical interventions and tools are context-specific, HRD professionals can seek training that provides new foundational skills consistent with Virtual HRD. For this reason, we propose technology development be added as a content area in HRD academic programs and we recommend students gain experience in designing technical interventions. This could be done by partnering with business and information technology programs to create simulated or real interventions that balance learning and performance needs. Virtual HRD is a paradigm shift for the field, one that calls for us to move beyond implementing isolated programs toward meaningful collaboration necessary to create technology-enabled environments that build learning capacity and performance.

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Developing Strategic Mindsets in HRD

Toward an Integral Epistemology of Practice

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The challenges of thinking strategically have perhaps never been as pervasive as they are now. For the past several decades, innovations in technology have been driving globalization and changes in the socio-economic-political task environment at an intensifying rapid pace, increasing the degree of uncertainty and ambiguity confronting executives. This intensifying trend has long been recognized in the management learning literature. Donald Schön's (1973) observations regarding the loss of the stable state, Peter Vaill's (1996) metaphor of "permanent white water," and Mark Taylor's (2001, p. 3) observation that "things are changing faster than our ability to comprehend them" capture the continuous change that has been emerging over the past several decades. This increasingly complex socioeconomic context is one of porous and changing boundaries, confronting executives with a range of environments ranging from relatively stable to extremely uncertain and ambiguous (Courtney, Kirkland, & Viguerie, 1997).

IMPLICATIONS OF COMPLEXITY FOR THE LITERATURE ON STRATEGY AND STRATEGIC THINKING

Parallel with this trend of an increasing pace of change and uncertainty in the socioeconomic context has come an increasing emphasis on learning as a critical aspect of the strategy development process (Beer & Eisenstat, 2000; de Geus, 1988; Leavy, 1998; Lovallo & Mendonca, 2007; Pietersen, 2002, 2010; Sloan, 2006). In much of this literature a critical distinction is made between strategic learning and strategic planning. The distinction between strategic learning and planning has been succinctly summarized by Willie Pietersen (2002, 2010), a former CEO and currently professor of practice in executive education at the Columbia Business School. Pietersen argues strategic

thinking begins with learning and starts from the context of the broader environment. It focuses on what is happening outside the organization, noticing trends and patterns. Strategic learning involves generating ideas and insights through playing with divergent perspectives and testing the viability of emerging opportunities through critical assessment of assumptions.

In contrast, Pietersen argues, planning is inside-out, focusing on numbers, convergent thinking, and allocating resources in support of strategy. Planning involves adopting an expert mindset, starting from the content of one's expertise. Effective planning is a critical aspect of preparing for and executing strategic decisions once these decisions have been made.

Innovative strategic learning is a process of robust imagination: valuing one's experience and expertise while seeking insight through observing new trends, pursuing diverse possibilities, and challenging one's assumptions. Along with this emphasis on strategic thinking as a learning process, learning practices, such as dialogue (Hardy, Palmer, & Phillips, 2000), reasoning from analogies (Gavetti & Rivkin, 2005), and scenario learning (Chermack & Swanson, 2008; Fahey & Randall, 1998), have become central to the strategy development process, along with traditional analysis tools such as SWOT, PEST, and SEER analysis. This trend of an increasing emphasis on learning in the strategy literature has been driven in part by the need for developing and executing strategy in volatile environments. Sargut and McGrath (2011), for example, in discussing the implications of complexity for strategy development, have argued for the adoption of practices such as posing counterfactuals during strategic conversations, attacking strategic challenges from various angles using different methodologies, and making different assumptions (triangulation of learning and analysis methods). As practices such as these become more important for the strategy development process, they provide human resource development professionals with the challenge of fostering the organization's capability of utilizing them effectively.

One implication of the increasing complexity and ambiguity of the socioeconomic context for HRD practice is the need for sequencing the use of these strategic learning practices in the simultaneous pursuit of developing strategy *and* cultivating strategic mindset awareness. Generative strategic thinking in the context of complexity raises the need for mindset dexterity as one goes from strategic learning to formulating strategic options, finalizing strategic direction, and planning. The traditional focus of the strategic thinking literature has been on analytical tools, with a growing emphasis on learning practices. Receiving less attention is the relevance of the adult development literature (Fisher, Rooke, & Torbert, 2000; Kegan, 1982, 1994; McCauley, Drath, Palus, O'Conner, & Baker, 2006; Rooke & Torbert, 2005; Torbert, 2004) for mediating the outcomes from using strategic learning practices.

OPPORTUNITIES FOR STRATEGIC HRD

This changing context of an increasingly uncertain environment marked by rapid change and complexity makes the contributions of strategic HRD and talent management progressively more important for the ongoing vitality and sustainability of organizations. Working with the senior executive team to facilitate the strategy development process is one way HRD professionals potentially add value to their organizations. More broadly, developing approaches for fostering strategic mindsets is an important contribution of HRD scholars to both the talent management process in organizations and graduate students in their universities.

Introducing and sequencing strategic learning practices, along with a focus on developing more dexterous mindsets for meaning-making under conditions of uncertainty and ambiguity in the service of generating new strategic insights in strategy development conversations, is an important HRD contribution. This involves recognizing and drawing on four distinct, yet interconnected, theoretical literatures (1) complex adaptive systems, (2) learning from experience, (3) core strategic learning practices, and (4) adult development theory, particularly constructive developmental theory and developmental action inquiry.

TOWARD AN INTEGRAL EPISTEMOLOGY OF HRD PRACTICE: FOUR STREAMS OF RELEVANT LITERATURE

Complexity theory speaks to the most challenging aspects of the contemporary macro-context that confronts strategists. This context has implications for traditional notions of experiential learning theory. Under these conditions, strategic learning practices can help break the constraints of one's frames of reference that have been cultivated through experience to generate new insights. Adult development theory speaks to individuals' capacity for engaging in strategic thinking under conditions of complexity.

Drawing on the implications of these literatures, Yorks and Nicolaides (2012) have argued that one's developmental capacity influences the richness of the insights generated through using strategic learning practices. Generating insight requires bringing competent use of relevant learning practices to pertinent conceptual learning frameworks, with the richness of the insights generated being a function of the capacity of one's meaning-making mindset. Testing and adapting the insights generated through reflective action in the moment is the essence of *learning through complexity*.

Strategically Learning Through the Context of Complexity

Complex systems are distinct from complicated ones (Richardson & Tait, 2010; Sargut & McGrath, 2011), and it is easy to confuse the two. Sargut and McGrath provides a concise distinction, writing that: “Complicated systems have many moving parts but they operate in patterned ways. . . . Complex systems, by contrast, are imbued with features that may operate in patterned ways but whose interactions are continually changing.” Once there are “three or more interacting feedback loops,” each of which may be comprised of several parts, accurately predicting the outcomes using simulations and analytical methods is problematic (Richardson & Tait, 2010, p. 29). Such conditions present a range of futures, with the actual outcome unable to be determined with any degree of certainty (Courtney, Kirkland, & Viguerie, 1997).

Simulations based on complex adaptive system theory can provide a useful sense of the resulting dynamics, particularly under relatively bounded conditions in which any residual uncertainties are either irrelevant, or reasonable probabilities can be established. However, in today’s world, with the dynamics of political transitions, social movements, economic shifts, mobile populations, and technology changing required talent mixes, surprises are constantly emerging.

As a practical matter, when creating simulations one is confronted by the problem of incompressibility, having to leave out things that have non-linear effects and whose magnitude we cannot predict (Cillers, 1998, 2005). Typically, one does not know what consequence is being left out of one’s simulation until it emerges in the reality of taking action. Under conditions of complexity, learning requires a posture of inquiry rather than expertise, recognizing John Dewey’s reasoning “that thinking and action are just two names for a single process—the process of making our way as best we can in a world shot through with contingency” (Menand, 2001, p. 360). Complexity is intensifying these contingencies as more aspects of the environment are moving from reasonably certain outcomes to considerable uncertainty and even true ambiguity (Courtney, Kirkland, & Viguerie, 1997).

To be clear, the degree of uncertainty varies by context. Further, the point is not devaluing the importance of expertise, but only pointing out the potential limitations it can create for dealing with complexity in terms of generating provocative insight and continual reframing. This makes clear the limitations of some of the assumptions of traditional theories of learning through experience as well as suggesting the necessity for assessing how one is using one’s experience.

The Implications for How Experience Is Utilized Under Conditions of Complexity

Under conditions of complexity, experience is a double-edged sword providing a basis for action while also potentially inhibiting insight into possibilities.

In short, the problem is anticipating a future response, even while the conditions themselves are changing. Fenwick (2003) in particular explicitly calls attention to the implications of complexity for learning through experience theories with regard to recognizing the holistic embodied aspects of learning occurring within action.

Confronting this reality involves an extension of Schön's (1983) concept of reflection-in-action. Of particular interest here is that reflection-in-action involves drawing on prior rehearsal to improvise in the moment (Yanow & Tsoukas, 2009). As formulated by Schön, reflection-in-action involves conformity to a practice and the application of a repertoire of mastered practices and theoretical frameworks to surprises within that practice. The focus is drawing on past experience to respond to surprise, with an underlying assumption of a degree of bounded predictability. Such a posture is useful for adaptive responses. However, the increasingly complex socioeconomic life-world is one of porous and changing boundaries.

Adopting Schön's terminology, responding to complex, emergent surprises that present a new macro-level context requires a continual expectation of surprise, with a focus on *reflection-on-possible* actions, some of which vary considerably from past experience. The challenge is often developing a new repertoire, perhaps adapting some elements of the prior one. One's "reflection-on-possible-actions" is bounded by the richness of the range of insights in terms of emergent possibilities. This richness is, in turn, generated through the use of generative learning practices.

Use of Strategic Learning Practices

As previously noted, strategic learning, as distinct from strategic planning, has increasingly been given more emphasis in the literature on strategic thinking. Here we focus on three of these practices that are core to this literature: (1) dialogue, which is foundational for virtually all these practices, (2) reasoning from analogies, which is relevant both for generating new insight and surfacing how one might be inappropriately drawing on experience, and (3) scenario learning, which, in addition to generating insights and possibilities, allows for reflection-on-possible futures.

Foundational for using the range of strategic learning practices is engaging in *dialogic* conversation (Eden & Ackerman, 2001; Hardy, Palmer, & Phillips, 2000), in which each participant in the conversation tries to suspend judgment, be as transparent and honest as possible, and build on others' ideas. Sometimes this follows a structured process of engaging with one another (Bohm, 1996; Isaacs, 1999; Senge, 1990); other times it is a more loose form of "ensemble improvisation" for communicative action (Shaw, 2002, p. 164). In either case, "The discipline of dialogue . . . involves learning how to recognize

the patterns of interaction in teams that undermine learning. The patterns of defensiveness are often deeply engrained in how a team operates . . . unrecognized they undermine learning . . . recognized and surfaced creatively, they can . . . accelerate learning” (Senge, 1990, p. 10).

One way executives often generate ideas for strategic innovation is *reasoning from analogies*. Reasoning from analogies involves thinking about another situation they are familiar with, drawing lessons from it, and applying these lessons to their current situation (Gavetti & Rivkin, 2005). Analogies can be a rich source of insight. However, if strategists act on “an analogy on the basis of superficial similarity,” rather than carefully assessing “deep causal trait”, using analogies can be dangerous (p. 57). Gavetti and Rivkin provide a mapping process for testing analogies that involves: (1) actively searching for differences; (2) testing similarities for superficiality; (3) surfacing the presumptions behind asserted crucial correspondences; and (4) modeling the landscape. Throughout the mapping process people should be repeatedly asking themselves what is known, what the maybes are, what’s unclear, how maybes can be turned into what is known or unclear, and what emerges if we reframe the presumptions.

Explicitly seeking to surface analogies has another potential benefit for addressing the strengths and limitations of experience under conditions of complexity. Whether consciously used or not, analogies are a primary way in which people draw on their informal and incidental learning from experience when confronted with uncertainty and ambiguity. Many times managers subconsciously engage in reasoning from analogies when improvising from their experiences. Questioning by others during strategic dialogues can bring these analogies into awareness, and mapping provides a systematic way of reflexively assessing them.

Scenario learning is a process that can generate new insights while moving strategic dialogues toward convergence. Fahey and Randall (1998) use “scenario learning” rather than the more common term “scenario planning,” for a number of reasons. They argue that to address confirmation bias, managers must be willing to “suspend their beliefs, assumptions, and preconceptions.” The term “learning implies . . . dialogue.” “Managers and others . . . must engage each other in a free-ranging exchange of ideas” that provokes some amount of tension. They argue that “such tension is the essence of collective learning” (p. 5). Their argument reinforces the importance of establishing dialogic practices as a foundation for utilizing more specific strategic learning practices. It is also consistent with the logic of Pietersen’s (2002, 2010) distinction between strategic learning and strategic planning.

Beyond generating new insights and moving strategic conversations toward convergence and decision making, scenario learning provides an experience of vicariously *learning through* by anticipating the potential unexpected

outcomes that emerge from uncertainties. This vicarious experience provides a basis for improvising through reflection-in-action during implementation. Dialogues building on the insights from mapping analogies, especially the “maybes” and “unclears,” add value to assessing potential scenarios.

Making these kinds of intersections among learning tools requires competency in using them in practice. Additionally, the richness of insight that is generated is potentially mediated by one’s capacity for being in relationship with ambiguity. In other words, it is determined in part by another dimension of the learning process, one that is articulated in theories of adult development.

Constructive Developmental Theory and Action Logics

Constructive developmental theory focuses on the nature of the meaning a person constructs from his or her experience and seeks to understand how these meanings grow more complex over time (McCauley, Drath, Palus, O’Conner, & Baker, 2006). The core dynamic is a process through which the subjective principles shaping how a person makes meaning of his or her experience becomes part of his or her objective awareness and can then be reflected on. Over time, this process of aspects of the subjective self becoming objective may result in a more developed mindset for making meaning (Kegan, 2000). A more developed mindset provides an enhanced capacity for experiencing the complexity of the environment (Nicolaidis & Yorks, 2007, 2008).

Torbert’s (2004) and Rooke and Torbert’s (2005) work on developmental action inquiry (DAI) theorizes the processes through which people engage in inquiry and action. Torbert described a developmental sequence of eight action logics, six of which are highlighted in Table 34.1. Among other things, the mindsets described in this table shape how one is in relationship with the uncertainty and ambiguity of complexity.

Action Inquiry and Strategic Learning Practices

Torbert (2004) and colleagues (Fisher, Rooke, & Torbert, 2000) describe three levels of inquiry that raise one’s awareness of his or her mindset and are potentially developmental. Each level is imbued with its own complexity: first-person inquiry (awareness of one’s own intentions, strategies, and sensed performance), second-person inquiry (building inquiry into one’s interactions with others through mindful use of speech), and third-person inquiry (awareness of the larger system and the assumptions it shapes through the data that it provides).

The underlying rationale for engaging in first-person inquiry is that one’s own intentions, strategies, sensed performance, reactions, and assumptions are important factors in how receptive one is to highly adaptive or

Table 34.1 Descriptive Summary of Torbert's Action Logics

| <i>Action Logic</i> | <i>Descriptive Summary</i> |
|---------------------|---|
| Diplomat | Norms rule one's needs. The main focus is on maintaining social approval and exhibiting socially expected behavior. Struggles with negative feedback as an indicator of lacking acceptance. |
| Expert | Professional or craft logic rules norms. Strong focus on problem solving and seeking the correct answer to challenges. Strong value on decisions based on technical merit. Accepts feedback only from acknowledged experts. |
| Achiever | Goals and system effectiveness rule professional or craft logics. Focus is on delivering results. Sees self as initiating action. Welcomes feedback. |
| Individualist | Relativistic, seeing self in relationship with and in interaction with the system. Experiences time as fluid and values self-expression. Attracted by differences and change more than similarity and stability. Often aware of conflicting emotions. |
| Strategist | Most valuable principles rule relativism and link theory and principles with practice. Focus is on dynamic system interactions. Creative at conflict resolution and enjoys playing multiple roles. Interweaves short- and long-term goals |
| Alchemist | Inter-systemic evolution and processes rule principles. Focus is on awareness of action and effects, transforming self and others. |

Adapted from Cook-Greuter (2004), Rooke and Torbert, 2005, and McCauley, Drath, Palus, O'Conner, and Baker (2006).

generative change. Over time, first-person inquiry can raise one's self-awareness of how one is reacting to the trends observed in the marketplace, new technologies, and the political context of the organization. When initially feeling resistance to an innovative idea, first-person inquiry can result in more openness, leading to a thorough assessment of the potential advantages of the proposed change.

Second-person inquiry involves consciously engaging with others through what Torbert refers to as the mindful use of speech: (1) *framing*: explicitly stating one's intention in making a comment or presentation, including one's assumptions; (2) *advocating*: describing the opinion or action being proposed; (3) *illustrating*: giving examples or providing a brief story that demonstrates the point; and (4) *inquiring*: questioning others about their reactions and thoughts, with the explicit purpose to learn from them. First- and second-person inquiry are germane to effective use of dialogue. In addition, one's

comfort level in engaging in first-person inquiry in conjunction with second-person inquiry with awareness of one's dominant action logic can facilitate development of a more complex and dexterous meaning-making capacity.

Third-person inquiry involves reflecting in real time on the unintended responses that emerge, or may emerge, in the broader system as one takes action and drawing lessons from these responses. This leverages the insights from scenario learning.

Summarizing the Connectivity Among the Theoretical Streams

Explicitly integrating these three levels of inquiry augments the use of strategic learning practices by enhancing the strategist's self-awareness of how his or her action logics are impacting the strategic conversation. The intersection of constructive developmental theory and developmental action inquiry deepens our understanding of learning from experience in terms of making new meaning and taking action in the context of complexity and ambiguity.

The learning and inquiry practices, when combined with analytical tools such as SWOT and PEST, stimulate opportunities for testing assumptions as the discussion evolves from divergent perspectives toward convergence and decisions. While every strategic organizational learning context is unique, the construction of a retreat for initiating a set of conversations can generally follow the use of the above practices in a sequence guiding the evolution of the process.

FROM THEORY TO PRACTICE: ELEMENTS OF A FRAMEWORK FOR DEVELOPING STRATEGIC MINDSETS

HRD professionals take up the role of fostering strategic conversations and developing strategic thinking capabilities in a variety of settings, depending on the context in which they are working. This section of the chapter presents how these ideas might be utilized in two of these professional settings: (1) strategy development interventions in an organization and (2) graduate courses seeking to develop the strategic thinking capability of students.

Integrating the Elements in a Strategy Development Process

How the implications of the framework presented above are translated into designs for strategy development interventions will vary from organization to organization. The core elements of such interventions involve inquiring into the dynamic trends impacting the strategic challenges facing the organization in terms of (1) their customers, (2) their competitors, (3) the broader environment, and (4) their own organizational realities in terms of performance

and resources (Pietersen, 2002; 2010). Participants can be placed into action inquiry groups with each team working on one of these elements of the strategic context confronting their organization, with group composition organized to bring diverse viewpoints into their dialogues. Various learning practices are introduced as the process unfolds, along with an emphasis on inquiry, with emphasis placed on surfacing divergent perspectives and generating provocative questions. Learning practices are sequenced to move the conversation from divergent to convergent thinking and decision-making. Typically, this involves the sequence in which the foundational practices of dialogue, analogies, and scenarios are discussed above, with additional adult learning practices and counterfactuals (Sargut & McGrath, 2011) introduced as appropriate.

Additionally, attention needs to be given to enhancing awareness of how comfortable the participants are with the degree of ambiguity surrounding the strategic choices confronting them. Torbert's (2004) action logics and action inquiry practices can be used for participants to organize their feedback and reflections on their dialogues in connection with complexity.

The interventions taken so far involve executives working on business unit strategic challenges within the context of their organizations' strategic initiatives. For example, one intervention in which the author was engaged involved high-level managers being brought together for the dual purpose of developing new strategic insights for the business and developing the competencies and capacity of these managers for strategic thinking and leadership. Initiated in the context of a strategic business unit of a diverse manufacturing company, the intervention was initially generated through informal conversations that the senior HRD executive had with key members of the senior executive team. Occupying what was a broadly defined talent management officer role, he frequently asked provocative questions related to how the company was serving its top five customers and recent moves by competitors, some of which were technology-related.

The strategic dilemmas confronting the senior executive team, along with the distinction between strategic learning and planning, framed the initiative. At a four-day meeting, participants initially engaged in small group discussions of the environmental trends that were impacting on the business. Each group was comprised of a diverse set of participants applying the strategic learning tools while reflecting on the difference between an expert and a strategic mindset approach. The products from these teams were posted for open space conversations. Next, the participants were placed in collaborative action inquiry groups to work on their strategic challenges, with dialogue, analog reasoning, scenarios, and double-loop learning sequenced to move the conversation from divergent to convergent thinking and decision making. Following this meeting, collaborative action inquiry teams were established to work on specific aspects of the strategic environment, including analysis of the

customer value chain, trends in competitor actions, emergent technologies, and internal organizational realities. Subsequent to these inquiries, a cross-team synthesis of the patterns identified and new insights captured was created, leading to strategic decisions by the senior executive team.

Applications in Graduate Classes

From an HRD perspective there are implications for pedagogical designs in graduate courses developing HRD professionals and for adding value to other university programs in terms of enhancing their students' capacity for engaging in strategic conversations. The author teaches two such graduate courses: "Strategy Development as a Learning Process" in the adult learning and leadership program in which he is a faculty member and a core course, "Strategic Advocacy," in an executive master's of science in technology management program. Detailed discussions of these interventions are beyond the scope of this chapter and have been presented elsewhere (Yorks, 2013). A description of the core elements of both designs are presented here.

Both courses involve repeated cycles between enhancing awareness of the students' action logics and how they are in relationship to the ambiguous challenges requiring strategic choices confronting them in their lives. This requires that early in the course students write up strategic challenges currently confronting them (in the strategy development class, the challenge can be organizational or personal—in the strategic advocacy class it is professional). Their challenges must be characterized by uncertainty for which they have no clear resolution. During the first several classes, conceptual frameworks relevant to the course are presented and discussed, with a recurring distinction being made between expert problem solving that has a "right" answer and challenges marked by uncertainty and complexity with unpredictable responses in the environment. Students are also introduced to Torbert's action logics and action inquiry as a conceptual framework to organize their reflections.

Students are placed into small action learning groups, selected by the instructor to bring diverse viewpoints when discussing their cases. The remainder of the course involves incorporating various learning practices drawn from the strategy literature into their group discussions. One class involves a detailed presentation and class discussion of a strategic learning practice. This is followed by discussion in their groups applying the practice, along with previous learning practices, to their challenges. Repeatedly, they inquire into their first-person reactions, their collective learning in their groups (second-person inquiry), and the impact on the broader context of their challenge as they begin to consider actions (third-person inquiry). The final assignment is a paper discussing how the student's thinking and approach to his or her challenge has, or has not, changed as he or she experienced the course.

LESSONS LEARNED AND IMPLICATIONS FOR HRD PRACTICE AND RESEARCH

A number of themes have emerged from interviews with participants in programs and courses utilizing the designs presented above. First is the importance of balancing and continuing to reinforce the connection between use of the learning practices and awareness of one's action logic. The learning practices bring a very practical, skills-oriented focus to the experience. In following up with participants, a large majority of them continue to use the learning practices in a variety of situations, both professional and personal. The implications of the action logics emerges through the experience of continuing to act with the learning processes and becoming increasingly aware of how their mindsets shape how they listen to diverse viewpoints. For example, more than once we have heard a participant say something like "initially I was impatient with the discussion, then in listening I began to see what was emerging" in describing how he or she has become more comfortable with ambiguity.

Second, it is unrealistic to expect someone to transition from one action logic to another during a particular intervention. Awareness of how his or her mindset is shaping his or her thinking and actions, and a commitment to continue to develop, is the most common outcome. This awareness must come from experiencing it. Hence, incorporating this into an action learning design is critical. The experience to date demonstrates the potential value of incorporating constructive developmental theory and developmental action inquiry into action learning designs (Yorks, 2013). Reflection and inquiry are critical to this process.

Third, the introduction of the action logics seems to facilitate overcoming the initial resistance to reflection that is often experienced in executive development workshops, including some action learning programs. The action logics appear to provide a language that frames the feelings of resistance, helping to stimulate critical self-reflection.

Fourth, the awareness that is created regarding striving to remain aware and centered in one's thinking in the mist of uncertainty and ambiguity provides a good precursor for ongoing executive coaching. There is an opportunity for directly connecting the need for ongoing strategic conversations with executive development needs.

That said, the model presented in Figure 34.1 and the themes presented above need to be field tested not only for validating the theoretical intersections being advocated, but also for providing heuristic guidance for executive development practices and stimulating innovative strategic conversations in the context of complexity. By its nature such research will be field-based, varying between comparative case studies, quasi-experimental designs, and action research

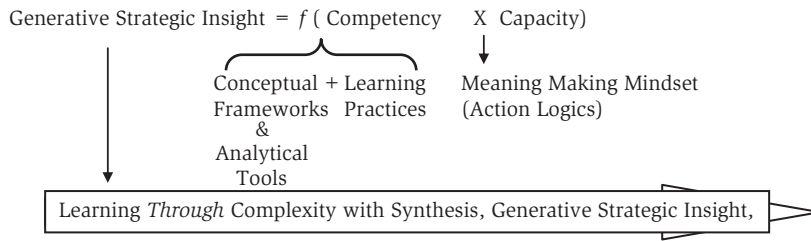


Figure 34.1 A Conceptual Framework for Generative Strategic Insight Under Conditions of Complexity

From Yorks and Nicolaides (2012), A conceptual model for developing mindsets for strategic insight under conditions of complexity and high uncertainty. *Human Resource Development Review*, 11, 188.

initiatives. When longitudinal learning interventions, such as action learning programs, are implemented, the opportunities for more intensive assessment by comparing designs across cohorts present themselves. Interesting opportunities for quasi-experimental designs in MBA and EMBA programs also exist, especially for comparing two sections of a strategy course, one using a traditional pedagogy and the other explicitly interspersing the model throughout the course curriculum. It goes without saying that such research needs to use robust case study and field methods, including multiple researchers.

CONCLUSION

The intensifying complexity of the business environment and, by extension, professional worlds of people has already influenced the strategy literature, presenting HRD professionals with new challenges and opportunities. Leveraging these opportunities will require integral approaches to strategy development processes. This chapter has presented one such approach with implications for practice and research.

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Employee Engagement and HRD

Exploring the Philosophical Underpinnings, Measurement, and Interventions

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A focus toward optimal functioning has attracted growing attention in the human resource development (HRD) field as a new way to view the evolving workplace of the 21st century (Chalofsky & Krishna, 2009). From an HRD-positive psychology perspective, employees are viewed as an organizational strength to be developed and embraced (Luthans, 2012). While this perspective continues its evolution and emergence, Luthans and Peterson (2002) highlighted the further need for scholarship in HRD when they underscored a call for “the study of positively orientated human resource strengths and psychological capacities that can be measured, developed, and effectively managed for performance improvement in today’s workplace” (p. 59). Drawing from the context of work, one way to encourage human resource strength and psychological capacity in the workplace has been through the development of employee engagement (Chalofsky, 2010). Within the HRD field, employee engagement has been defined as an individual employee’s cognitive, emotional, and behavioral state directed toward positive organizational outcomes (Shuck & Wollard, 2010). While engagement emerges as a promising avenue of research related to individual and organizational performance, within the broader field of HRD, the concept is only beginning scholarly development and maturity (Zigarmi, Nimon, Houson, Witt, & Diehl, 2011).

Building toward this foundation, this chapter briefly integrates the academic and practitioner engagement literature in the field of HRD and provides three fundamental considerations for practitioners and scholars: (1) identification of

the major philosophical underpinnings of employee engagement, (2) examination of instrumentation and measuring engagement in HRD, and (3) reports of plausible engagement interventions in HRD and recommendations for research and practice.

PHILOSOPHICAL UNDERPINNINGS OF EMPLOYEE ENGAGEMENT

In 2011 Shuck identified four distinctive frameworks of engagement. The four frameworks were (1) Kahn's (1990) *need-satisfying approach*, (2) Maslach, Schaufeli, and Leiter's (2001) *burnout-antithesis approach*, (3) Harter, Schmidt, Asplund, Killham, and Agrawal's (2002) *satisfaction-engagement approach*, and (4) Saks' (2006) *multidimensional approach*. Since publication, each framework has been extended, with the exception of the engagement-satisfaction approach.¹ While highly respectful of the pioneering work demonstrated by Harter and colleagues, this chapter focuses on the philosophical underpinnings of engagement around each of the other three frameworks as an update and extension to the originally proposed frameworks regarding research and practitioner utility (see Harter, Schmidt, & Hayes, 2002, and Harter, Schmidt, Asplund, Killham, & Agrawai, 2010, for more detailed information about the engagement-satisfaction approach).

The Need-Satisfaction Framework

Many academics (e.g., Rich, LePine, & Crawford, 2010) credit William Kahn as the scholar to first apply the term *engagement* to the modern workplace. One of the major contributions of this perspective is the focus on understanding the individual employee and his or her unique needs as a human being within a work-based context. From Kahn's (1990) perspective, engagement was specifically used to describe a worker's involvement in tasks at work. Kahn went on to define engagement as "the simultaneous employment and expression of a person's 'preferred self' in task behaviors that promote connections to work and to others, personal presence, and active full role performances" (p. 700). Central to the definition was the fulfillment of the psychological domains *meaningfulness*, *safety*, and *availability* through work activities.

¹The lack of extension in this one area is due in part to the proprietary nature of the Gallup Q₁₂, on which the engagement-satisfaction approach is largely based, as well as the restriction around its use in scholarship and practice to those affiliated with or working closely with Gallup.

Perceptions of these psychological domains were grounded in an employee's unique experience of his or her work, often manifested through a cognitive-affective appraisal process (Zigarmi, Nimon, Houson, Witt, & Diehl, 2009; Zigarmi, Nimon, Houson, Witt, & Diehl, 2011). This process allowed an employee to place a value on a given situation unique to that time and place. Thus, engagement was understood as dynamic and in a constant state of fluidity with naturally occurring ebbs and flows. As an operationalization, Kahn (2010) suggested that these domains could be understood by the answer to one question posed from the perspective of the employee narrative: *Does my engagement matter?* From this vantage, employees choose to invest when they feel they can make a difference or add significance (Kahn, 2010). Kahn's single question highlights the theoretical nature of this perspective as a need-satisfying psychological state. Philosophically, this framework highlights human beings and their needs within the workplace as external forces acting on internal processes.

The Burnout-Antithesis Framework

Similarly, Maslach, Schaufeli, and Leiter (2001) operationalized engagement as the positive antipode to burnout, defining engagement as "a persistent positive affective state . . . characterized by high levels of activation and pleasure" (p. 417). This definition introduced a new stream of research rooted in the burnout field as an opposite approach to disorder. It was conceived that those who were engaged could not also be simultaneously burned out—a novel consideration at the time. The burnout-engagement literature continues to be heavily dominated by theoretical frameworks rooted in understanding the effects of job demands and resources or the lack of them on the employee context (i.e., the JD-R model; Demerouti, Bakker, Nachreiner, & Schaufeli, 2001).

As a matter of debate, the burnout continuum has spurred some discussion (Cole, Walter, Bedeian, & O'Boyle, 2012); some scholars suggest distinction between the two concepts (Schaufeli & Bakker, 2003; Schaufeli, Bakker, & Salanova, 2006), while others claim opposite ends of the pole (Schaufeli & Bakker, 2004). Despite discussion, this perspective developed most closely as a reaction to the preeminent disease model of 20th century psychology and has added substantially to the literature base around engagement. Particularly, researchers in the burnout field were some of the first to turn attention to the role of well-being and optimal functioning as a possible outcome of work. Rather than burnout, feelings of work engagement were thought to be possible, which previously had only been characterized as satisfaction; satisfaction in this context remains a moderately one-dimensional, flat measure of employee sentiment.

In recent years, several streams of research have advanced this framework, and a smaller number of positively focused investigations have identified new areas of study (e.g., well-being and workaholism; Demerouti, Mostert, & Bakker, 2010; Schaufeli, 2012). These areas represent several new streams of crossover research within the fields of health care, clinical and applied psychology, and sociology and are increasingly inclusive of more positively focused, distal indicators of performance. Exploration of these new streams position HRD scholars and practitioners at the forefront of leveraging and shaping the experiences of work within evolving individual and organizational contexts.

The Multidimensional Framework

Kahn (1990) originally suggested engagement as a multidimensional construct consisting of *cognitive*, *emotional*, and *behavioral* components (May, Gilson, & Harter, 2004). Saks (2006) further developed the idea when he defined engagement as “a distinct and unique construct consisting of cognitive, emotional, and behavioral components . . . associated with individual role performance” (p. 602). This definition was inclusive of previous literature, yet stretched current thinking on the topic by proposing what at the time was a new three-component model.²

The multidimensional framework was grounded in how employees experience and then process moments of work (cognitively, emotionally, and eventually behaviorally) and currently connects most closely to the approach that HRD has developed to define and operationalize the concept (Shuck & Reio, 2011; Shuck & Wollard, 2010). Theoretically, the multidimensional framework reflected unique underlying conditions of the experience of work, a frequently overlooked dimension of the observable employee engagement construct (that is, employee behavior). Further, levels of intensity at which these motivational energies are applied within the workplace give context to a person’s level of full engagement and highlight the personal choice an employee has in making the decision to engage. Engagement in this context is how an employee experiences, interprets, and acts on the context around him or her. The major contribution of this perspective is the context provided for understanding how engagement develops and the natural connections between the other two perspectives, both the domains of the needs-satisfying approach

²May, Gilson, and Harter (2004) originally proposed the idea of a three-component model in their empirical test of Kahn’s conceptualization of engagement. The measures originally employed, however, fall short of statistical significance. Three separate, reliable scales that matched their model did not materialize, and a combination scale with fewer items was used in its place.

(meaningfulness, safety, and availability) and the in-moment experience of engagement in the burnout approach.

Most promising for HRD have been advancements using this framework around harmonious and obsessive work passion (Nimon & Zigarmi, 2011; Zigarmi, Nimon, Houson, Witt, & Diehl, 2011), homological differentiation (Shuck, Ghosh, Zigarmi, & Nimon, 2013), and leadership competency development (Shuck & Herd, 2012; Song, Kolb, Hee Lee, & Kyoung Kim, 2012). These advancements push the boundaries of current research around engagement by examining, both conceptually and empirically, the specific domain of engagement and its related variables. While seemingly an academic problem, specifying the domain(s) of engagement, and its related antecedents and consequences, drive informed practice and help practitioners better leverage the known advantages of a highly engaged workforce.

INSTRUMENTATION: MEASURING ENGAGEMENT IN HRD

Engagement can be of little use if HRD scholars and practitioners are unable to harness the potential of the emerging construct. Central to this issue is measurement, which has plagued the engagement construct through several streams of disconnected literature. In the following, we review five different scales that measure the construct of engagement and relate each to its underlying perspective of engagement.

First, rooted in the burnout perspective of employee engagement (Maslach, Schaufeli, & Leiter, 2001; Schaufeli, Bakker, & Salanova, 2006), the Utrecht Work Engagement Scales (UWES-17 and UWES-9) (Schaufeli, Bakker, & Salanova, 2006; Schaufeli, Salanova, Gonzalez-Romá, & Bakker, 2002) are some of the most cited and widely utilized measures of work engagement (Rich, LePine, & Crawford, 2010). Also aligned with the burnout perspective, the Maslach-Burnout Inventory General Survey (MBI-GS) (Schaufeli, Leiter, Maslach, & Jackson, 1996) measures burnout, the antipode of engagement. The May, Gilson, and Harter (2004) Psychological Engagement Scale and the Rich, LePine, and Crawford (2010) Job Engagement Scale purport to support Kahn's three engagement dimensions. While the Psychological Engagement Scale aligns closely with the needs-satisfaction perspective of engagement, the Job Engagement Scale aligns with the multidimensional framework. The Passion Scale (Vallerand et al., 2003) considers constructs that are theoretically consistent with the state of engagement and represent emerging steps in engagement research. Sample items for each of the scales reviewed are presented in Table 35.1.

Table 35.1 Constructs, Scale Lengths, and Sample Items of Employee Engagement Scales

| <i>Scale/Construct/Item Set</i> | <i>Scale Length</i> | <i>Sample Item</i> |
|---------------------------------|---------------------|--|
| MBI-GS | | |
| Exhaustion | 5 | I feel used up at the end of a work day. |
| Cynicism | 5 | I doubt the significance of my work. |
| Professional efficacy | 6 | I can effectively solve the problems that arise in my work. |
| UWES^a | | |
| Absorption | 6 | At my job, I feel strong and vigorous. |
| Dedication | 5 | I am enthusiastic about my job. |
| Vigor | 6 | When I get up in the morning, I feel like going to work. |
| The Passion Scale | | |
| Harmonious passion | 7 | My activity is in harmony with the other activities in my life. |
| Obsessive passion | 7 | I cannot live without my activity. |
| Psychological Engagement | | |
| Cognitive engagement | 4 | Performing my job is so absorbing that I forget about everything else. |
| Emotional engagement | 4 | I really put my heart into my job. |
| Physical engagement | 5 | I exert a lot of energy performing my job. |
| Job Engagement | | |
| Cognitive engagement | 6 | At work, my mind is focused on my job. |
| Emotional engagement | 6 | I am enthusiastic in my job. |
| Physical engagement | 6 | I work with intensity on my job. |

Note. ^aIn the UWES-9, absorption, dedication, and vigor are measured with three items each.

Utrecht Work Engagement Scales

Defining engagement as a “positive, fulfilling, work-related state of mind that is characterized by vigor, dedication, and absorption,” Schaufeli, Salanova, Gonzalez-Romá, and Bakker (2002, p. 74) published the Utrecht Work

Engagement Scale (UWES-17). The scale was later shortened (UWES-9; Schaufeli, Bakker, & Salanova, 2006). Both versions of the UWES included separate scales for the constructs of *vigor*, *dedication*, and *absorption*, which were respectively characterized as high levels of energy, a sense of significance, and the perception of being fully engrossed in one's work. The authors provided evidence of construct validity for the UWES-17, including confirmation of the three-factor structure across a student and employee sample, moderate levels of reliability, and discriminant validity from MBI-GS exhaustion and cynicism factors. They later provided evidence of construct validity of UWES-9 data, including confirmation of the three-factor structure across ten international samples, moderate levels of reliability, and convergent validity with the original longer scales.

Maslach-Burnout Inventory General Survey

Considering burnout as a state of wariness, the MBI-GS is a general measure of the Maslach Burnout Inventory (MBI) (Maslach & Jackson, 1981). In comparing the two, Schaufeli and colleagues (2002) noted that the MBI-GS differs from the MBI in that the former does not reference the other people with whom one is working. The MBI-GS contains separate scales for *exhaustion*, *cynicism*, and *professional efficacy*, where exhaustion measures fatigue, cynicism reflects indifference, and professional efficacy encompasses both social and nonsocial aspects of occupational accomplishments. While high scores on exhaustion and cynicism and low scores on professional efficacy are indicative of *burnout*, low scores on exhaustion and cynicism and high scores on efficacy are indicative of *job engagement*. Interestingly, for both the UWES and the MBI-GS, scholars have provided cautionary conceptual and empirical reaction to the parallel use of engagement and burnout when engagement is operationalized using the UWES (see Cole, Walter, Bedeian, & O'Boyle, 2011, for more detailed information on this discussion).

Psychological Engagement

The May, Gilson, and Harter (2004) scale builds from Kahn's (1990) original work, which conceptualized psychological engagement with three distinct dimensions (cognitive, emotional, and physical engagement). Although the items "reflect each of the three components of Kahn's (1990) psychological engagement," the authors found that three distinct constructs failed to emerge from the data (May, Gilson, & Harter, 2004, pp. 20–21). Finding an acceptable level of reliability for the resulting data when modeled as a single construct, they offered the scale as a means to assess an overall measure of psychological engagement.

Job Engagement

Rich, LePine, and Crawford (2010) developed the job engagement scale because they wanted a measure that mapped more precisely onto Kahn's conceptualization of employee engagement than other available scales (e.g., WES). The job engagement scale includes separate scales that measure *physical*, *emotional*, and *cognitive* engagement. The physical engagement scale was based on Brown and Leigh's (1996) measure of work intensity, defined as "energy exerted per unit of time" (p. 362). The emotional engagement scale was based on Russell and Barrett's (1999) research on *core affect* and focused on emotions that reflect the combination of high pleasantness and high activation as well as emotions related to work. The cognitive engagement scale was based on Rothbard's (2001) measure of engagement and considered levels of both attention and absorption.

Rich, LePine, and Crawford (2010) provided evidence that data from the job engagement scales yielded moderate levels of reliability and fit a higher-order factor structure, with the three first-order factors loading on a second-order factor. The factor loadings for the first-order factors and individual items were all positive, strong, and statistically significant. They reported that these findings sufficiently supported Kahn's conceptualization of employee engagement.

The Passion Scale

Defining passion as a "strong inclination toward an activity that people like, that they find important, and in which they invest time and energy," Vallerand et al. (2003, p. 757) published The Passion Scale. The Passion Scale includes separate scales for the constructs of harmonious passion and obsessive passion, which are, respectively, theorized to result from an autonomous and controlled internalization of the activity into one's identity. Vallerand and colleagues provided evidence of construct validity of Passion Scale data, including confirmation of the two-factor structure and acceptable levels of reliability.

REPORTS OF PLAUSIBLE ENGAGEMENT INTERVENTIONS IN HRD

In the context of intervention, we agree with Mingers (2003) that there is a paucity of multi-method research in the social sciences; this paucity is observable in the emerging, more specialized, research on employee engagement. Our perceptions further parallel Simpson (2009), who noted that fewer than 20 percent of the studies found on engagement (in the nursing field) were concerned with any type of application or program impact; however, some

distinct intervention research has emerged and can be grouped into three separate themes.

The first group of studies stem from the burnout literature and the antipode of employee engagement, which focused on healthy workplace strategies as a way of advancing employee engagement. Here, there have been some programmatic studies using health-related strategies such as weight loss, the cessation of smoking, and exercise as mechanisms for increasing engagement scores (e.g., Dollard & Bakker, 2010; Seymour & Dupré, 2008). A second group of studies tended to approach the intervention from an organization development perspective. These studies used a myriad of intervention strategies to try to change the organizational culture. Various strategies such as policy changes, decision-making prerogative changes, and use of the employee as the agent of change were used to create desired change (e.g., Rivera & Flinck, 2011; Verghese, 2011). A third group was concerned with pre-post changes in engagement scores using a single focus as the method of intervention, such as leadership, job design, teams, or empowerment (e.g., Bakker, 2010; Laschinger, 2010; Nimon & Zigarmi, 2011; Richardson & West, 2010). These studies focused on employee engagement scores by examining the relationship between certain antecedent factors and their effects on various engagement measures. These studies were more designed to examine and confirm whether an independent variable such as empowerment, newcomer socialization, or manager self-efficacy (Luthans & Peterson, 2002) affected various engagement measures.

After close examination, we believe three things can be substantiated: (1) there has been some success in increasing positive employee perceptions of their levels of engagement, (2) there have not been enough thoughtfully attempted field applications of already existing knowledge concerning engagement, and (3) appropriate programmatic evaluation has not been clearly coupled with business outcomes to highlight potential benefits.

Reports of Initial Success

Most of the studies reviewed reported successful interventions that changed, in a positive way, various measures of engagement (e.g., Bakker, 2010; Laschinger, 2010; Rivera & Flinck, 2011; Seymour & Dupré, 2008). These studies provided an optimistic glimpse into the possible uses of future engagement research, that is, if HR practitioners have the will and resource for implementation.

Field Studies

From our dual vantage as practitioners and scholars, we have noticed, along with others (Kennedy & Daim, 2010), an alarming trend. Once organizational personnel take the time to collect information using an engagement survey

(either one of the instruments we have mentioned previously or one they have created), tabulate and distribute the results, they do little or nothing to systematically address the issues or capitalize on the opportunities revealed within their engagement data. Compounding the issue, especially in difficult economic times, organizations often do not have the skills or inclination to risk resources on the off chance that various unfamiliar strategies may increase positive perceptions of engagement antecedents. Some do not want to, or choose not to, use the time and the money to measure programmatic effects, even though they want to increase seemingly related engagement scores (Kennedy & Daim, 2010). Further, others seem reluctant to take the psychological and political risks associated with trying to move the needle (Nimon & Zigarmi, 2011).

A second more important factor for consideration is that leaders and managers often do not know what is possible with their scores. Unfortunately, leadership is often unfamiliar with the various programmatic or systemic options that may address problems uncovered in survey results. Researchers interested in engagement theory have established some clear correlation between antecedents and outcomes. However, what has not been established are clear, replicated, programmatic approaches that influence these antecedents. This is a bright spot for HRD and an increasingly leverageable opportunity.

Programmatic Evaluation

Although most human resource practitioners may be familiar with various modes of evaluation, little effort is made to evaluate programmatic impact on individual participant behavior or on organizational system changes. In fact, human resource practices, including HRD, are often not evidence-based (e.g., Lawler, 2007), and attempts to influence engagement at the individual or organizational level remain no exception. Programmatic evaluation cannot stop at the boundaries of the immediate effect it has on participant satisfaction and knowledge acquisition. Research that focuses on demonstrating the operational and economic consequences of various programmatic effects longitudinally can influence management practices and expenditures. This is clear if theory is to be matched with implementation. Often, not only is the practical value of various programmatic strategies not connected with business outcomes, but also the programmatic techniques used are often outdated. New techniques such as retrospective testing need to be applied within HRD, if true pre-post survey techniques are to be updated and strengthened (e.g., Nimon, Zigarmi, & Allen, 2011; Pelfrey & Pelfrey, 2009).

CONSIDERATIONS FOR HRD RESEARCH

The theoretical models and measurement instruments reviewed in this chapter provide HRD researchers with the tools they need to empirically assess

engagement in their work. However, if HRD researchers are to fully understand the impact of employee engagement, they will need to cast a broader measurement net and consider the antecedents and consequences of employee engagement. While some empirical work (e.g., Zigarmi, Nimon, Houson, Witt, & Diehl, 2011) has been conducted in HRD to examine how employees become engaged at work, more research is needed to determine what antecedents best predict the state of employee engagement and which of those antecedents have the potential to change through an HRD intervention.

To support a holistic approach, more psychometric work is needed to create instrumentation that is concise, easily deployable, and that does not blur antecedents of employee engagement with the construct itself, or its consequences. Although some research has been conducted to eliminate the blurring between employee thoughts and feelings (Nimon, Zigarmi, & Allen, 2011) and between employee thoughts and intents (Zigarmi, Nimon, Houson, Witt, & Diehl, 2012), the measurement of employee engagement is often distorted by expressions of satisfaction (cf. Wefald & Downey, 2009). Using surveys without a careful examination of items can lead to a certain level of imprecision when modeling employee engagement, as constructs may simply correlate because they are, in part, measuring the same construct. This issue has been particularly raised when examining engagement alongside burnout (Cole, Walter, Bedeian, & O'Boyle, 2012).

CONSIDERATIONS FOR HRD PRACTICE

Several implications for practice can be harnessed for HRD practitioners and scholar-practitioners. First, HRD practitioners should start with a viable model that explains the formulation of engagement that fits within their context. Second, HRD practitioners should use valid and reliable measures, as not doing so could skew, bias, or return bad data. Third, HRD practitioners should clearly understand their own motivations as well as the motivation of various stakeholders before embarking on a change effort involving the concept of engagement. The following sections explore each implication for practice in further detail.

Viable Models

First, models of conceptual clarity should be used to develop more robust and holistic performance interventions around engagement. As outlined in this chapter, the various conceptual frameworks are associated with specific measurement tools. For example, internal or external organization development consultants could adopt the multidimensional (Saks, 2006) framework as their conceptual lens and match a measurement tool such as the Rich, LePine, and Crawford (2010) instrument for examining engagement. This not

only provides a sense of clarity to the concept from both a theoretical and empirical perspective, but it also allows lines traditionally blurred in practice to remain clear and precise. In our experience, however, conceptual clarity and measurement clarity are rarely undertaken in practice (for an exemplar exception, see Nimon & Zigarmi, 2011). However, it is essential that HRD practitioners consciously appreciate the origins and contexts of the models they may use. Using a clear model such as the multidimensional or the burnout-antithesis framework can give the needed structure for understanding the drivers of engagement and, therefore, enhance the ability of practitioners to tailor programmatic strategies for enhancing engagement. These models, however, have origins and contexts that come along with their use and that cannot be ignored during implementation.

Further, this chapter provides internal and external HRD practitioners a specific language for use when working alongside clients. This language has been both grounded in research and tested in practice. Instead of referring to engagement as an ambiguous concept, practitioners must be able to use language about the concept of engagement with confidence and accuracy. Without accuracy, engagement might be one thing to one set of practitioners and another thing to a different set. While this diversity seems reasonable for the sake of plurality, freedom, and research creativity, too much diversity promotes the proliferation of engagement as everything—which, of course, is not true. In HRD practice, engagement should have specific frames of reference, definitions, and conceptual frameworks (see Shuck, 2011). This becomes increasingly important as HRD practitioners strive to make the economic business case for the funding needed to implement programs that support the concept of engagement.

Valid and Reliable Instruments

Not only must HRD practitioners work to settle on a model of formulation for the concept of engagement, but it is important for HRD practitioners to understand that these models carry with them instruments of sophisticated difference and nuance. In our experience, there are three common ways in which practitioners utilize instrumentation in practice. They (1) create them using their own psychometric skills, (2) purchase them from a commercial consulting firm, or (3) partner with some institution of higher learning and avail themselves of the skills of academic researchers. In any case, we believe practitioners *must* be steadfast in the requirement that any instrumentation used for the measuring of engagement be of proven reliability and validity. Using an instrument that is not reliable and valid is a waste of organizational resources (tangible and intangible) and is likely to result in poor data and, consequently, poor implementation and follow-up.

Furthermore, not only should instrumentation be of proven psychometric value, but also the instrument should coincide with the chosen model of engagement formulation. Unfortunately, it is the case that, while organizations might do the data collection necessary to understand present levels of engagement within their organizations (with varying degrees of reliability and validity), there is often a skills and practice gap around how to understand, interpret, and take action on survey results. Moreover, practitioners should note that measurement tools continue to emerge. To the degree that these can be pursued in practice, this provides a solid footing and a bright spot for scholars and practitioners to continue working together.

The Motivations of Stakeholders

Specifically for practitioners, this chapter has pointed toward a variety of tools, frameworks, and techniques for understanding, developing, and improving employee engagement within organizations. But we should be clear: engagement is not performance in and of itself and is not performance just for the sake of performing better or faster—although better and faster may be very positive consequences of high engagement. Rather, engagement is a formidable, authentically individual, state of motivation. It is not a survey (or the results of a survey); nor is engagement a program, although both surveys and programmatic efforts can impact engagement efforts. Strictly speaking from a utilitarian perspective, engagement from our vantage is about employees and their belief that their work and their contribution to their place of work matters, and further, that if they give of their engagement, their organization (often viewed through the lens of the one they believe to be their immediate supervisor) will support them and have their interests in mind as equally as they have their own. Thus, engagement cannot be demanded; it can only be offered and nurtured. It is not flat like other more one-dimensional variables such as job satisfaction; it is just as dynamic and changing as the person being asked to be more fully engaged. Engagement evolves as the organization, team, and individual evolve.

The implications for this are that practitioners can approach the cultivation of engagement from a variety of ways: from helping managers learn to have one-on-one conversations with their employees about their careers, aiding organizations to be strategic about developing a supportive learning culture, as well as finding authentic ways to communicate how important, meaningful, and valued each employee is. Great organizations are made from teams who are willing to be great; and great teams are made from individuals who will risk being great. Engagement, then, is about individuals—those being asked to make the initial risk of getting involved, believing in, and ultimately working toward the success of their organization.

As a final note, we propose that this overview has implications for employees, who often can benefit positively from organization-wide engagement initiatives. While engagement has often been situated in an organization-centric perspective in research and practice, the genuine power of engagement lies directly within the purview of the employee. This chapter has in some ways highlighted the empowering nature of engagement, as well as the ability that each employee has to own, influence, and participate in engagement-encouraging initiatives. For example, framed as an opportunity for participation, engagement becomes a unifying force in an increasingly segmented workplace climate. This requires invitational opportunities and strategies for collaboration, but ultimately is possible (Shuck & Herd, 2012). Employees must believe they matter and that they contribute something of value, that their work is not in vain, taken for granted, cast aside, or ignored. Work that is ignored or taken for granted sends a deepening and hurtful message that, at first, leaves only a small mark of its presence; over time and repetition, however, small marks become deep crevasses of disengagement—hard to navigate, unpredictable, and dark. Conversely, helping employees understand their valued contributions provides a light that occurs through an invitation to shared purpose, meaning, and value. If organizations can invite employees to participate in shared purpose and contribute toward work that is meaningful, employees can be better empowered to participate individually and organizationally (Kahn, 2010), thus putting them in control of their own levels of engagement, helping to give the organizations they work for an unparalleled competitive advantage.

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Emotional Intelligence and Its Critical Role in Developing Human Resources

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Over the years, there has been considerable interest in the role of the field of human resource development (HRD) in developing human resources by improving performance through learning at individual, group, process, organizational, community, and national levels (McLagan & Suhadolnik, 1989; Nafukho, Hairston, & Brooks, 2004; Swanson & Holton, 2009). Thus, human resource development as a multidisciplinary field of study with foundations in anthropology, economics, psychology, and systems theory has continued to demonstrate its significance to organizations, communities, and nations the world over.

Since several chapters have addressed the meaning and definition of HRD in detail, for the purpose of this chapter, we define HRD as *a human sciences field of study focusing on the process of developing through learning and optimally utilizing human expertise for the purpose of improving performance at individual, team, process, and organizational levels in government, public, for-profit, and nonprofit organizations*. HRD as a human science recognizes the notion that organizations depend on people for the production of goods and services and acknowledges that people represent the most *valuable assets* in organizations. People, as the most valuable assets in organizations, have unlimited capability to learn, grow, and improve their performance, hence the need to invest in them through *learning*. Thus, HRD as a field of study recognizes that, while there exist various resources such as land resources, mineral resources, oil and gas resources, and financial resources, the most durable and valuable resource is the *human resource* (Nafukho, Wawire, & Lam, 2011).

WHY THE INTEREST IN EMOTIONAL INTELLIGENCE?

For many decades, education has emphasized the strengthening of cognitive skills as measured by intelligence quotient (IQ) as the major predictor of one's academic success and workplace performance (Bar-On, Maree, & Elias, 2007; Cherniss, 2004). It has been argued that IQ proves to be a weak predictor of how well individuals relate with others, how they perform at their workplaces, and how they cope with the daily challenges of life (Goleman, 1998; Wagner, 1997). Bar-On (2006) suggested that something is missing in the human performance formula that can explain in part why some individuals do well in life while others do not, irrespective of their cognitive intelligence. Part of the variance among successful individuals unaccounted for by IQ could be explained by the characteristics that constitute emotional intelligence (EI). As a result, EI as a construct has become a key factor in research examining a range of outcomes. For example, studies (Bar-On, 2004, 2006; Krivoy, Ben-Arush, & Bar-On, 2000) have found a moderate, but statistically significant relationship between emotional-social intelligence and physical health. A number of studies (Bar-On, 1997, 2004; Brackett & Mayer, 2003) have suggested a relationship between EI and social interaction. Four studies conducted in South Africa, Canada, and the U.S. indicated the impact of EI on performance at school (Bar-On, 1997, 2006; Parker, Creque, Barnhart, Harris, Majeski, Wood, Bond, & Hogan, 2004; Swart, 1996). The impact of EI on performance in the workplace has been well demonstrated (Bar-On, 2005; Bar-On, Handley, & Fund, 2005; Boyatzis & Sala, 2004; Handley, 1997). The implication of these findings is that EI has a significant impact on human performance and affects our ability to accomplish our goals.

With respect to the EI construct, it is fitting to focus on redefining what it means to be "smart" in today's organizations and how one can combine both EI and IQ to improve performance at individual, team, and organization levels. Unlike IQ, emotional intelligence is not a fixed factor; rather, it can be systematically developed (Goleman, 1998). The purpose of this chapter is to explore the influence of EI on performance in the workplace and suggest ways in which HRD education and training programs can incorporate EI as an essential part of their curriculum for graduate students. We see the urgent and compelling need to incorporate skills related to EI in HRD graduate programs.

WHAT IS EMOTIONAL INTELLIGENCE?

In today's hyper-competitive and rapidly changing environment, understanding what fosters and sustains employee motivation and engagement, and thus organizational performance, is critical. Organizations have an increasing need to

create workplaces that are engaging and motivating, where employees not only want to stay, but grow, work more productively, and contribute their knowledge, skills, experience, and expertise (Lockwood, 2010). Such workplaces call for employees who are able to identify, manage, and focus their emotions effectively and successfully cope with the demands of daily life (Bar-On, 2004).

EI is an “array of non-cognitive capabilities, competencies, and skills that influence one’s ability to succeed in coping with environmental demands and pressures” (Bar-On, 1997, p. 14). Bar-On’s ability model of EI consists of a multifactorial combination of emotional, personal, and social abilities that fall within five areas of EI: intrapersonal skills, interpersonal skills, adaptability skills, stress management skills, and general mood skills. Goleman (1998) later refined his definition of emotional intelligence to include a mixed model consisting of a framework of four ability clusters: (1) self-awareness, (2) self-management, (3) social awareness, and (4) relationship management. Based on the conceptualizations of EI, people who are emotionally and socially intelligent are those who are able to identify, understand, manage, and use their emotions intelligently. It is both important and possible to educate people to be emotionally intelligent (Bar-On, Maree, & Elias, 2007). There exists a genuine need for HRD as a field of study to incorporate EI skills in training programs. Teaching EI will offer learners the knowledge, skills, and attitudes needed to manage change, deal with conflict, build effective teams, develop others, and learn the importance of working together to achieve organizational goals (Feldman & Mulle, 2007).

HRD GRADUATE PROGRAMS

HRD graduate programs play an important role in developing human resources by educating and training future researchers, practitioners, and instructors. Using a purposeful selected sample, Kuchinke (2002) found that there were fifty-five HRD graduate programs in the U.S., forty-two of which were housed in the colleges or schools of education. Of the fifty-five HRD graduate programs, 80 percent granted doctorates and 20 percent granted master’s degrees. In regard to the content area coverage, the study found the following courses to be addressed: quality management, instructional design, instructional delivery and evaluation, needs and performance analysis, history and philosophy of HRD, instructional technology, organization development, consulting, management of HRD, organizational learning or learning organization, strategic and economic issues related to HRD, diversity, and international HRD.

When looking at the HRD graduate programs, Fimbel (2002) summarized the following as being common to the discipline: adult learning theory,

strategic HRD, communication, and meta-HRD. Strategic HRD includes such courses as change management, team management, working with diverse people, and leadership. This area is not as much emphasized as a business recruiter would like, and less than half of the graduate programs surveyed include a course called “strategic HRD” or a similar one (Kuchinke, 2002). It would be worth including a course on emotional intelligence as a strategic HRD course. The HRD curriculum that includes an emotional intelligence component has a distinct advantage that it can market to the new workplace.

HOW THE DISCIPLINE OF HRD CAN USE EMOTIONAL INTELLIGENCE TO DEVELOP HUMAN RESOURCES

Busser (2012) identified some fundamental shifts occurring in the workplace that have implications for how we prepare our graduates for the world of work. Among these shifts is a bigger focus on the work and teamwork. Employees realize that, to be successful, they need their co-workers. This new definition of teamwork calls for individuals who can and know how to be team players. Research shows that people who have a high level of EI are better decision-makers, foster better relationships, and increase team efficiency (Goleman, 1998). The American Society for Training and Development (ASTD) continues to provide a basis for preparation of HRD professionals, particularly learning and development professionals. The ASTD (2013) competency model identifies the skills, knowledge, abilities, and behaviors required for people to be successful in the learning and development field. Of particular importance to this chapter is the “foundational competencies” that touch on interpersonal and personal skills. Interpersonal skills include the ability to build trust, communicate effectively, influence stakeholders, leverage diversity, and network and partner. Personal competencies include the ability to demonstrate adaptability and model personal development. As HRD professionals, we need to develop or deliver a curriculum that will not only build the employer’s brand in our communities, but also create a pipeline that is ready and available when we need it. Advocating for the inclusion of EI in our HRD programs is one way of developing such a curriculum.

In reality, individuals who go through human resource development programs require both technical competencies and emotional intelligence competencies to be successful in the workplace and in life. As noted, “Wider areas of intelligence enable or dictate how successful we are. Toughness, determination, persistence, resilience, and vision help. But emotional intelligence,

often measured as an emotional intelligence quotient, or EQ, is more and more relevant to important work-related outcomes such as individual performance, organizational productivity, and developing people” (Serrat, 2009, p. 49). Economists use the term “productivity” to refer to increase in output per unit of input employed. HRD programs aim at equipping individuals with core competencies that can make them productive in the workplace. By relying on emotional intelligence to develop people, the field of HRD will be providing a great solution to the unanswered question of how to optimally develop and unleash human expertise.

While HRD education and training programs aim at developing competent individuals who can positively impact organizations where they work and communities where they live, empirical evidence shows that, by developing the emotional intelligence skills among people in organizations, they become more productive and successful at what they do. While intellectual competence is necessary for productive employees, it is not sufficient and hence the need for emotional competencies. As noted, “If your emotional abilities aren’t in hand, if you don’t have self-awareness, if you are not able to manage your distressing emotions, if you can’t have empathy and have effective relationships, then no matter how smart you are, you are not going to get far” (Goleman, 1998, p. 275).

While several emotional intelligence models now exist that demonstrate how the construct is measured, for the purpose of this chapter, we discuss the Goleman (1998) mixed model, which consists of a framework of four ability clusters: self-awareness, self-management, social awareness, and relationship management to demonstrate the need for teaching EI skills. The field of HRD should seek to improve the emotional quotient (EQ) of learners by seeking to develop their abilities in the four abilities of self-awareness, self-management, social awareness, and relationship management. Goleman (1998) observed that, unlike IQ, which is inherited, emotional intelligence can be learned over time and EQ scores have been found to improve as individuals take more courses on emotional intelligence.

Figure 36.1 illustrates further that the individual is key to the process of learning, developing, acquiring, and applying emotional intelligence skills. The learning process begins with self-awareness, knowing one’s traits, strengths, weaknesses, and feelings when presented with a situation. This is followed by self-management, which helps one to engage in a self-regulation process before taking any action. Both self-awareness and self-management aim at developing personal competencies that should be complemented with social awareness and relationship management—key social competencies. Social awareness seeks to develop interpersonal skills that people working in government, public, for-profit, and nonprofit organizations need to be able to work *together* cooperatively, collaboratively, and competitively.

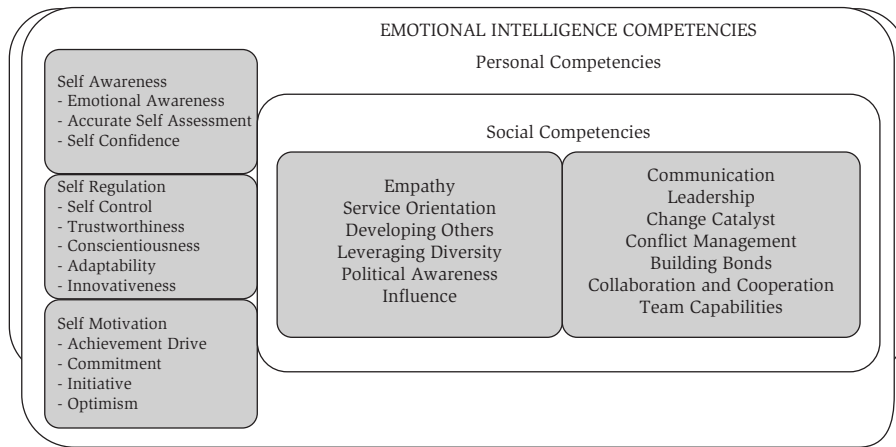


Figure 36.1 Emotional Intelligence Competencies

On the skills needed to develop EI among all university graduates, President S. Alan Ray, in her commencement speech at Elmhurst University, outlined the following key traits of EI:

The key components of emotional intelligence include self-awareness, which is the ability to recognize one's emotional response and the emotions of others, to reflect upon this and to self-regulate, to adapt, to remain flexible, and to maintain integrity. EI . . . also includes self-motivation, perseverance, persistence, and commitment. Recognizing your strengths and weaknesses and maintaining optimism. Emotional intelligence involves social awareness, such as empathy, sensitivity to others and their perspectives, taking an active interest in listening. And emotional intelligence includes social skills, such as communication, collaboration, how well you handle yourself, and how well you handle interacting with others. (Mattox, 2010, p. 1)

A number of change agents in organizations recognize the importance of EI in determining employee performance in the workplace. Weinberger (2002) noted that there has been increased interest in EI and how it affects performance in organizations and that this interest has continued to grow. It has been argued that in this age of “ideas” characterized with mobile learning, mobile intelligence, globalization, information technology, rapid and unpredictable change, and social media, EI is becoming a vital skill necessary for collaborative work (Goleman, 1998; Holt & Jones, 2005). In today's constantly changing and competitive world, organizations are always looking for ways to improve performance, and employees with high EQ are most likely to be successful in their work (Graham, 2009; Nafukho, 2009). Effective HRD practitioners and scholars should help improve performance at individual, process, and organizational levels by having emotional intelligence competencies, as shown in Table 36.1. Given the important role that human resource

Table 36.1 Emotional Intelligence Competencies and Attributes

| <i>EI Competence</i> | <i>Attribute</i> | <i>Expected Outcome</i> |
|------------------------|----------------------------|---|
| Self-Awareness | Personal Competence | |
| | Emotional Awareness | <p>Individuals with this competence</p> <ul style="list-style-type: none"> • Know which emotions they are feeling and why • Realize the links between their feelings and what they think, do, and say • Recognize how their feelings affect their performance • Have a guiding awareness of their values and goals |
| | Accurate Self-Assessment | <p>Individuals with this competence are</p> <ul style="list-style-type: none"> • Aware of their strengths and weaknesses • Reflective, learning from experience • Open to candid feedback, new perspectives, continuous learning, and self-development • Able to show a sense of humor and perspective about themselves |
| Self-Regulation | Self-Confidence | <p>Individuals with this competence:</p> <ul style="list-style-type: none"> • Present themselves with self-assurance and have presence • Can voice views that are unpopular and go out on a limb for what is right • Are decisive and able to make sound decisions despite uncertainties and pressures |
| | Personal Competence | |
| | Self-Control | <p>Individuals with this competence:</p> <ul style="list-style-type: none"> • Manage their impulsive feelings and distressing emotions well • Stay composed, positive, and unflappable, even in trying moments • Think clearly and stay focused under pressure |

(Continued)

Table 36.1 (Continued)

| <i>EI Competence</i> | <i>Attribute</i> | <i>Expected Outcome</i> |
|------------------------|------------------------------|--|
| | Trustworthiness | Individuals with this competence: <ul style="list-style-type: none"> • Act ethically and are above reproach • Build trust through their reliability and authenticity • Admit their own mistakes and confront unethical actions in others • Take tough, principled stands, even if they are unpopular |
| | Conscientiousness | Individuals with this competence: <ul style="list-style-type: none"> • Meet commitments and keep promises • Hold themselves accountable for meeting their objectives • Are organized and careful in their work |
| | Adaptability | Individuals with this competence: <ul style="list-style-type: none"> • Smoothly handle multiple demands, shifting priorities, and rapid change • Adapt their responses and tactics to fit fluid circumstances • Are flexible in how they see events |
| | Innovativeness | Individuals with this competence: <ul style="list-style-type: none"> • Seek out fresh ideas from a wide variety of sources • Entertain original solutions to problems • Generate new ideas • Take fresh perspectives and risks in their thinking |
| Self-Motivation | Personal Competencies | |
| | Achievement Drive | Individuals with this competence: <ul style="list-style-type: none"> • Are results-oriented, with a high drive to meet their objectives and standards • Set challenging goals and take calculated risks • Pursue information to reduce uncertainty and find ways to do better • Learn how to improve their performance |

| <i>EI Competence</i> | <i>Attribute</i> | <i>Expected Outcome</i> |
|-------------------------|----------------------------|--|
| | Commitment | <p>Individuals with this competence:</p> <ul style="list-style-type: none"> • Readily make personal or group sacrifices to meet a larger organizational goal • Find a sense of purpose in the larger mission • Use the group's core values in making decisions and clarifying choices • Actively seek out opportunities to fulfill the group's mission |
| | Initiative | <p>Individuals with this competence:</p> <ul style="list-style-type: none"> • Are ready to seize opportunities • Pursue goals beyond what is required or expected of them • Cut through red tape and bend the rules when necessary to get the job done • Mobilize others through unusual, enterprising efforts |
| | Optimism | <p>Individuals with this competence:</p> <ul style="list-style-type: none"> • Persist in seeking goals despite obstacles and setbacks • Operate from hope of success rather than fear of failure • See setbacks as due to manageable circumstance rather than a personal flaw |
| Social Awareness | Social Competencies | |
| | Empathy | <p>Individuals with this competence:</p> <ul style="list-style-type: none"> • Are attentive to emotional cues and listen well • Show sensitivity and understand others' perspectives • Help out based on understanding other people's needs and feelings |

(Continued)

Table 36.1 (Continued)

| <i>EI Competence</i> | <i>Attribute</i> | <i>Expected Outcome</i> |
|----------------------|----------------------|---|
| | Service Orientation | <p>Individuals with this competence:</p> <ul style="list-style-type: none"> • Understand customers' needs and match them to services or products • Seek ways to increase customers' satisfaction and loyalty • Gladly offer appropriate assistance • Grasp a customer's perspective, acting as a trusted advisor |
| | Developing Others | <p>Individuals with this competence:</p> <ul style="list-style-type: none"> • Acknowledge and reward people's strengths, accomplishments, and development • Offer useful feedback and identify people's needs for development • Mentor, give timely coaching, and offer assignments that challenge and grow a person's skills |
| | Leveraging Diversity | <p>Individuals with this competence:</p> <ul style="list-style-type: none"> • Respect and relate well to people from varied backgrounds • Understand diverse worldviews and are sensitive to group differences • See diversity as opportunity, creating an environment where diverse people can thrive • Challenge bias and intolerance |
| | Political Awareness | <p>Individuals with this competence:</p> <ul style="list-style-type: none"> • Accurately read key power relationships • Detect crucial social networks • Understand the forces that shape views and actions of clients, customers, or competitors • Accurately read situations and organizational and external realities |

| <i>EI Competence</i> | <i>Attribute</i> | <i>Expected Outcome</i> |
|-------------------------|----------------------------|---|
| Social Awareness | Social Competencies | |
| | Influence | <p>Individuals with this competence:</p> <ul style="list-style-type: none"> • Are skilled at persuasion • Fine-tune presentations to appeal to the listener • Use complex strategies like indirect influence to build consensus and support • Orchestrate dramatic events to effectively make a point |
| | Communication | <p>Individuals with this competence:</p> <ul style="list-style-type: none"> • Are effective in give-and-take, registering emotional cues in attuning their message • Deal with difficult issues straightforwardly • Listen well, seek mutual understanding, and welcome sharing of information fully • Foster open communication and stay receptive to bad news as well as good |
| | Leadership | <p>Individuals with this competence:</p> <ul style="list-style-type: none"> • Articulate and arouse enthusiasm for a shared vision and mission • Step forward to lead as needed, regardless of position • Guide the performance of others while holding them accountable • Lead by example |
| | Change Catalyst | <p>Individuals with this competence:</p> <ul style="list-style-type: none"> • Recognize the need for change and remove barriers • Challenge the status quo to acknowledge the need for change • Champion the change and enlist others in its pursuit • Model the change expected of others |

(Continued)

Table 36.1 (Continued)

| <i>EI Competence</i> | <i>Attribute</i> | <i>Expected Outcome</i> |
|----------------------|-------------------------------|---|
| | Conflict Management | <p>Individuals with this competence:</p> <ul style="list-style-type: none"> • Handle difficult people and tense situations with diplomacy and tact • Spot potential conflict, bring disagreements into the open, and help deescalate • Encourage dialogue and open discussion • Orchestrate win-win solutions |
| | Building Bonds | <p>Individuals with this competence:</p> <ul style="list-style-type: none"> • Cultivate and maintain extensive informal networks • Seek out relationships that are mutually beneficial • Build rapport and keep others in the loop • Make and maintain personal friendships among work associates |
| | Collaboration and Cooperation | <p>Individuals with this competence:</p> <ul style="list-style-type: none"> • Balance a focus on task with attention to relationships • Collaborate, sharing plans, information, and resources • Promote a friendly and cooperative climate • Spot and nurture opportunities for collaboration |
| | Team Capabilities | <p>Individuals with this competence:</p> <ul style="list-style-type: none"> • Model team qualities such as respect, helpfulness, and cooperation • Draw all members into active and enthusiastic participation • Build team identity, esprit de corps, and commitment • Protect the group and its reputation and share credit |

Source: Serrat, O. (2009). *Understanding and developing emotional intelligence*. www.adb.org/documents/information/knowledge-solutions/understanding-developing-emotional-intelligence.pdf

development leaders play in organizations, we cannot discuss EI and performance of employees and organizations without considering that of their leaders—hence the need for HRD programs to teach emotional intelligence skills aimed at developing personal and social competencies among learners and employees as current and future leaders.

CONCLUSION

As argued in this chapter, the construct of emotional intelligence has been evolving since the 1930s and is emerging as an important construct in predicting a range of positive outcomes, such as improved performance, good work climate, increased productivity, and career and life success (Cherniss, 1999, Muya & Kacirek, 2009; Nafukho, 2009). A growing body of research on EI shows that it is possible to help employees to become more emotionally intelligent at work (Cherniss, Goleman, & Emmerling, 1998). Considering that the EI construct is creating interest among business and industry, scholars and practitioners, building EI skills in HRD training and education programs is not only necessary but sufficient for the purpose of developing and optimally utilizing human resources.

Because HRD is a field of study whose main focus is improving performance through learning, HRD educators, scholars, practitioners, and learners should be interested in incorporating EI competencies in their learning and development programs. Weinberger (2009) observed that effective leadership, which is an indicator of good performance by the leaders, is critical for today's rapidly changing organizations and argued that EI has been identified by some as that crucial element needed for effective leadership and hence good performance.

Graham (2009) noted that there is need for continued dialogue about limitations to performance that may be associated with the leader's or employee's inability to appropriately express emotional intelligence when primarily relying upon innovative, Internet-based communication technologies. He argued that, although society has embraced innovative communication technologies such as the Internet, email, and social media, including YouTube, Facebook, and Twitter, without hesitation and often with much enthusiasm, there is limited empirical evidence as to how these newer social media technology approaches may enhance or diminish the EI quality of leader interactions and ultimately impact worker performance in virtual work settings. This observation calls for HRD educators, researchers, and practitioners to explore ways of incorporating EI skills in their curricula. On the need for studying the construct of EI, Lincoln (2009) observed:

the first recorded instance of emotional intelligence was the Biblical King Solomon, whose wisdom and discernment about individuals and their motivations, desires, and deepest needs has become legendary, so much so that we

speak of decisions as ‘Solomonic,’ wise, thoughtful, finely calibrated to bring about fairness, social balance, and justice. It is not surprising, then, that we would want to see more of such EI in organizations. (p. 784)

As noted above, while there is an urgent need to apply more EI skills at the workplace, it is our contention that HRD programs should teach EI skills and equip the learners with personal and social competencies before they go to the workplace. Mattox (2010, p. 1) cited President S. Alan Ray in her commencement speech at Elmhurst University on the importance of emotional intelligence to the graduating class and noted, “with emotional intelligence you are more productive and resilient and your interactions can be less stressful.” As pointed out, by learning EI skills, graduates from HRD programs will be able to adapt to the work environment, be open and flexible, be able to persevere, persist, be committed to their work, remain optimistic, have empathy, be active listeners, be good communicators, value collaboration, be productive and resilient, and have the ability to manage stress. These are qualities that employers are looking for in their employees.

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PART VIII



FUTURE DIRECTIONS



National HRD

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In the last fifteen to twenty years, there has been considerable interest generated in researching and applying national human resource development (NHRD) within the HRD community. As early as 1964, Harbison and Myers provided a definition for HRD from an economic development perspective that serves as a prelude to what is currently referred to as NHRD. Since then, many have suggested that HRD is not solely appropriate within for-profit and not-for-profit organizations, as had long been considered, but can be used to support country development (Briggs, 1987).

India renamed its Ministry of Education to the Ministry of HRD and Education in the 1980s (Rao, 1996). In the 1990s, the United Nations used the term extensively to refer to the holistic development of undeveloped and underdeveloped countries (United Nations, 1994). Subsequently, the Republic of Korea (South Korea) renamed its Ministry of Education to the Ministry of Education and HRD, with the minister serving as vice prime minister. However, for political reasons, this plan did not work, and the government reorganized its National HRD policy and approach (Kjerfve, Kim, Kim, & McLean, 2012).

In 2001, McLean and McLean proposed a definition for HRD that broadened the definition of HRD to incorporate a broader view of HRD's purpose and stakeholders. This definition has stimulated research in NHRD, resulting in two issues of *Advances in Developing Human Resources* (Lynham & Cunningham, 2006; McLean, Osman-Gani, & Cho, 2004) that provided case studies on the application of NHRD and resulted in a taxonomy of approaches to NHRD. Based on personal contacts from around the world, it is clear that there is extensive interest in doing research in NHRD. In the last four years, all of the Academy conferences have included multiple papers on NHRD.

This research into NHRD has expanded to include community development, regional development, and societal development. Each of these emphases has been incorporated into an *Advances in Developing Human Resources* issue (Kim & McLean, 2012).

Theory related to NHRD is still underdeveloped, as identified by Wang and Swanson (2008) and McLean, Lynham, Azevedo, Lawrence, and Nafukho (2008). Nevertheless, case studies have suggested that there are currently five approaches to NHRD: centralized, transitional, government-initiated toward standardization, decentralized/free market, and small nation (Cho & McLean, 2004). Theory development has been advanced with an article written by Alagaraja and Wang (2012a), with an exchange between McLean (2012) and Alagaraja and Wang (2012b).

Best practices do not exist for NHRD, nor are they likely to, because each nation may require a different NHRD agenda, plan, and process that are influenced by its culture, history, economy, population, politics, education systems, social security, natural resources, and technologies (Cho & McLean, 2004; Lynham & Cunningham, 2006; McLean, 2004; Paprock, 2006; Wang, 2008).

In this chapter, I will present historical and emerging definitions of NHRD, explore models for NHRD, discuss two major efforts to measure country-level NHRD, provide some country-level examples, suggest subsets of NHRD that are emerging, describe common characteristics of NHRD, discuss challenges or barriers of NHRD, and project possible futures for NHRD.

DEFINITION OF NHRD

The first identified use of the term human resource development focused on national economic development, in contrast to the subsequent emphasis within organizations. Harbison and Myers (1964) defined HRD as:

the process of increasing the knowledge, the skills, and the capacities of all the people in a society. In economic terms it could be described as the accumulation of human capital and its effective investment in the development of an economy. In political terms, human resource development prepares people for *adult participation in political processes, particularly as citizens* in a democracy. From the social and cultural points of view, the development of human resources *helps people to lead fuller, richer lives*. (p. 2) [emphasis added]

Two economists, among many, supported Harbison and Myers' conclusion. Marshall (1986) stated: "Developed, educated, motivated people are an unlimited resource . . . [while] undeveloped, uneducated, unmotivated people are a monumental drag on an economy in the internationalized information era" of contemporary times (p. 1). Briggs (1987), another economist, concluded: "While economists in general and policy-makers in particular have focused upon physical capital as the explanation for long-term economic growth, it has actually been human resource development that has been the major contributor" (p. 1213).

During the 1980s and 1990s, the United Nations frequently made reference to HRD as a remedy for undeveloped and underdeveloped countries to overcome their deficits. According to McLean, Lynham, Azevedo, Lawrence, and Nafukho (2008), there were conflicts between the International Labor Organization (ILO) and UNESCO (United Nations Educational, Social, and Cultural Organization) over a demand-side view of HRD versus a supply-side view. Even the United Nations General Assembly (United Nations, 1994) became involved in the discussions, eventually settling on the term “human development” as having a broader perspective than HRD.

McLean and McLean (2001) offered a tentative definition of human resource development that expanded the stakeholders of HRD to include “community, nation, or, ultimately, the whole of humanity” (p. 322). Based on this expansion of the concept of HRD, McLean (2006a) offered a preliminary definition of NHRD:

National Human Resource Development (NHRD) is an undertaking at the top level of government and throughout the country's society that coordinates all activities related to human development (HD) to create greater efficiency, effectiveness, competitiveness, satisfaction, productivity, knowledge, spirituality, and well-being of its residents. It includes education, health, safety, training, economic development, culture, science and technology, and any factors influencing HD. (Slide 19)

This definition has some weaknesses, in addition to its strengths (McLean, 2012). The struggle to define NHRD is a work in progress. As with HRD generally (McLean & McLean, 2001), the NHRD definitional task may always remain incomplete. The dialogue related to definition may be more important than the definition itself.

EMERGING MODELS RELATED TO NHRD

Other than specific country implementation approaches, the first attempt at developing a model appears to have been the summary of the country cases included in McLean, Osman-Gani, and Cho (2004). While Cho and McLean (2004) labeled the five approaches used by the countries involved and called this a model, it was really a taxonomy: centralized, transitioning, government-initiated toward standardization, decentralized/free market, and small nations. Although they concluded that the U.S. did not have a national HRD, in fact, the U.S. has a decentralized approach that delegates issues typically related to NHRD to the states (e.g., Ahn & McLean, 2010).

Alagaraja and Wang (2012a), based on their research on NHRD in India and China, developed a conceptual, graphic, strategy model for NHRD.

The model consisted of descriptors of characteristics of NHRD in both countries. The model simply showed when each country moved from level 1 (centralized NHRD) to level 2 (transitional NHRD) to 3 (neo-market NHRD with government-initiated partnerships) (p. 424).

In addition, Alagaraja and Wang (2012) identified a number of different emphases in how countries have applied NHRD:

1. Educational-led systems (formal and informal educational sectors; enterprise-led work-based training, and college education systems);
2. Effect of occupational and labor markets on vocational education systems, skill development, and workplace training;
3. Cultural and historical influences on vocational educational systems, apprenticeship institutions, and industry-led training systems;
4. Role and extent of state involvement (central/federal) in vocational, career education, and workplace training at the regional and local levels;
5. Relationships between labor markets, institutional arrangements, occupational skill development, and industry demands;
6. National systems of skills formation linking underlying interdependencies of the state, capital markets, and labor;
7. HRD's role in the development of NHRD policy and practice;
8. NHRD HRD "model" review of contemporary economic, social, cultural, and political environments; and
9. Role of government in national economic development. (p. 415)

While these are steps in the right direction, as Wang and Swanson (2008) rightly observed, the development of theory and models for NHRD are still in the early stages. However, as McLean, Lynham, Azevedo, Lawrence, and Nafukho (2008) also observed, NHRD in each country may be idiosyncratic, which may make it impossible to come up with a theory or model that applies across every country (or even across a couple of countries). As I have argued elsewhere (McLean, 2010), far too much of HRD's literature has originated in the West, primarily in the U.S., and even now, the early work on NHRD models and the call for greater theory development is emerging from a Western perspective, even though many of the authors are not themselves from the West (although they have been educated in the West). Perhaps we should, legitimately, focus on single countries as case studies rather than attempting to generalize across country borders when those countries are different economically, culturally, socially, historically, ethnically, geographically, and so on.

HISTORY AND EXAMPLES OF COUNTRY-WIDE APPLICATIONS OF NHRD

Two issues of *Advances in Developing Human Resources* (Lynham & Cunningham, 2006; McLean, Osman-Gani, & Cho, 2004) provided in-depth case studies of many countries. Countries are also associated with specific approaches to NHRD by Alagaraja and Wang (2012). In this section, because of space restrictions, I will focus on two countries that have been important leaders in the development of NHRD (India, because it was the first to name a ministry for HRD, and South Korea, for having developed the concept of NHRD most extensively). I will also include two countries that have had limited exposure—Brazil and Afghanistan. A whole book could be written fully focused on country cases in NHRD. This section, necessarily, provides superficial coverage of these countries.

India

This summary comes from Rao (2004) and Alagaraja and Wang (2012a). India appears to be the first country to use the term NHRD explicitly in 1986 when it renamed its Ministry of Education to the Ministry of HRD and Education. However, the change appears to have been in name only, with little change in how the ministry was run. At the same time, according to Alagaraja and Wang (2012a), as early as its independence in 1947 up to 1990, India had centralized agricultural and industrial production. By 1990, the economy began its transition to a neo-market economy with government-initiated partnerships.

While still committed conceptually to NHRD, unlike other countries taking an NHRD approach, India has not been as persistent and focused in applying principles of NHRD. Nevertheless, while still facing major challenges associated with education, poverty, child labor, human trafficking, and corruption, India has moved into the top tier of developing countries, joining the BRIC (Brazil, Russia, India, China) countries.

Republic of Korea (South Korea)

This summary comes primarily from Kjerfve, Kim, Kim, and McLean (2012). Following the devastation of the Korean War, Korea focused heavily and successfully on economic development. Korea benefitted from its Confucian-based culture, with its emphasis on education, producing a highly skilled workforce. As early as the 1970s, the Department of Science and Technology developed a Human Resource Policy with a five-year plan, followed subsequently by six more such plans.

When the economic crisis of 1997 affected Asia, Koreans were looking for relief, not just from economic recession but, because of the social unrest created during the recession, also pushed for greater sociocultural development. Thus, in 2001, the Ministry of Education was renamed the Ministry of Education and Human Resource Development, with the head of the ministry also appointed as vice prime minister, with responsibility for coordinating the HRD activities of all twenty ministries. It did not take long for this system to break down because of political disagreements and loss of power within individual ministries. NHRD was transferred to the Ministry of Science and Technology. Several problems remain in Korea's National HRD, including underemployment of women, overeducation of its young people with subsequent unemployment and underemployment, and continuing avoidance of vocational education, requiring, for the first time, the importation of foreign workers.

Brazil

This summary comes primarily from Kjerfve, Kim, Kim, and McLean (2012). In 2010, Brazil had the eighth largest economy in the world (Top 10. . . , 2011). However, Kierfve and colleagues (2012) concluded that this position might well be jeopardized because of a lack of qualified human capital. They pointed to the low level of investment in education as a potential cause of the lack of qualified personnel.

Beginning in the 1990s, Brazil began to move to the forefront of developing nations, joining the BRIC countries. The government took a centralized approach with an extensive vaccination program to improve health care and rapid growth of education and training, from primary education through tertiary education, along with training for adult populations. Additional approaches included scholarships for high-performing, low-income students in private colleges; national assessment at primary, secondary, and tertiary levels; and reforming of technical and vocational education in line with industry needs. Professional education and training were also reformed and revitalized through government encouragement of private-public partnerships.

In spite of the giant leaps forward in Brazil's economy based on its centralized approach to NHRD, there are still major deficiencies in education. Funding for primary and secondary education still lags behind that for higher education, and there is a need for major reformation of teacher training and teacher pay.

Afghanistan

Demartis, Matthews, and Khilji (2012) took a different approach to NHRD. Rather than looking at how NHRD is already being used, they proposed ways in which Afghanistan, a country that has been in chaos and under terrorist threat for decades, might use NHRD to develop its human resources. It is a

country that remains challenged by poverty, illiteracy, underdeveloped educational institutions, corruption of political officials, discrimination against women, lack of security and stability, lack of basic social services, high infant mortality, low life expectancy, lack of infrastructure (roads, schools, electricity), imperfectly operating democracy, and many other characteristics of undeveloped countries. In response, the authors recommended a decentralized approach to development. Specifically, they recommended:

1. Decentralization of the executive functions and empowerment of local councils and provinces requires a pool of qualified bureaucrats, who need to be trained through consistent capacity building programs;
2. It is likely that decentralization will be resisted at the central level. The government cadres will lose their power and the possibility to benefit from corrupted practices. To minimize this resistance, transformational leadership would enable the existing cadres to lead the change, share vision, foster a new culture, and develop structures and systems to gradually build local capacities; and
3. Furthermore, a consultative and participative approach would facilitate decentralization by engaging the communities at local levels, making sure that their priorities are fed into the change process. This engagement is likely to neutralize the Taliban's resistance to any form of democracy. (p. 137)

The authors also concluded that NHRD in Afghanistan will rely heavily on the international community, particularly the United Nations Development Program (UNDP): "Its stated objectives encompass transformation and change toward poverty reduction, leadership development, transparency in governmental institutions, communities' integration and in general betterment of social disparities to provide access to justice, gender equity, and the rule of law" (p. 135). The authors concluded that NHRD is the most effective approach for Afghanistan to develop its human capacities and to create the mechanisms and structures for successfully building the economic, political, cultural, and social environment desirable for the country.

SUBSETS OF NHRD

As the concepts, principles, and applications of NHRD have evolved, we have seen these evolve into subsets of NHRD. These subsets have received less attention in the literature currently, but it is expected that these subsets will expand rapidly in the future. These foci include community development, intra-country regional development, inter-country regional development, and

societal development. In many ways, these subsets copy what has happened in the evolution of NHRD, but with a focus on a different subset from the borders of a nation. Unfortunately, space limitations preclude expansion of these foci with their subsequent examples. Reference to Kim and McLean (2012) will provide examples of each of these foci.

CHARACTERISTICS OF NHRD

Unfortunately, all of the research I have been able to identify has been descriptive in nature. It focuses on the policies themselves and the outcomes of NHRD. Very little of the research has focused on the processes used to create and implement NHRD. Important questions that have not been answered include: What processes were used to create NHRD? Who have the actors been to influence its establishment? How have the policies been implemented? What have been the difficulties encountered in having such policies approved and implemented? These need to become the focus of research moving forward.

The one exception has been at the community development level. Yamnill and McLean (2010) detail the process used under the umbrella of action research and describe the participants in the collaborative undertaking that resulted in the economic development of the community.

Given these deficits, the response to calls for a theory of NHRD will continue to be difficult or even impossible. The closest we have been able to come has been a list of descriptors for what has been put in place. And this becomes difficult because, as has been stated frequently, every country is different and presents a different context. Good NHRD is going to be established based on the context that NHRD is being designed to address.

As a result, this section of this chapter focuses on descriptive terms that appear to be common across the models of NHRD that have appeared in the literature.

Table 37.1 describes some of the major characteristics of NHRD as I scan the research on country-based case studies. Given the contextual influence of NHRD, many of the components in Table 37.1 may not apply and may not be complete in a specific country.

Of course, much of what is outlined in Table 37.1, especially around the beneficiaries and the desired outcomes, is idealistic. However, consistent with HRD strategic planning approaches, we often set a vision that stretches us beyond what may seem to be most realistic. When I consider such a vision, I think of Robert Browning's *Andrea del Sarto*: "A man's reach should exceed his grasp or what's a heaven for?" The message is that we accomplish more by targeting high than we do by setting low goals that are easily reached.

Table 37.1 Major Characteristics of NHRD at the Country Level

| <i>Component</i> | <i>Description</i> |
|------------------|---|
| Primary Actor | Government |
| Secondary Actors | Non-Government Organizations |
| | Private Sector |
| | Government Agencies |
| | Educational Institutions |
| | Private Citizens |
| | Health Care Institutions |
| | Consultants (Economists, HRD Professionals, Psychologists) |
| Primary Tasks | Policy Development Implementation Evaluation |
| Primary Foci | Education Training Health Care Collaboration Among Government Agencies |

(Continued)

Table 37.1 (Continued)

| <i>Component</i> | <i>Description</i> |
|------------------|--|
| Desired Outcomes | <p>Increased Productivity</p> <p>Lower Unemployment and Underemployment</p> <p>Labor Supply Equals Labor Demand Across All Employment Categories</p> <p>Greater Job Satisfaction</p> <p>Improved Life Longevity</p> <p>Healthier Life Styles</p> <p>Improved Health</p> <p>Improved Safety and Security</p> <p>Less Crime</p> <p>Higher Student Achievement</p> <p>Training/Retraining and Education/Re-Education Available to All</p> <p>Greater Efficiency Among Government Agencies</p> <p>Reduced Corruption</p> <p>Elimination of Child Labor</p> <p>Reduced Involvement in Illegal/Undesirable Employment (Human Trafficking, Prostitution, Drug Dealing, Crime)</p> <p>Greater Mobility of Legal Immigration to Meet Labor and Social Needs</p> <p>Greater Use of Green Technologies</p> <p>Better Preparation for Emergency Situations (Earthquakes, Tsunamis, Volcanoes, Cyclones, Hurricanes, Typhoons, Fires, Terrorism, etc.)</p> <p>Birth Rate Compatible with Labor Needs</p> <p>Government Agencies at All Levels (Central, Regional, Local) Fulfill Their Responsibilities</p> <p>Functional Illiteracy Eliminated</p> |

Politicians Cooperate in Healthy Disagreement for the Good of the Country

Discrimination No Longer Exists (Whether Based on Gender, Age, Ethnicity, Religion, Handicapping Condition, or Any Other Factor)

Work/Life Balance Encouraged, with Family-Friendly Policies

Poverty Eliminated

| | |
|--------------------------|--|
| Beneficiaries | <p>Preschool Children</p> <p>Elementary, Secondary, and Tertiary Students</p> <p>Vocational, Technical, and Professional Education Students</p> <p>Unemployed and Underemployed</p> <p>Workers and Managers</p> <p>Ethnic Minorities</p> <p>Women</p> <p>Handicapped</p> <p>Expectant Mothers and Newborns</p> <p>Aged</p> <p>Immigrants</p> <p>Ultimately, the Entire Population</p> <p>Ultimately, All of Humanity</p> |
| Degree of Centralization | Range from complete centralization to complete decentralization, with combinations in between |
| Market Influence | All economies have some degree of control over their markets; within NHRD, some economies are heavily controlled, while others experience less control, mostly through regulations |
| Degree of Planning | Range from formal five-year plans to less formal, periodic planning |
| Degree of Citizen Input | Range from none to extensive |

MEASURING THE OUTCOMES OF NHRD

But does NHRD really work? As new as the concept is, little empirical data exist to answer this question. Intuitively, when you consider that the countries using NHRD approaches tend to be among the most successful economically (China, Brazil, India, South Korea, Singapore, the UK, and the U.S.), it is easy to assume that there is a causal relationship.

However, in this data-driven world, intuition is not sufficient. Measuring the effects of NHRD initiatives is critical. Historically, country well-being has been measured in strictly economic terms—gross domestic product (GDP) and gross national product (GNP). More recently, in order to get a broader gauge of the well-being of a country, the United Nations began to calculate a Human Development Index (HDI). HDI is a compilation of life expectancy, educational attainment, and income (Klugman, Rodriguez, & Choi, 2011). The top five countries in 2011, in order, were Norway, Australia, The Netherlands, the United States, and New Zealand. Each of these countries, to some degree, has an NHRD approach. Nevertheless, it is still a limited measure, given the complexity of the factors involved in NHRD.

Two major approaches attempting to develop a broader perspective, and both emerging from an HRD perspective, have been undertaken. Verkhohlyad and McLean (2011) took a human capital perspective, using “measures of government effectiveness, voice and accountability, control of corruption, rule of law, regulatory quality, and political stability [that] are significantly higher for GDP top-ten countries” (p. 322). Seoul National University in South Korea has also undertaken a major research project measuring the Global HRD Index (Oh, Ryu, & Choi, 2013); this is an in-process project that is anticipated to result in a book to be published in 2013. This GHRDI uses five major measures with several components in each measure.

Both of these models are very encouraging for allowing researchers to measure the progress that countries are making based on their NHRD initiatives. There will be a need in the future to undertake causal research between these models and aspects of NHRD initiatives.

CHALLENGES/BARRIERS WITH NHRD

In spite of the anticipated benefits from NHRD, as outlined in Table 37.1, there are also challenges or barriers facing NHRD initiatives. Some of these include:

- How do we deal with the inconsistency with traditional understanding of HRD as limited to business contexts?

- Why do we not yet have a unitary theory for NHRD? Unfortunately, many in our field are still uncomfortable with ambiguity (McLean, 2000).
- Is it OK to access foundational theories beyond Swanson's three-legged stool of economics, psychology, and systems? I have argued earlier (McLean, 1998, 1999) that the Swanson model is simplistic, that there are theories important to HRD that come from disciplines beyond these three, such as sociology, education, and anthropology.
- How do we do it? As suggested earlier, we really don't know much about the processes that work and those that do not work.
- Does the interdisciplinary perspective of NHRD inhibit the development of HRD as a discipline?
- Because we do not yet have the causal empirical data to support the impact of NHRD initiatives, is this all just too idealistic, humanistic, soft, and touchy-feely to be taken seriously?
- Given that the labor market is imperfect and unpredictable, how can we know what skills and competencies will be needed in the future?
- If everyone tries to do the same thing, for example, meet the IT and customer service labor market demands, ultimately, won't there be a glut in the labor market?
- What is the impact on NHRD plans when mobility of labor increases, as it is in today's world?
- Is NHRD simply another term for communism, socialism, or centralized planning? In fact, in NHRD initiatives in countries that choose to use a strong centralized planning approach, it may be. However, as described in this chapter, there are many other approaches to NHRD that do not fit into this model. In fact, at the other end of the continuum, in the U.S., with its highly decentralized state-based model, we find NHRD that is the antithesis of these adjectives.
- How does NHRD deal with the unexpected (wars, economic crises, pandemics, terrorist attacks)? All planning models must take into account unexpected occurrences that influence the outcome of the planning.
- Doesn't citizenry freedom of choice impede governmental action toward NHRD, for example, limitation on the number of higher education institutions, number of people earning degrees for which there is no demand, occupational choice, etc.? This is a dilemma faced by most NHRD approaches.

- How do we know that NHRD actually works? This is a major challenge faced by NHRD.
- If NHRD requires a collaborative approach, how do we convince politicians, many of whom see their positions as powerful, to sacrifice power for the good of the country?

I'm sure there are challenges that I have not addressed. This, however, is not unique to NHRD. We have struggled since the birth of HRD with similar difficulties, even when seen in the narrow context of for-profit organizations. But competent HRD professionals are prepared to deal with such challenges. The facilitative role of HRD professionals, especially as process consultants, is designed to help us confront and manage these challenges. Optimism will be necessary to implement NHRD.

THE FUTURE OF NHRD

Throughout this chapter, I have made reference to the difficulty of predicting the future in the application of NHRD. This is also true of looking at the future of NHRD. Nevertheless, some of the following predictions are, I think, pretty safe, while others stretch current reality significantly.

Practice

The first decade of the 21st century has been marked by many countries exploring and undertaking the implementation of NHRD. At the beginning of the century, the number of countries using NHRD could be counted on one hand. Today, however, we need more even than our hands and feet to count the number of countries experimenting with various approaches to NHRD. I expect this trend to continue, with more and more countries implementing some form of NHRD. I also expect that new approaches to NHRD will emerge. It's hard to know what these approaches might look like, but it will be exciting for the field to see these new models appearing.

I am also confident that we will see the principles of NHRD expand into those aspects that go beyond country borders. While we have seen few such models positioned within NHRD, I expect that such positioning will become more explicit as we look at both intra-country HRD and inter-country HRD. I also expect continued growth in the explicit application of HRD in community building and in societal development. As these approaches become more widely reported, and as more people become familiar with these approaches, it is almost inevitable that such applications will grow. There may also be other contexts in which NHRD principles may be applicable that haven't even been identified and reported yet.

Research

As an immature, emerging field, there is an urgent need for research. Two of the major areas in which research is needed have been identified earlier in this chapter. We need to know much more about the processes used in developing and implementing NHRD, along with an evaluation of those approaches. Second, we need to know more about how to determine the effectiveness of NHRD initiatives. We have developed a couple of approaches, but need continued focus on measurement. More critically, we need causal research on the relationship between the variables in those measurement instruments and the important outcomes of NHRD within countries. We also need to understand the factors in a country culture that impact NHRD effectiveness and efficiency.

Research that has been done must be enhanced and developed further. Case studies that have been completed and reported in the literature have been rather superficial. So more in-depth research is needed. Further, there are many countries for which there is a dearth of information related to NHRD efforts—perhaps because they have not been undertaken explicitly within that context, or perhaps because they simply have not been explored. It is not even clear how many countries there are in the world. While the UN recognizes 193, we know that there are other countries (such as Vatican City, Kosovo, and Taiwan, if recognized as separate countries). The point is that there are many countries for which we have no information in the literature. As we explore more countries, we might gain a better understanding of what NHRD initiatives can be and how well they work.

Theory

As I have argued in this chapter, the uniqueness of NHRD approaches from country to country makes theory development difficult. But we are making progress, as we acquire more information about more countries and their NHRD initiatives. The work by Alagaraja and Wang (2012a, 2012b) is a beginning step. However, much more information is needed before theory development can move forward in a substantive way. When the research identified above has been completed, additional models will surface and theory development will occur in a more significant way.

CONCLUSION

As is clear from what has been written in this chapter, NHRD is emerging as an important and significant application of HRD. NHRD is still new. There is so much that we still do not know. But the potential for the improvement

of the well-being of citizens in countries using NHRD is such that we have a moral obligation to continue to research the concept. While it may appear to be idealistic and be based on an optimistic view of humanity, it is a journey that we must take. Not only does it have the potential of benefitting individual countries but, ultimately, it has the potential of improving the well-being of all of humanity!

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Certification of HRD Professionals

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The practice of human resource development (HRD) has grown during the last two decades. As with every established profession, “after practice is established, the need arises to formalize the knowledge gained in practice into some logical structure. Such activity helps legitimize the profession and increases the reliability of practice” (Jacobs, 1999, p. 66). *Profession* refers to the practice of the field, while the term *discipline* refers to the field of study. The field of HRD is not yet an established profession. How it can become an established profession is an important issue to improve HRD’s professional status (Kahnweiler, 2009). The relatively young field of HRD faces several challenges to its future. Not many people outside of HRD understand how it is different from related fields such as organization development, human resource management, training and development, and human performance management. The field is loosely arrayed, and there is little agreement in terms of what HRD is, what the core skills and knowledge necessary to practice are, and how the competence is to be measured.

Using Freidson’s (2001) characteristics of a profession, HRD scores very low on the key elements: a defined body of knowledge, entry requirements, including completion of standardized training and education, accreditation of the educational programs, existence of certification and licensure, a code of ethics, and public protection by a system to prevent individuals without proper credentials from practicing. It has been suggested that, in order to gain professional recognition, HRD should develop a professional certification and continued professional development to improve quality of practice based on a set of core competencies (Bing, Kehrhahn, & Short, 2003). The primary purpose of this chapter is to examine whether the creation of HRD certification will help move the field closer to an established profession and the challenges associated with it.

Professions rely on personnel certification to establish minimum competencies required for acceptable job performance. Certification assures various stakeholders that the certified person possesses the required knowledge, skills,

and abilities to practice. At present, all recognized professions from engineering to finance to nursing to human resource management have their own certification. Traditionally, employers and educators have relied on academic degrees and diplomas as proxies to show competence for the job. However, there is a growing demand from employers for credentials that show competencies aligned with industry requirements and skill standards. During the past few years, the number of certifications offered by organizations such as the Project Management Institute (PMI), Human Resource Certification Institute (HRCI), and International Society for Performance Improvement (ISPI) has grown exponentially. For instance, the number of human resource (HR) managers holding HRCI certifications has grown from around 15,000 in 1995 to 108,000 in 2011 (HRCI, 2011). At the same time, defining the body of knowledge for the HR professionals and developing objective measurement techniques took more than twenty-five years (HRCI, 2011).

This chapter examines some of the major issues that relate to the creation of an HRD certification. These issues are discussed under three categories: (1) philosophical issues—*Why does HRD need a certification?* (2) technical issues—*What should AHRD do to create a quality certification?* and (3) business/financial issues—*How should AHRD develop a market-valued certification?* The chapter begins by examining the different credentialing terms and presenting a review of the research relating to benefits and criticisms of personnel certification.

CREDENTIALING TERMINOLOGY AND CERTIFICATION MODEL

Credentialing is an umbrella term that includes licensing, registration, accreditation, qualifications, certification, and certificates. Accreditation is used with reference to an organization, not an individual. *Accreditation* denotes that an organization, institute, or agency complies with a given standard. *Licensure* is a mandatory requirement to practice and is granted by a government agency after verifying that the individual has met the eligibility requirements and passed the examination. *Certification* is a process through which a nongovernmental entity grants a time-limited recognition to an individual after verifying that he or she has met established criteria for proficiency or competency, usually through an eligibility application and assessment (ASTM, 2009).

The focus of certification is an assessment based on psychometric standards and demonstration of continued competence through recertification requirements. In many European countries the word “qualifications” is used as a synonym for certification. There is considerable confusion relating to the terms “certificate” and “certification.” A certification program evaluates whether a person possesses the required competencies to practice a profession,

while a certificate program is an educational/training program that is awarded after a course of study has been completed (ASTM, 2009).

Competency-Based Certification Model

There are several essential components of a quality certification. These elements are the pillars that support a quality certification and must be integrated in a systemic manner to have value for employers and practitioners. The core elements of a competency-based certification are described below.

Competencies and Skill Standards The first step in developing a certification involves identifying the competencies required to practice. The competencies include knowledge, skills, abilities, and behaviors to perform and include both general competencies, like personal skills, leadership, problem solving abilities, and technical competencies that are more specific to a particular job function. The process to identify the competencies should be empirically based (job task analysis) and should involve both the industry and subject matter experts. The identified competencies should be codified into a skill standard that specifies the knowledge, skills, and performance levels and is validated to align with current practice in the field.

Prerequisites (Prior Learning and Experience) Prerequisites or eligibility requirements detail the prior learning and experience that are required for the certification. The knowledge and skills can be acquired through formal or informal learning processes. It is important that the prerequisites be based on the competencies and skill standards, and not derived arbitrarily.

Assessment Assessment is the process of measuring the required competence of an individual and confirming that she or he has the necessary knowledge, skills, and abilities to perform job functions.

Competency-Based Certification Certification is a documented indicator of the competence of an individual. The awarding of a certification signals that an individual possesses the required competency as established by a standard.

Recertification Recertification ensures that the certified person stays relevant as skill set requirements change. Recertification is generally accomplished by continuing education credits, examination, or other learning activities.

Code of Ethics The code of ethics refers to the principles, values, and rules of behavior that guide professional practice. Failure to comply with the code of ethics results in withdrawal of the certification.

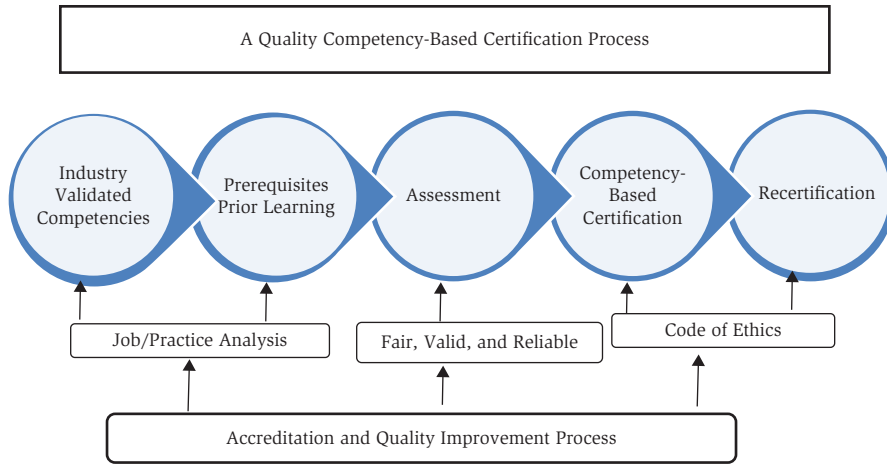


Figure 38.1 Core Elements of Competency-Based Certification

Accreditation/Third-Party Validation A quality certification requires an independent third-party evaluation/accreditation to demonstrate that the certifying agency has developed the certification program based on national or international standard.

Figure 38.1 outlines core elements of a competency-based certification system.

BENEFITS AND LIMITATIONS OF PERSONNEL CERTIFICATION

Personnel certification helps to promote personnel competencies (Wiley, 1995). In their study, Bratton and Hildebrand (1980) found that 44 percent of the associations studied showed an increase among their members in the attainment of professional competencies as a result of associations' certification efforts (Wiley, 1995). The American Board of Nursing Specialties (2005) reported that 58 percent of nurse managers reported seeing a positive performance difference in certified nurses versus their non-certified colleagues (Eisemon & Cline, 2006). Previous studies have shown that certification offers many advantages to individuals, such as career advancement (Should trainers be certified, 1982), better job performance (Parry, 1985), predisposition to lifelong learning (Kok, 1983), professional attitude (Parry, 1985), self-confidence (Haigley, 1984), and practitioner credibility (as cited in Wiley, 1995). Research studies have found that certified nurses display greater confidence (51 percent), decision making (35 percent), and detect complications more readily (28 percent) (Ballard, 2003; Cary, 2001; Whittaker, Smolenski, & Carson, 2000, as cited in Eisemon & Cline, 2006). Professional certification also has monetary

and commercial implications on account of the salary premiums that certified professionals command. For instance, the average full-time annual income of a certified nurse was found to be almost \$10,000 higher than that of a non-certified nurse (Robinson & Mee, 2004). Adams, Brauer, Karas, Bresnahan, and Murphy (2004) reported that certified safety professionals earn 15 to 30 percent more than their non-certified counterparts. In the IT industry, the market value that certain certifications add can be as high as 30 to 40 percent (Microsoft, 2007).

Employers' reliance on certification could also result in lesser in-house training expenditure, as they can either hire employees who hold the desired certification or require an existing employee to earn the certification to meet performance needs (Carter, 2005). Recertification requirements help to ensure that all the certified professionals continue to update their competencies and stay relevant, thus contributing to their lifelong learning process.

Certification has its share of limitations and drawbacks. It is important to examine them in order to make an informed decision relating to the creation of a new certification.

There is criticism that professional associations have created certifications as a means to generate additional revenues. Certification agencies also charge a maintenance fee to renew the certification. Certification, without doubt, is a big business. Most certification agencies offer some form of training/educational/prep courses, and some even require their training as a prerequisite to take the certification examination. Offering training and testing within the same legal entity poses a threat to impartiality and validity of the certification examination (ISO/IEC 17024:2012). According to the U.S. Department of Labor database for credentialing organizations, there are over 3,200 certification programs. However, less than 10 percent of these certifications have been accredited by any nationally recognized accrediting body. Most certification programs tend to be a training program with a test.

Licensure and certification are also seen as barriers to entry. Weeden (2002) investigated whether social and legal barriers around occupations raise the rewards of their members by restricting labor supply. The results of this study, based on data from 488 occupations, found that institutionalized closure devices, such as licensing, educational credentialing, and voluntary certifications, create restrictions on the labor supply and influence occupational earnings. Earlier research by Kleiner, Gay, and Greene (1982) also found that restrictive state licensing may operate as a barrier to mobility, causing a misallocation of labor resources and increased earnings for the licensed practitioners.

Most certification assessments tend to be a computerized or paper-and-pencil examinations. A multiple-choice examination is the default choice in the certification world. Certification bodies use standardized testing, as it is

cheaper and easier to administer. Only a few agencies use performance testing and simulations as part of their assessments.

CHALLENGES FACING THE CREATION OF HRD CERTIFICATION

The following sections in this chapter present various issues related to creating a quality HRD certification that meets an international standard.

Philosophical Issues: Does HRD Need Certification?

Some in the field are likely to argue that there is no need for HRD certification since the existing educational and training programs offered by various universities and colleges are adequate. The report by the World Bank Human Development Network, the European Union Training Foundation, and the Educational Resources Information Center Clearinghouse on Adult, Career, and Vocational Education (Fretwell, Lewis, & Deij, 2001) states that the worlds of education and employment have different priorities, motivations, and purposes. The report further states that the employers are interested in outcomes and knowing how well a person will perform on the job. On the other hand, educational professionals are interested in the learning process and how the learning is assessed. While education provides general skills, there is growing recognition that certification provides profession-specific skills. Previous research has pointed to the inadequacies of formal education to provide the required skills sought by employers (Bishop, 1993). Each year, millions of certifications are awarded by professional societies/trade associations, corporate universities, community colleges, and universities. The popularity of these programs has grown because of the numerous advantages they offer in comparison to a university degree. The certification programs are of shorter duration, focus on specific professional competencies, and are not subject to the formal procedures and requirements of a university degree program. Another advantage of a certification program is that it is often practice-based, while a university degree is largely theory-driven.

The worlds of education and employment tend to exist independently, with very few linkages. In order to make training relevant to the real world, the training standards have to be aligned with occupational standards (Fretwell, Lewis, & Deij, 2001). At the same time, the educational institutions should not focus only on outcomes and disregard the learning process. Certification plays an important role in linking the worlds of education and employment by conducting independent assessments of a person's competencies to practice.

The first challenge surrounding the creation of an HRD certification program relates to defining the scope. The field of HRD encompasses areas ranging

from learning to change to organizations to culture. The task of delineating the scope of HRD certification is further complicated by different interpretations among scholars and practitioners in terms of what constitutes HRD. There is no universally accepted meaning of HRD (Stewart & McGoldrick, 1996). While some scholars in the field clearly define HRD (Swanson, 2001), others have refused to define it (Lee, 2001). There are considerable differences among scholars about whether HRD should work toward unifying the practices and identifying a common body of knowledge and practices or stay away from any standardization efforts. “We cannot even agree on what a strength or a weakness of our field might be, or on a broad direction” (Kahnweiler, 2009, p. 220). Without clearly defining what constitutes HRD, it would be impossible to describe the competencies of a minimally competent HRD professional.

Increasingly, professional certification is being adopted as part of the national HRD (NHRD) strategy on account of the impact of skill development on human capital. The Consultative Committee for Professional Management Organizations (CCPMO) found in their economic impact assessment study that estimated lifetime economic benefit associated with holding professional certification/qualifications and membership in professional organizations is approximately £152,000 in monetary terms (London Economics, 2008). Eight leading professional bodies in business disciplines in the UK with over half a million individual members were represented by CCPMO. Further, the broader economic impact in terms of additional tax revenue contributed by an individual with professional qualifications and membership in a professional institute was found to be about £53,000.

Many European countries, such as the United Kingdom, Germany, The Netherlands, Switzerland, and Sweden, have a well-developed system of personnel credentialing and certification. The UK has formulated a national “skills strategy” for up-skilling the workforce in response to growing evidence of the importance of skills to national productivity and prosperity (London Economics, 2008), and personnel certification is one of the strategies that is actively pursued to meet this objective. The World Bank Human Development Network, the European Union (EU) European Training Foundation, and the Educational Resources Information Center Clearinghouse on Adult, Career, and Vocational Education have cited several initiatives by different countries for developing skills standards and certification (Fretwell, Lewis, & Deij, 2001). Some of these initiatives are listed below. In Japan, the Japanese Ministry of Labor encourages training and certification at three levels. Chile has started a three-year project to develop a Competency Certification and Training Quality System. This project will define a methodology for development of competencies (skill standards) and provide a framework for launching a National Competency Certification System. Recognizing the importance of skills standards and certification in achieving its goal of

being an advanced industrial economy by 2020, Malaysia has established the National Vocations Training Council, entrusted with the task of developing a system of national occupational skill standards and certification.

A related issue is whether there should be one HRD certification or multiple certifications for each specialty area. As the practice of HRD varies across countries/cultures, it raises an important question regarding the relevance of certifications created from a U.S. perspective. If a global certification is created, would it reflect the regional/geographical differences in HRD practice around the globe? These challenges are not unique to HRD. Certifications created by other professions also have begun to address some of these challenges. For instance, the Human Resource Certification Institute (HRCI) has created certifications that focus on HR-related laws and practices specific to the state of California (PHR-CA/SPHR-CA). The CFA institute offers a global designation based on practices around the world.

Technical Issues: What Should AHRD Do to Create Quality Certification?

The fundamental technical challenge revolves around identifying the body of knowledge that would be aligned to the scope of the certification. In other words, a relevant standard that identifies competencies that an HRD practitioner should possess needs to be developed. ISO/IEC 17024 describes the process that must be adopted for conducting a valid job/practice analysis. This standard also details requirements relating to regular updates, periodic reviews, and maintenance of the standard.

The other technical challenge would involve developing appropriate evaluation and assessment tools to measure competence. Most of us in AHRD would agree that a multiple-choice test would not be appropriate for HRD certification. Certification would mean developing alternative assessment techniques based on performance evaluations, portfolios, live case studies, simulations, and experience in the field. Yet, developing and administering such performance-based examinations is expensive and time-consuming.

Certification is based on the assumption that certification holders continue to maintain their proficiencies through recertification. Again, what evaluation techniques should be used for recertification? Should it be continuing education units (CEUs), portfolios, examination, or just what?

Most of the certifications that currently exist have been created from a positivist perspective, with emphasis on *one right way* to do things. They operate under very strict rules, without much freedom for creativity or innovation. The knowledge and skills are assessed from the perspective of exploitation, rather than exploration. The concept of equifinality (Katz & Kahn, 1978) states that there are many different ways that an open system can behave and

still achieve the same outcomes. Wheatley and Kellner-Rogers (1996) remind us that “life is attracted to order. But how it gets there violates all our rules of good process” (p. 17). HRD, with its multi-worldview perspective, should develop a new model of certification that incorporates other epistemological and ontological conceptualizations. Developing a new approach to certification is both a challenge and an opportunity.

Business/Financial Issues: How Should AHRD Develop a Market-Valued Certification?

Like every business venture, the creation of a certification program requires strategic planning and execution. The business/financial aspect of certification requires careful consideration. Who would be the target audience? What would be the branding strategy? What are the existing competing certifications? What should be the unique selling proposition? These questions should form part of the business case for developing HRD certification. The various options related to management and administration of the HRD program must be evaluated. Would the program be managed in-house with qualified staff, or would it be contracted to an existing certification body/association management firm?

PRESENTING A CASE FOR CREATING HRD CERTIFICATION

One of the compelling reasons to create a HRD certification is to move the field closer to becoming an established profession. According to Kahnweiler (2009), “If there was a process that certified HRD practitioners, this could provide some assurance to those who employ or engage HRD professionals as consultants that individuals possess at least rudimentary knowledge and skills to practice HRD effectively” (p. 226). Swanson and Holton (2009) unequivocally state the need for certification when they say, “The HRD profession is challenged to establish standards for providers and consumers in this realm in order to sort out the HRD charlatans. Certification is one option” (p. 457). While certification does not guarantee that a certified individual will not make mistakes or act unethically, it does provide for certain safeguards and remedial measures. The certifying agency is required to have a process to address complaints against the certified individuals. ISO/IEC 17024 also requires a certification body to have an active surveillance process to monitor the performance of certified individuals.

Hiring managers use different criteria, ranging from educational qualification to certification to referrals, to recruit professionals in the field. In the absence of an independent third-party certification, people also routinely rely on listings and ratings in magazines and websites for recruitment. Creating an HRD certification

program would aid employers in their hiring decisions, as they could rely on the evaluations of an independent third party. Absence of certification in some ways creates lack of accountability and professional liability for the quality of practitioners' work. The primary reason to create certification is to protect the public. As per ISO/IEC 17024, the certifying agency is required to have a process to take certification away from a person if he or she is found to be incompetent or for ethical misdemeanors/violations of the code of conduct.

Defining the competencies of an HRD practitioner would also facilitate better training and academic preparation. At present, the HRD landscape is filled with a variety of programs with substantially different curricula. While there are many HRD programs that meet high academic standards, there also are some questionable ones (Swanson & Holton, 2009). Identifying a common body of knowledge would serve as a framework for these academic programs to prepare common curricula and training programs.

Although there are no HRD certifications at this time, there are a few related certifications, such as the Certified Professional Technologist (CPT) offered by the International Society for Performance Improvement (ISPI) and the Certified Professional in Learning and Performance (CPLP) offered by ASTD. While these certifications are similar in scope, their focus is quite different. If AHRD does not move ahead to create an HRD certification, then it is very likely that some other professional association or an enterprising individual will create an HRD certification program.

HRD certification would help to globalize the profession based on standard practices. While some HRD practices are country- or culture-specific, the core practices are somewhat universal. Creating an HRD certification program based on a global job/practice analysis would help to identify practices that are performed by all the professionals. Identifying common practices would not only facilitate the rapid adoption of HRD around the world, but it would also help to bridge the gap between HRD research and practice. The processes used to create certification, such as defining the body of knowledge, developing standards, delineating eligibility requirements, enforcing codes of ethics, and maintaining continued competence through recertification, would help to raise the quality of practice and move the field closer to becoming an established profession.

CONCLUSION

The challenge for the HRD community is not just to create a new certification program. Rather, it is to define how professional competency is evaluated to enhance the practice of HRD. It is not about adding another certification in an overly crowded marketplace; it is about creating a new assessment methodology that takes into account different epistemological conceptualizations, thereby

reshaping the certification world. It is not about creating a new revenue stream for AHRD, but about enhancing the value proposition for the users of HRD practice. The thought is not to restrict entry to practice but to oversee the ethical conduct of certificate holders. The certification should be created in a manner that does not curtail creativity or hinder the diverse approaches to problem solving; rather, it should be a driver to foster innovation and to nourish diversity. Finally, the idea is not to promote a theory for HRD, but to facilitate the use of theory as the foundation for professional practice in the field.

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Standards and Accreditation of HRD Academic Programs

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The process of accreditation and the standards that often underlie accreditation of academic programs is often seen by administrators and faculty alike as their worst nightmare! The mere mention of an accreditation site visit conjures up feelings of anxiety in the best of us.

Accreditation is a process of external quality review created and used by higher education to ensure quality assurance and quality improvement in colleges, universities, and programs. In the United States, accreditation is carried out by private, non-profit organizations designed for its specific purpose. U.S. accreditors review colleges and universities in fifty states and ninety-five other countries in a range of professions, including law, medicine, business, nursing, pharmacy, arts, and journalism (Eaton, 2005).

TYPES OF ACCREDITING ORGANIZATIONS

There are several types of accreditation utilized in universities, both in the United States and in most of the developed world. In the U.S., however, the structure is decentralized and very complex (Eaton, 2005). Accreditation may be requested at multiple levels to include course level, program level, degree level, or institutional level. The steps to accomplish accreditation include at least the following (Kells, 1992, p. 32):

1. The accrediting body sets standards, produces guidelines, and often provides training to peers in the program review process.
2. The program describes its goals and objectives, its faculty, facilities, and courses of study, and evaluates its strengths and weaknesses relative to its goals.

3. An evaluation team of peers identified by the accrediting body visits the program, using the guidelines and standards to examine faculty, facilities, students, and administrators.
4. The team provides oral commentary, followed by a written report to the accrediting body and to the institution housing the program under review.
5. The institution and its faculty respond to the report, providing supplemental evidence when questions remain, and indicating if and where they take exception with the findings of the report.
6. The accrediting body decides to grant, reaffirm, or deny accreditation to the program based on the self-study, the visiting team's findings, and the institutional reply. Frequently, accreditation is reaffirmed, with the accrediting body making specific recommendations or suggestions for improvement during the forthcoming accrediting period.

Accreditation of institutions focuses on infrastructure of the institutions, usually including physical space for faculty offices, research, and administrative and classroom space. Also included are those items usually considered in indirect cost calculations such as technology, library resources, budget, administrative support through the chain of command to the president, and faculty salaries. External funding is also a part of this process.

Accreditation is about control; it is neither neutral nor benign, it is not apolitical. It is about relinquishing control to an external agency of the subject area that usually links into professional employment, especially where employment requires certification that is separate from academic qualification (Harvey, 2004).

Accreditation and standards have been under discussion by the Academy of Human Resource Development (AHRD) since the early 2000s. A town hall forum was held at the AHRD Conference of the Americas in 2005. Subsequently, an Academic Standards and Accreditation Committee was formed by the Academy to further study this issue. After much deliberation, the committee chose to create a set of standards for academic graduate programs.

This chapter will discuss in detail the reasoning behind not choosing accreditation and why standards of excellence were created for graduate programs. Further, the standards will be discussed in detail and interpretations will be offered for each standard and how it should be measured by individual programs.

Standards are an important aspect of any accreditation program. But what is the difference between accreditation and standards? Can you have one without the other? We will begin the discussion with accreditation and then go to standards.

ACCREDITATION

Accreditation is the establishment or restatement of the status, legitimacy, or appropriateness of an institution, program, or module of study (Harvey, 2004). Accreditation may be the most fully developed institutionalization of the idea of accountability in higher education (van Vught, 1994, p. 42). Accreditation at the institutional level is essentially a license to practice. It is based on an evaluation of whether the institution or program really just meets the minimum criteria or standards. At the institutional level, this could mean staff qualifications, research productivity, student learning, resources such as library holdings, and so forth. It could also include the potential of the program/university to produce graduates who are work-ready and have professional competence, as determined by the accrediting agency. Although accreditation is a volunteer process by non-governmental agencies, federal aid and other federal granting sources have linked accreditation to federal aid (Harvey, 2004).

Accreditation has been described as a public statement that a certain level of quality has been achieved (Campbell, Kanaan, Kehm, Mockiene, Westerheijden, & Williams, 2000; Kristoffersen, Sursock, & Westerheijden, 1998). Although in most cases the accreditation is largely based on meeting some minimum criteria, these criteria or standards should be predefined and based on faculty input as to quality (El-Khawas, 1998; Sursock, 2000). “Make no mistake, accreditation is a binary state; the institution is either accredited or it is not” (Haakstad, 2001, p. 77).

The U.S. Teacher Education Accreditation Council (TEAC) gives new teacher preparation programs a pre-accreditation status until the academics in the program can make the case that the “professional education program has succeeded in preparing competent, caring, and qualified professional educators” (Harvey & Mason, 1995; Westerheijden, 2001). This means accreditation is not given to new programs but only to those programs that have graduated students who have become successful and have proven to be “competent, caring, and qualified professional educators.”

Institutional accreditation then focuses on the overall infrastructure of the university or school, using much the same factors the Department of Education uses in determining the indirect cost rate for federal grants. Items such as physical space, library holdings, operating expense budgets, cost of utilities, faculty and staff salaries, faculty governance, and administrative support are considered in infrastructure.

It should again be noted that the primary purpose of accreditation is control. Although it does involve compliance to agreed on standards, its main purpose is to control the field and the programs being offered. Sometimes, despite having no regulatory power, the professional body is so

well established in the profession that it is difficult to find a job without the status, such as the Society of Professional Engineers designation.

Voluntary accreditation was really an attempt by American institutions to seek to maintain quality and integrity in education, much the same way peer review serves to maintain quality and integrity in scholarly inquiry. However, when institutional eligibility for federal funds was attached to accreditation, the voluntary nature of accreditation shifted to involuntary. Today regional accreditation remains a nongovernmental pursuit, but tension remains between the federal government and higher education, particularly following the failed introduction of *State Postsecondary Review Entities* in 1965. Colleges and universities and their constituent associations have joined to form several voluntary agencies to coordinate regional and programmatic accreditation. Since 1995, the most recent of these, the Council for Higher Education Accreditation (CHEA), has sought to restore the voluntary nature of the accreditation process to its original purpose of promoting quality in educational delivery (Lubinescu, Ratcliff, & Gaffney, 2001). In 1999, the U.S. Department of Education proposed a change to the 1998 Higher Education Act that directly affected all accrediting agencies. Most notable, agencies are expected to review distance education programs using the same standards they use for evaluating other academic programs (Healy, 1999).

Accreditations and the standards that undergird them are now also expanding across the borders of the United States. No longer are U.S. universities only being compared against each other, accreditation is now becoming a global phenomenon. Unlike in years past when U.S.-based institutions only benchmarked themselves against other U.S. universities, and European universities only benchmarked themselves against other European universities, the world is now truly global. The Association to Advance Collegiate Schools of Business (AACSB) recently committed to follow the U.S. Department of Education Commission on the Future of Higher Education's report, which stated: "A framework that aligns and expands existing accreditation standards should be established (1) to allow comparisons among institutions regarding learning outcomes and other performance measures, (2) to encourage innovation and continuous improvement, and (3) to require institutions and programs to move toward world-class quality relative to specific missions and report measurable progress in relationship to their national and international peers" (U.S. Department of Education, 2006, p. 20). AACSB-accredited business schools are committed to being responsive to the global standards (Romero, 2008).

There are four types of accrediting organizations (Eaton, 2006):

- *Regional accreditors*—accredit public and private, mainly nonprofit and degree-granting, two- and four-year institutions.

- *Faith-based accreditors*—accredit religiously affiliated and doctrinally based institutions, mainly nonprofit and degree-granting.
- *Private career accreditors*—accredit mainly for-profit, career-based, single purpose institutions, both degree and non-degree.
- *Programmatic accreditors*—accredit specific programs, professions, and freestanding schools, such as law, medicine, engineering, and health professions.

ACCREDITATION AND AHRD

It is important to remember that accreditation of institutions and programs takes place on a cycle that may range from every few years to as many as ten years. Accreditation is ongoing, and self-accreditation is not an option. The process begins with a self-study whereby the institution or program prepares a written summary of performance, based on the accrediting organization's standards. This is important, and we will return to the standards.

The second step is the peer review. Review is conducted primarily by faculty and administrative peers in the profession. These faculty review the self-study, visit the campus, and make judgments as to how the program, through the self-study, aligned with the standards set out by the professional organization.

As president of the Academy of Human Resource Development in 2002, Gene Roth created the Academic Standards Committee to investigate whether the Academy of Human Resource Development (AHRD) should move toward accrediting academic programs. This committee consisted of the following members of AHRD: Neal Chalofsky, George Washington University (co-chair); Wendy E.A. Ruona (co-chair); Larry M. Dooley, Texas A&M University (president-elect of AHRD); Timothy Hatcher, North Carolina State University; Ronald Jacobs, The Ohio State University; K. Peter Kuchinke, University of Illinois Urbana-Champaign; Richard Swanson, University of Minnesota; and Victoria Marsick, Teachers College, Columbia University.

In our early discussions on this committee, much time was spent determining whether accreditation was the direction for AHRD. In 2005, a break-out session at the International Conference of the Americas, held at Estes Park, Colorado, was convened to respond to the membership regarding accreditation.

About the same time, the Human Resource Development Accreditation Association was founded as a place for HRD programs nationally to receive accreditation.

HRDAA was formed because one university's school of education insisted the HRD program had to be accredited. The real issue with HRDAA was the fact that the accrediting organization was founded by a tier-two university and not a comprehensive research university. Most of the dialogue with research-intensive universities was about the lack of credibility this organization would have with administrators and those outside the profession. On what basis could an accrediting organization established by a tier-two university grant accreditation to a comprehensive research university when some universities in the field of HRD were ranked in the top five globally? In the end, the program that caused the initiation of HRDAA was the only program to choose to be accredited through HRDAA; therefore, this accrediting organization eventually died.

As the decision was pondered for AHRD to recommend accreditation for its members, the fact had to be considered that AHRD membership was an individual membership and not an institutional membership. Although AHRD has more than 540 members, many of these members have faculty roles in public, private, nonprofit, and for-profit institutions. They represent faith-based organizations, as well as private and programmatic. HRD is an applied discipline with a common knowledge base, but varying areas of contextual application. Hence, HRD programs can be in schools of education, business, psychology, criminal justice, and adult education and training programs such as the military, health care, homeland security, and the arts, to name a few. Moreover, some of the AHRD members are in departments and programs not affiliated with HRD but teach courses in HRD and therefore have chosen AHRD for their professional home. Institutions and programs are accredited and not individual faculty. How can a program be accredited with only one faculty member and where degrees are granted in programs other than human resource development?

So why accreditation? One major competitive advantage that accredited schools enjoy is quality, particularly when compared to competitors that do not have an established reputation. While worldwide demand for quality assurance is common in industry (TQM, ISO, etc.), it is quite new to universities. Historically, universities were entrusted with teaching students while providing little, if any, evidence of learning outcomes achievement. Recently, the U.S. Department of Education Commission on the Future of Higher Education was formed, in part to examine the need for increased accountability and quality in higher education (U.S. Department of Education, 2006). Similar demands have been made by agencies in other countries, such as the Quality Assurance Agency for Higher Education in the UK (Romero, 2008).

In an attempt to investigate members' opinions regarding accreditation, at the International Conference of the Americas in 2005, Tim Hatcher from

North Carolina State University and Wendy Ruona from the University of Georgia engaged in a conversation regarding accreditation for HRD academic programs. The following are some of the questions posed to the membership by the two speakers (AHRD, 2005):

Wendy Ruona's Questions

- Who should decide what is quality in an HRD academic program?
- Should accreditation standards dictate specific content areas that “quality” HRD programs cover?
- Some worry that accreditation would jeopardize the diversity within the field of which many in HRD are quite proud.
- Should it be enough that AHRD simply create standards that are “aspirational” in nature and academic programs do self-studies based on these standards? Or do we really need to establish an independent body to oversee accreditation, which includes the use of external teams as well?
- Some argue the only reason to accredit is because it would help the employability of students from accredited programs. As we suspect, the employers in HRD don’t seem to care about such things, so will this benefit really be a “value-added”?

Tim Hatcher's Questions

- Research has shown that accrediting has done little to improve the quality of graduate programs in higher education in the U.S. What makes us think we can do it any better, especially when something like 60 percent of our programs are in colleges of education, where we typically struggle for recognition?
- It’s been shown that accrediting drives up overall costs and benefits are negligible. How will we address this, especially with lean budgets in higher education?
- To what extent would accreditation better serve our clients and/or protect them from shoddy practices versus defending special interests, privilege, monopoly, or the marginalization of those who are not accredited?
- To what extent would accreditation isolate the profession from access and being seen as a cooperative profession/resource?
- To what extent would accreditation further “corporatize” the profession?

In April 2006, the Academic Standards Committee presented to the board of the Academy of Human Resource Development a draft of the “Standards

for HRD Graduate Program Excellence.” It was the recommendation of the committee that accreditation not be pursued for HRD programs, but that standards be adopted. The draft standards were piloted throughout 2006, with a goal of a finalized document being presented to the membership at the 2007 conference held in Indianapolis, Indiana. The board approved the Academic Standards of HRD Graduate Programs at its board meeting in 2008. Below are the standards as approved.

Academy of Human Resource Development Standards for HRD Graduate Program Excellence

Academic Standards Committee of the Academy of Human Resource Development

Neal Chalofsky, George Washington University (Co-Chair)

Wendy E.A. Ruona, University of Georgia (Co-Chair)

Larry M. Dooley, Texas A&M University

Timothy Hatcher, North Carolina State University

Ronald Jacobs, The Ohio State University

K. Peter Kuchinke, University of Illinois, Urbana-Champaign

Richard A. Swanson, University of Minnesota

Victoria Marsick, Teachers College, Columbia University

Graduate academic programs in Human Resource Development and related fields play a critical role in educating future HRD professionals and others and thus ensuring a sufficient number of experts to guide the increasingly complex HRD discipline in organizations and institutions around the world.

By demand from its members, the Academy of Human Resource Development has, for the past several years, engaged in a concentrated effort to identify characteristics of academic program excellence. Through involvement by the general membership, through the work of a commission appointed by the president of AHRD, and through board discussion and reflection, the Academy has developed a set of standards and recommendations aimed at graduate programs in HRD and related fields. These standards were developed based on review of outstanding programs, benchmarking of other professional fields, review of existing frameworks for program accreditation, and the ideas of leading scholars and programs administrators in the field.

The standards focus on the following seven core areas:

- 1.0 Program Purpose
- 2.0 Faculty
- 3.0 Curriculum
- 4.0 Students
- 5.0 Research
- 6.0 Resources
- 7.0 Leadership and Support

The purpose of these standards is to communicate a set of expectations for existing and newly developing graduate programs that is agreed on by the membership of the profession. The standards are intended to encourage graduate academic programs toward higher levels of achievement and performance around a common set of characteristics while maintaining their unique and distinctive identity. The standards are offered in the spirit of collegial respect for the diverse traditions of our discipline and of its academic programs and within a self-evaluation and continuous improvement framework. The guiding belief behind the standards is that of unity in the essentials and diversity in the specifics.

Standards for HRD Graduate Program Excellence

1.0 Purpose

- 1.1 **Vision.** A formal statement which describes the desired future state of the graduate program is used to frame and direct the program.
- 1.2 **Mission.** A formal statement describes actions that need to occur to achieve the graduate program vision.
- 1.3 **Strategy.** Formal plans exist for attainment of the graduate program vision and mission.
- 1.4 **Internal Standards.** Formal internal programmatic standards (indicators of success) exist related to the graduate program vision, mission, and strategy.
- 1.5 **Definition.** A formal shared definition of human resource development is used to describe and advocate for the profession and guide programmatic and curricular decisions.
- 1.6 **Codes.** Formal acknowledgement of ethics or integrity codes exists and guides programmatic and curricular decisions.
- 1.7 **Innovation.** Formal strategies exist to ensure graduate program renewal, innovation, and leadership to the profession.

2.0 Faculty

- 2.1 **Expertise.** Faculty, by education and experience, have high levels of expertise in theoretical and applied areas of HRD and are recognized as leaders in their respective areas.
- 2.2 **Diversity.** Faculty represent diversity of personal and professional characteristics, including demographic characteristics, but also with respect to viewpoints, approaches to research and scholarship, and intellectual and ideological commitments and preferences.
- 2.3 **Number of HRD Faculty.** There are a sufficient number of faculty dedicated to achieve mission and strategy of program.
- 2.4 **Program Culture and Climate.** Faculty maintain a high level of collegiality and collaboration to ensure program effectiveness, growth, and innovation.
- 2.5 **Scholarly Productivity.** Faculty are actively engaged in HRD scholarship, as evidenced by publications, grants, and collaboration domestically and internationally.

(Continued)

(Continued)

2.6 Teaching and Advising. Faculty are recognized for teaching excellence and are effective in guiding students toward graduation and professional success.

2.7 Faculty Development. Faculty are encouraged, supported, and rewarded for continuing professional development; junior faculty are mentored and supported towards tenure and promotion; faculty are provided with effective feedback and opportunities to enhance their performance.

2.8 Engagement. Faculty assume leadership roles in their institutions, their communities, and their professional associations; faculty are encouraged and rewarded for balancing the roles of research, teaching, and service.

2.9 Adjunct Faculty.

3.0 Curriculum

3.1 Purpose of Program of Study. The purpose of education at each of the levels it is offered is clear, distinctive from the other levels, and aligned with common practice in profession.

Master's curricula in human resource development provide a distinctly professional perspective. Master's in Human Resource Development degree programs prepare individuals who seek specialized roles in human resource development and related professions.

Doctoral education in human resource development prepares scholars to create and transmit knowledge and to advance human resource development and professional practice. The education of individuals in doctoral programs emphasizing human resource development should include:

- Acquisition of advanced knowledge in the individual's area of specialization
- Development of advanced research skills for the area of specialization
- Explicit attention to the role of the area of specialization in organizational contexts
- Experiences that prepare the individual for teaching responsibilities in higher education for those individuals who expect to enter teaching careers

3.2 Conceptual Framework. A conceptually sound and theory/research-based framework underlies the design of the curriculum. Core constructs are clear, agreed on by the faculty, and operationalized in curriculum.

3.3 Research and Theoretical Basis. The theoretical and research bases underlying each class in the curriculum and/or the students' overall experience are clear and explicit.

3.4 Core Theory in HRD. Curriculum should provide an understanding of perspectives that form the context for human resource development. Coverage should include topics such as:

- analysis and assessment
- design and development of interventions
- measurement and evaluation
- organization development and change

- improving human performance
- organizational learning and knowledge management
- career development and talent management
- managing the HRD function
- consulting
- coaching
- adult learning
- design and delivery of learning
- ethics in HRD and organizations
- organization behavior

- 3.5 Future Trends.** Curriculum reflects emerging trends and future of profession.
- 3.6 Interdisciplinary.** The multidisciplinary nature of the field is reflected and incorporated into the curriculum.
- 3.7 Integrative Experiences.** Curriculum includes integrative experiences that demonstrate students' ability to draw on and apply material covered throughout the program of study and to demonstrate skills in continuous learning through information access, synthesis, and use in critical thinking.
- 3.8 Development of Research Skills.** Students are developed to have strong research skills that include (a) comprehend and utilize research and (b) conduct research (applied research and evaluation at undergraduate and master's level and other types of research at doctoral).
- 3.9 Research Paradigms.** Classes develop students' knowledge of and potential utilization of multiple research paradigms.
- 3.10 Development of Reflective and Scholarly Practice.** The curriculum develops the skills and competencies of a reflective and/or a scholarly practitioner. These include, but are not limited to, critical reflection on practice, capability to consult scholarly resources as a basis for improvement of students' HRD practice, and capacity to contribute to theory through partnership research, applied research, and publication.
- 3.11 Curriculum Evaluation and Improvement.** Degree program(s) are systematically monitored to assess their effectiveness and revised to reflect new objectives and to incorporate improvements.

4.0 Students

- 4.1 Recruitment.** Diversity in the student base is fostered.
- 4.2 Selection.** An admissions process that utilizes multiple admission criteria is used to afford holistic consideration for each candidate.

This could include criteria/measures such as: standardized test scores, grade point averages, demonstration of technical (learning) knowledge, work experiences, applicant's career goals, and commitment to the HRD profession.

(Continued)

*(Continued)***4.3 Rigorous Academic Standards.**

- 4.3.1 Rigorous academic standards and graduation requirements are clearly outlined and shared with students.
- 4.3.2 Rigorous grading processes are clearly outlined and shared with students.
- 4.3.3 Doctoral students have a deep, working knowledge of the key theories/ research in the field.
- 4.3.4 Students are encouraged to publish and present research.

4.4 Student Progress.

- 4.4.1 Student progress is actively monitored and fostered through ongoing progress reviews.
- 4.4.2 Students who are not meeting the academic standards are counseled and remediated.

4.5 Student Development.

- 4.5.1 Students' development outside of the traditional classroom is encouraged and supported.
- 4.5.2 Career development opportunities outside of classroom are provided.
- 4.5.3 Support and academic opportunities for both potential scholars and practitioners are offered.
- 4.5.4 Placement of students in leadership roles (scholar and practitioner) is encouraged.
- 4.5.5 Academic preparation and development opportunities exist for doctoral students who aim to work in universities as faculty.
- 4.5.6 Students are encouraged to complete internships with global scholars.
- 4.5.7 Students are encouraged to be members of and be active in professional associations.
- 4.5.8 Mentoring opportunities for students exist.
- 4.5.9 Opportunities exist for students to participate in learning communities.

5.0 Research

- 5.1 **Faculty Research Agenda.** Faculty actively engage in research and have a research agenda.
- 5.2 **Program Responsibility.** Student and joint faculty-student research efforts are fostered.
- 5.3 **Research Paradigms.** Multiple research paradigm expertise is represented among the faculty, or a focus on one specific paradigm in the program is explicit and cultivated.
- 5.4 **Research Productivity.** Faculty are encouraged to present their research at national and international conferences, and to publish their research in scholarly journals.
- 5.5 **Quality of Research.** Research is rigorous and highly relevant for theory and/or practice.

6.0 Resources

- 6.1 **HRD Program Operating Budget.** An adequate budget exists to support program marketing costs, operating expenses, and other necessary program expenses.
- 6.2 **HRD Faculty Professional Development.** HRD faculty have support equivalent to that of faculty in other programs in the college for professional travel, computer and other ICT technology, and other resources required for their development and effectiveness.
- 6.3 **HRD Faculty Salaries.** HRD faculty salaries are comparable to those of other faculty within their college, rank, and pay band.
- 6.4 **HRD Students.** Support equivalent to that found in other programs in the college is available to HRD students for assistantships and graduate student travel.
- 6.5 **HRD Program Student Faculty Ratios.** HRD program student faculty ratios are consistent with other high quality programs in the type of institution and college in which this program resides.
- 6.6 **University Library and Other Learning Resources.** The university in which the HRD program resides has adequate library and other resource materials to support faculty and student instructional and research needs. These materials are also available online.

7.0 Leadership and Support

- 7.1 **Unit Leadership.** The dean of the college/school/division understands and supports the HRD program's vision, mission, and strategy.
- 7.2 **Participation.** The dean, the department chair, and the HRD program director support participative decision making with the faculty.
 - 7.2.1 **Program Participation.** The HRD program chair encourages and supports input and influence among staff and students in program policy and operations.
- 7.3 **Stakeholder Support.** The HRD program solicits feedback and support from outside stakeholders through forums such as advisory boards and alumni groups and provides support to all sectors of the community through consulting and volunteer efforts.
- 7.4 **Program Leadership.** The HRD program's director/coordinator is a "senior" (or seasoned) faculty member.
- 7.5 **Strategic Connections.** The HRD faculty strategically connects its efforts to the department and college to interdependence.
- 7.6 **International Support.** The HRD program fosters relationships with international organizations, universities, and other institutions of learning in other countries, and with both global profit and non-profit organizations.
- 7.7 **Program Review and Continuous Improvement.** The HRD program performs periodic reviews as determined by the university administration, as well as continuously assesses itself against these standards.

FINAL THOUGHTS

In my inaugural address as president of the Academy in 2004 in Austin, Texas, I put forth the thought of providing space at the International Conference of the Americas each year for program chairs to meet and discuss issues only program chairs or program leaders would face. This idea culminated with the formation of the Program Excellence Network (PEN). There is only one member from each university housing either a program in HRD or faculty with courses and an interest in HRD. Wendy Ruona, University of Georgia, was the first PEN chair and was instrumental in the organization of the network.

In February 2008, the board of the AHRD charged PEN to “form a committee to develop a procedure for using the standards.” Further, “PEN will conduct session(s) at future conferences to foster dialogue about the standards, including exploration of how our programs are different and how they might be differently reflected in the standards, continued conversations about the standards, and discussions of what does or does not work so we can learn more about ourselves as a field of study and practice.”

To date, several programs have undergone internal university graduate program reviews, have used the standards to compile their self-study, and have forwarded names of senior scholars in the field of HRD to their respective universities to be invited as members of the site visit team.

We are moving forward as a field using the standards; however, as was previously discussed, accreditation is not being pursued by our field as this time.

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Future Directions for HRD

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O.D. Systems

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The purpose of this chapter is to propose some future directions for the field of human resource development (HRD). We use an organization development (OD) approach, starting with a look at the current state of HRD at individual (e.g., theorists, researchers, scholars, scholar-practitioners, and practitioners) and collective levels (e.g., academia, practice). Second, we propose an ideal vision for the future. Third, we examine internal and external challenges to attaining this ideal future, and focus on four issues we think are key: relevance, governance/certification, technology, and ethics/integrity. Fourth, we propose actions to take as a field—at individual and collective levels—to achieve the ideal future.

In this closing chapter, some perspective taking is in order. As two professionals with a combined forty-one years in the discipline of HRD who have earned doctoral degrees, taught both undergraduate and graduate HRD courses, contributed to the academic and practitioner literature, and served as both external and internal consultants, we are in a unique position to discuss some future directions for the field of HRD. We have also chaired/served on committees in both practitioner and academic professional associations, such as the Academy of Human Resource Development (AHRD), the American Society for Training and Development (ASTD), and the Society for Human Resource Management (SHRM).

OUR APPROACH

Rather than debate definitions of HRD, we adopt McLagan's (1989) view that "HRD is the integrated use of training and development, organization development, and career development to improve individual, group, and organizational effectiveness" (p. 52). HRD "is fundamentally about change. It covers the whole organization and addresses the whole person" (Stewart

& McGoldrick, 1996, p. 2). The organization development (OD) process is also about change and provides a helpful framework to discuss issues and concerns facing the field of HRD, and to suggest future directions to leverage these challenges. The Four Stage Analysis and Development model (Figure 40.1) depicts this structured OD approach (Organization Development Systems, 2000). The model represents a data-based analysis essentially oriented toward change, be it problem solving (deficit-based) or appreciative (strengths-based). It illustrates the series of questions that must be answered when moving from the past, through the present, to the future. This is the work of our chapter of this handbook.

The model asks four questions about the issue undergoing analysis—in this case, HRD. First, the analysis begins with an assessment of the “as is” condition, including the history that produced the current state. Second, by asking, “Where do we want/need to be?” the model drives identification of the “ideal” state, encompassing *desired* and *required* goals and objectives. In addition to the gap between the current and ideal states, there may be a difference between where an organization—or a field such as HRD—*wants* to be and where it *needs* to be, perhaps dictated by mission requirements, stakeholders, and corporate mandates. Third, the model asks, what is keeping us from it—the internal and external challenges to the “ideal” state. Fourth, the model shifts to planning and implementing strategies and actions for leveraging the challenges and for removing or mitigating the effect of the barriers.

WHERE IS HRD NOW?

Where is the field of HRD now, including where it has been? HRD is an applied field. It is multidisciplinary. It is expansive. It is also at a crossroads. Although some suggest that the history of HRD is relatively short, ASTD, the

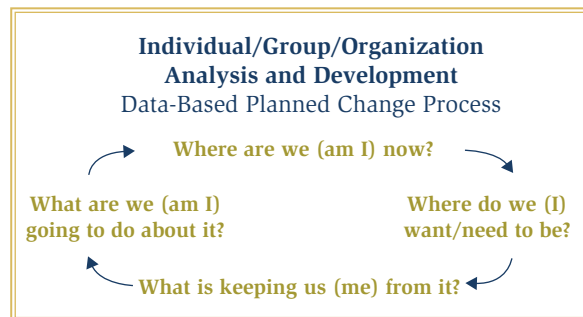


Figure 40.1 Four Stage Analysis and Development Model

Source: Organization Development Systems, 2000.

worldwide professional organization “dedicated to workplace learning and development professionals” (ASTD, n.d., ¶4) was founded in 1943. Its mission is to “empower professionals to develop knowledge and skills successfully.” Many HRD professionals are ASTD members. HRD as a field of practice has existed for more than fifty years (Blake, 1995; Stewart & Sambrook, 2012; Wang & McLean, 2007). With that kind of history, can we continue to say it is a “young” field?

AHRD, the professional organization for the academic discipline of HRD, was founded in 1993:

to encourage the systematic study of Human Resource Development (HRD) theories, processes, and practices; to disseminate information about HRD; to encourage the application of HRD research findings; and to provide opportunities for social interaction among individuals with scholarly and professional interests in HRD from multiple disciplines and from across the globe. This remains the mission today. The organization’s vision is “Leading Human Resource Development through Research.” (AHRD, n.d., ¶1)

In looking at where HRD is now, many ASTD and AHRD members have written on HRD as a field of practice and as an academic discipline. Rather than write a new chronology or integrative review of HRD’s history, we acknowledge that has already been admirably done (Hamlin & Stewart, 2011; Stewart & Sambrook, 2012). Several of this handbook’s authors have contributed substantially to the seminal HRD literature. Worth noting are nine journal issues from the last ten years that specifically focused on HRD as a discipline: two special issues of *Human Resource Development International* (Woodall, 2001, 2004a) and seven issues of *Advances in Developing Human Resources* focused on different aspects of being and doing HRD (Garavan & McGuire, 2010; Kim & McLean, 2012; McGuire, O’Donnell, Garavan, & Watson, 2007; Ruona & Coates, 2012; Short & Bing, 2003; Short, Kormanik, & Ruona, 2009; Storberg-Walker & Gubbins, 2007). Other chapters in this handbook have also provided highlights.

In looking at where HRD is now, we want to acknowledge a dynamic in the discourse among those in the field. A paradigm is a socially constructed frame of reference, worldview, or lens through which individuals and social groups view everything in their world (Burrell & Morgan, 1979). It provides a helpful framework for examining the dynamic in the discourse among HRD professionals and within the field of HRD.

Instead of identifying a singular, universal worldview for organizational analysis, Burrell and Morgan (1979) conceptualize four paradigms that define fundamentally different worldviews (see Figure 40.2). Development of worldview centers on movement along two continua by making choices about the nature of social science (e.g., ontology, epistemology, methodology, human

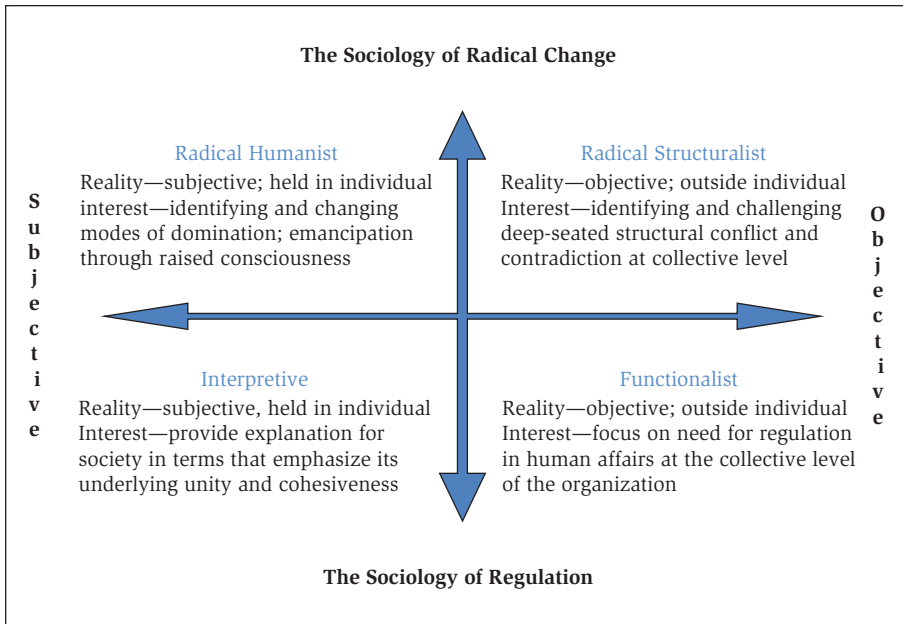


Figure 40.2 Four Paradigms for Sociological Analysis

Source: Burrell and Morgan, 1979.

nature) and about the nature of society (that is, ordered regulation versus conflict of radical change).

The dynamic in the discourse among those in HRD seems increasingly uni-dimensional (either/or) rather than multidimensional (both/and). As professionals in the field, we each have our own worldview and hold it tightly as a touchstone for our work and life. Although one's worldview may not change substantially, Burrell and Morgan's (1979) conceptualization is fluid and allows for all four worldviews. Perhaps we should encourage movement forward in the field, rather than being held hostage by either/or debates over definition, scope, or research method—or to debates often tied to differing worldviews (individual versus organizational, transactional versus transformational, performance versus learning, qualitative versus quantitative, academia versus praxis). "Deeper knowledge of complex phenomena arises from engaged scholarship in which researchers and practitioners contribute pluralistic views for understanding a complex problem" (Torraco & Yorks, 2007, p. 4). A multidimensional interpretation allows for multiple worldviews. Transactional agreements can also support transformation. Any effort to facilitate human flourishing can also improve organizational performance. Any effort to improve performance can also enhance human flourishing. Both/and, not either/or.

In looking at where HRD is now, it appears that the field is increasingly about human and sociological change (Bennett & Bierema, 2010; Callahan, 2007; Collins, 2012; Kim, 2012; Kuchinke, 2010; Sambrook, 2012). This evolution toward the radical humanist/radical structuralist end of Burrell and Morgan's nature of sociology continuum seems appropriate. Moreover, it is ironic in light of HRD being a discipline applied in organizations where the functionalist paradigm, concerned with providing explanation, regulation, and stability, has been the dominant worldview. Governments, employers, and individuals invest in HRD (Stewart, 2010). "In general, it is organizational interests that dominate HRD; there is very little critique of the workplace, and even less critique of society, within the dialogue of our field" (Callahan, 2007, p. 77). Our radical humanist role is to develop individuals so they can be effective in the organizational system or, perhaps, to emancipate them from the system. Our radical structuralist role is to change the organizational system. That HRD professionals are humanists and structuralists operating in largely functionalist systems will likely be an ongoing tension for the field.

WHERE DO WE WANT/NEED TO BE?

Based on prevailing trends, what is the future for the field of HRD? Should change be evolutionary or revolutionary? What could the ideal future look like? Ruona and Coates (2012) suggest that "there is far too much attention paid to the past and not nearly enough attention paid toward the trends, opportunities, and challenges that are emerging and will continue to 'pull' on the field and our knowledge base" (p. 559). On the other hand, the literature focused specifically on HRD's future is vast, with more than thirty thousand hits when searching for "HRD" and "future" on Google Scholar. The past decade yielded a number of provocative pieces on the future of HRD theory, research, and practice (Callahan, 2007; Dewey & Carter, 2003; Egan, Upton, & Lynham, 2006; Kahnweiler, 2009; Marquardt & Berger, 2003; McGuire & Cseh, 2006; Ruona, Lynham, & Chermack, 2003; Stewart, 2007).

We envision HRD as a field of respected problem solvers and knowledge creators in high demand in response to changes facing the workplace. Vision does not mean ignoring history; it means building our future on the best of our past. This vision encourages the emancipatory potential of HRD as an ally for organizational and social change, because it means good business. It is built on a belief in options for productivity through people. If HRD professionals and the field as a whole are able to increase their ability to maintain and increase relevance by adding value, the future is bright. There is the risk, however, that we will behave like a closed system and tend toward entropy

(Ruona & Coates, 2012). If the field of HRD and its individual members are not able to demonstrate the ways in which they add value, the future looks bleak with irrelevance and we envision a field dismissed and fading away as other disciplines step into the vacuum left by what was the field of HRD, while the individual members find new ways to survive and flourish in other fields/disciplines.

WHAT ARE THE INTERNAL AND EXTERNAL CHALLENGES?

What are the internal and external challenges keeping HRD from this ideal future? There are emerging trends (Ruona, Lynham, & Chermack, 2003), challenges (Bing, Kehrhaan, & Short, 2003), and critical uncertainties influencing the field (Chermack, Lynham, & Ruona, 2003). Both academic and practitioner perspectives show the challenges are perennial, as evidenced by the following examples from the literature. Challenges internal to the field include:

- Defining HRD (Galagan, 1986; Hamlin & Stewart, 2011; Lee, 2001; McLagan, 1989; Nadler, 1974; Woodall, 2001)
- Theoretical roots (Blake, 1995; Callahan, 2010; Chalofsky, 2007; Shaw & Craig, 1994; Swanson, 2001)
- Models for HRD (Macklin, 1982; McLagan, 1989; Reio, 2012)
- Professional identity (e.g., theorist, scholar, academic, scholar-practitioner, practitioner) (Cooper, 1975; Short & Shindell, 2009; Watkins, 1991; Willis, 2011; Wimbiscus, 1995)
- Roles/differentiating HRD (Nadler, 1974; Ruona & Gibson, 2004; Watkins, 1991)
- Disparate worldviews, theories, philosophies (Ardichvili, 2012; McGoldrick, Stewart, & Watson, 2001; O'Donnell, McGuire, & Cross, 2006; Roth, 2000; Ruona, 2000; Ruona & Lynham, 2004; Storberg-Walker, 2012)
- Critical HRD (Callahan, 2007; Fenwick, 2005; Sambrook, 2004, 2012; Trehan, Rigg, & Stewart, 2006)
- Professionalization/career issues (Chalofsky, 1985; Galagan, 1996; Hamlin, Ellinger, & Beattie, 2008; Hatcher, 2006; Kahnweiler, 2009; Olson, 1981; Rao, 1982)
- Professional education/academic programs (Akdere & Conceição, 2009; Gayeski, 1981)
- Certification and meaningful governance (Carliner, 2012; Ellinger, 1996; Gilley & Galbraith, 1986)

Challenges bridging the internal and external facets of the field:

- HRD research (Cho & Egan, 2009; Garavan, Gunnigle, & Morley, 2000; Poell, 2007; Stewart, 2007; Toppins, 1989)
- Linking research to practice (Denova, 1969; Keefer & Yap, 2007; Kuchinke, 2004; Leimbach & Baldwin, 1997; Woodall, 2004b)
- Morals, values, ethics (Chalofsky, 2000; Kuchinke, 2010; Russ-Eft & Hatcher, 2003; Stewart, 1998; Trehan, 2004)
- Expansion of practice domains (Bennett & Bierema, 2010; Kahnweiler, 2008; Lee, 2010; McLagan, 1989; Poell, 2012; Scully-Russ, 2012; Yeo & Gold, 2011)
- Social responsibility (Cornelius, Todres, Janjuha-Jivraj, Woods, & Wallace, 2008; Fenwick & Bierema, 2008; McGuire & Garavan, 2010)
- Evaluating the HRD function (Ford, 1993; Rothwell, 1983; Snyder, Raben, & Farr, 1980)
- Value proposition in relation to organizational customers (Bader & Stitch, 1993; Egan, 2011; Graham, 2003; May, Sherlock, & Mabry, 2003; Walters, 1980)
- Training transfer (Burke & Hutchins, 2007; Kelly, 1982)

Challenges external to the field include:

- Shifts in adult/workplace/organizational learning (Jayanti, 2012; Rowden, 1996; Watkins, 1995)
- Influence of technology (Kearsley, 1984, Waddill & Marquardt, 2011)
- Resource management and economics at macro and micro levels (Carkhuff, 1984; Kuchinke, 2009)
- Globalization (Fenwick, 2011; Fest, 1979; Marquardt & Berger, 2003; Nijhof, 2004)

A number of these internal and external challenges have been addressed in previous chapters of this handbook, including Lee's discussion on defining HRD, Fenwick's discussion on corporate social responsibility, Ruona's discussion of talent management, and York's application of strategic thinking. Although the challenges can be opportunities or threats to organizations, we look at the challenges to the field of HRD, noting opportunities that the field should capitalize upon and threats the field should try to mitigate.

There are many opportunities, especially under-realized opportunities, on the current horizon for HRD in such areas as technology, being a "value add," the scope of the field, the global knowledge economy, the "curation of knowledge content," diversity and incivility, and new theory. Technology is evolving at an extremely rapid rate, with many new products and services.

The way in which HRD participates in technology-aided learning, the creation and deployment of learning software and systems, or even the creation of “virtual HRD” environments are critical for the field. Even robotics where machines replace human workers need “training” in order to utilize their artificial intelligence to do their jobs (Nova Science Now, n.d.). A new specialization of HRD for non-humans is coming. Demonstrating the “value add” to HRD’s customers is a great opportunity for the field as well. “Research does not have to be driven by practice, but in an applied field such as HRD it has to have some connection” (Stewart, 2007, p. 95). There are several clear ways HRD can demonstrate its value by increasing the links between HRD and business strategy, matching the values of HRD to those of our customers, or even the “co-creation of value with our customers” (Marsick, 2007, p. 90).

The scope of the field is changing, creating opportunity. Such issues as social responsibility and social action are natural extensions of the idea of corporate citizenship. This movement is expanding to include such areas as environmental or green HRD. The “recognition of HRD as important in national, organizational, and individual growth” (Stewart, 2007, p. 95) is a key concept for the field to truly embrace and expand its scope. Another opportunity is the “changing, global knowledge economy” (Marsick, 2007, p. 89). Whether on the cutting edge in a first-world economy or being a strategic business partner in a second-world economy or providing basic adult education in a struggling third-world economy, there are many opportunities for HRD to create and transfer knowledge. With the “curation of content” (Lombardozzi, 2012) in digital and other forms, the field of HRD can be in a broker role, a content expert role, or even a co-curator role. “Customers today are informed, interactive, and networked; and prefer to actively shape products and services to their own needs and interests” (Marsick, 2007, p. 89). HRD can also capitalize on diversity and incivility initiatives (Githens, 2011; Kormanik, 2009) by being an even more strategic partner in improving workplace relationships. The final opportunity we identified is the development of new theory (Chermack & Kasshanna, 2007; Moats, Chermack, & Dooley, 2008). There is “no limit on the opportunities for meaning and sense making” (Poell, 2007, p. 76) for the field of HRD.

There are many threats that HRD is not well prepared to deal with effectively, including worker core competencies, changes in the workplace, competition, data security, changes in the workforce, and increasing accountability/regulation (SHRM, 2012a). A huge threat facing the United States (and many other countries) lies in not being able to ensure that our current and future workers will have the core competencies needed by current and future employers (Clardy, 2008; SHRM, 2011). The ramifications of this threat are pervasive and wide, impacting the economy and quality of life for every worker and workplace that is deficient.

Many threats to HRD come from changes in the workplace, such as virtual workplaces, teams, jobs, and desktops; increases in social and workplace incivility and its impact on business relationships and workplace culture; and increases in competition, whether it be in the forms of new knowledge or open access to information or even from an increase of learners desiring to control their learning themselves. Another threat that HRD is not fully prepared for is the hacking of sensitive data (SHRM, 2011). Whether in the form of student records, customer profiles, or even emerging technologies and products; the safety and security of privileged or private information are crucial. Changes in workforce demographics are a threat for HRD (SHRM, 2012a). The increasing diversity includes the growing percentage of women, many of whom are single mothers with unique needs; the aging workforce, ready to retire and take their knowledge with them or needing to continue working solely for economic reasons; emergent generational differences with Millennials with varying educations as the largest percentage of the workforce; and increasing feelings of threat by some white males and a backlash toward HR programs and practices (Githens, 2011; Kormanik, 2008; SHRM, 2012b). Oversight and regulation are also a threat to HRD, as “workplaces are controlled by conventions and job duties and the intimidation of obedience to authority, threats of discipline and/or dismissal, and governmental regulations that govern treatment of employees” (Hatcher, 2006, p. 76).

FOUR KEY ISSUES

Distilled from both internal and external challenges identified in the previous section, we see four key issues framing the future direction for HRD: relevance, governance/certification, technology, and ethics/integrity.

Relevance is something individuals, companies, and professions do not like to contemplate. An undiscussable is an organizational issue not discussed openly, because open discussion may challenge the existing underlying assumptions and practices around the issue (Argyris, 1980). Relevance seems to be an undiscussable for the field of HRD. It is fundamental, however, that a profession can only survive by remaining relevant to those who utilize it. “We are a field that is pulled by its practice” (Ruona & Coates, 2012, p. 560). There is “too much order taking and fewer instances of engaged performance consulting” (Egan, 2011, p. 223). We must show ourselves as proactive in anticipating the needs of practice.

Twenty years ago, an HRD practitioner knowledgeable and skilled in one or two areas—adult learning, curriculum development, platform skills—could survive and flourish. That is certainly not the case today. Contemporary HRD practitioners must not only possess platform skills and be knowledgeable

about adult learning and curriculum development, but they must also serve as internal consultants who are also knowledgeable in systems thinking, group dynamics, technology, and more. The same challenges and trends hold true for HRD theorists, scholars, researchers, and scholar-practitioners. The multidisciplinary field of HRD now encompasses an ever-expanding breadth of content expertise. Staying relevant is a constant challenge that individuals and fields must embrace.

Governance/certification is a longstanding issue in the world of HRD. Krishna's earlier chapter on certification of HRD professionals explores the issue. Even with the implementation of ASTD's Workplace Learning Professional (WLP) certification, the field of HRD neither rallies around nor fully utilizes this certification. The certification does not appear in position postings as a "requirement" or "preferred requirement." In contrast, human resource professionals have embraced the Human Resource Certification Institute's Professional in Human Resources (PHR) certification to such an extent that it appears in position postings as a job requirement, and professional conferences in this field often provide continuing education credits toward recertification. Not only does HRD not rally around our current governance structure, but there are still many who question the need or purpose of such a certification. This leads us to the real issue: HRD is not currently aligned around the need for governance. This may be the result of a field that was created from so many other disciplines that it is even challenging to define—let alone govern—such a diverse entity. Determining whether governance and certification currently in place are needed, wanted, helpful, or appropriate is the opportunity facing the field.

Technology is a broad issue that includes challenges such as how to integrate technology (web-based instruction, Internet-based videoconferencing) into our HRD activities as well as questioning the effectiveness and appropriateness of such utilization. Is it really effective and meaningful to use videoconferencing to create a virtual global team? Is it truly appropriate to teach interpersonal skills such as active listening in an online course format? At the same time, technology creates opportunities to reach more individuals more quickly at a lower cost, which is very appealing in tough economic times. While there may not be clear answers that apply to everyone in all situations, no individual, organization, or field will be able to avoid dealing with technology and embracing it at some level. The key for HRD is to do it effectively.

Ethics/integrity is a constant battle in any field. Russ-Eft's earlier chapter explored morality and ethics in HRD. There is a widespread joke in the training arena that practitioners can "steal shamelessly from each other. Just make sure to cite the source" without regard for copyright laws. While this may seem like a victimless crime, this is far from the case. Is poor practice a victimless crime? Is the training provided to loan officers in any way responsible

for the mortgage crisis that impacted the global economy? Was the training provided to FEMA managers in any way responsible for the untimely response to Gulf Coast states devastated by hurricane Katrina? Is the training done in our organizations around sexual harassment or discrimination sufficient and protective? The issue for the field of HRD—much like other disciplines such as health care, finance, or even education—is that lapses in ethics and integrity can have devastating results.

More to the point, do we as HRD professionals provide solutions to our clients, even though we know they will not be very effective? Do we provide training as a “solution,” even though we know better? Researchers and scholars have similar issues in conducting and reporting research. No one is exempt. Individuals, organizations, and disciplines all have constant challenges to behave with integrity. While the field does have standards for ethical practice and research promulgated through the AHRD, the widespread adoption of them is questionable, let alone any enforcement or even sanctions if they are not followed. The opportunity for HRD lies in embracing and promoting ethics and integrity.

WHAT SHOULD WE DO TO ACHIEVE THE IDEAL FUTURE?

What should we do as a field to achieve the ideal future? What should we do as individuals (theorists, researchers, scholars, scholar-practitioners, and practitioners) and within organizations? As a field, we are comprised of individuals and collectives. The field can achieve the ideal future through actions at individual and collective levels, as described below.

Relevance. To stay relevant is to continue to add value. As individuals, staying abreast of current trends, needs, and issues is one approach to maintaining relevance. Another might be to specialize or even create a new area of specialization either in knowledge or practice. For the field of HRD, though, the challenge is much greater. What constitutes HRD continues to grow and expand. The list of core HRD competencies first developed by the American Society for Training and Development has evolved and shifted over time. The field of HRD has often been described as a patchwork quilt comprised of bits and pieces from other disciplines such as adult learning, industrial/organizational psychology, and developmental psychology. Currently, we could add disciplines such as software engineering, business management, talent management, consulting, and global commerce, to name a few.

To be clear, it is not just adding disciplines to expand HRD’s repertoire to ensure relevance. HRD and the individuals who comprise the field also need an ever-widening set of skills, including coaching, process expertise, and subject-matter expertise that is relevant to their customers or organizations. For

example, a financial consulting firm needs an HRD professional who understands the field of financial advising in order to more effectively serve the organization. A university needs a researcher who understands human subject standards for all the countries in his or her sample, not just the country sponsoring the study. Further, what the field should be researching is what is relevant to its practitioners. For example, rather than comparing the inter-rater reliability of two different but similar performance assessments, what if the field researched real-world challenges facing HRD professionals in the field?

Our academic programs need to offer coursework that prepares HRD professionals to interact in the world of business from a global perspective. How powerful and relevant would it be if questions such as “How can one best deal with a boss with psychological issues?” or “How can one best approach a counterpart who accepts no personal responsibility and lies?” or “How can I effectively manage conflict and communication problems on a global virtual team?” or “How can we most effectively intervene in an executive suite that has isolated itself from the rest of the organization?” Discovering answers to these questions and helping to develop tools practitioners and their clients can use would greatly increase the relevance of HRD. This will be necessary for the field of HRD to remain relevant.

An additional aspect of relevance deserves mention. Often, we hear both scholars and practitioners—in their own unique ways whether at the corporate table or having an academic program recognized as legitimate and worthy of resources by their institutions—say they want a “seat at the table.” In fact, there have been several editorials on how to gain that seat. Looking toward the future, to have a seat at the table an individual or a field has to be relevant. It has to add value. It needs to be needed. How do we ensure this going forward?

At the individual level, add value. Be supportive. Continue to learn, grow, and develop. At the level of the field, we need to be inclusive of ideas, concepts, and needs. Our definition of core competencies and identification of areas for research have to be geared to the majority of professionals in the field—HRD practitioners. Tackling organizational issues that are ambiguous and complex. Creating useful tools based on research and best practice. There is no easier way to get an invitation to the table to help lead the organization than to be a problem solver for the organization. HRD and its individual members should consider changing their outlook from the old sphere of influence to a new outlook—the sphere of helpful collaboration. That is a great leadership opportunity for HRD.

Governance/certification. As individuals, should there be a recognized and consistently utilized certification or licensure in HRD, we should strive to support it by participating in that process. However, the individual response is not the leverage point. For HRD as a profession to move forward, obtaining clarity

around such issues as who governs, what they govern, and how they govern are critical. Who should govern? ASTD? AHRD? Others? A joint commission or task force? What should they govern? Professional standards? Codes of conduct? What constitutes the knowledge domain of HRD? How will they govern? Membership oversight? Licensure? Certification? These are challenging questions that must be addressed in such a way that there is support from a wide range of constituents across the field of HRD who are in various roles (theorists, researchers, scholars, scholar-practitioners, and practitioners).

Technology. As individuals, no matter our roles, we have a responsibility going forward to be aware of technology and to utilize it as appropriately as possible. We also have to consider such issues as identity theft, security, privacy, and so on, whether this is for individuals utilizing technology in online learning situations or even through texting or email with a client. As a field, how best to embrace and utilize technology should be a topic of much discussion, exploration, and research. Best practices should be collected and shared, along with research results that should guide practice such that more good than harm is the result of utilizing technology.

Ethics/integrity. As individual HRD professionals in whatever role(s) we fulfill, our duty and obligation is to act ethically with integrity. For example, is it ethical to charge one client for all the development costs for a new online course or should the development costs be spread out over several clients? How should one respond when a client asks, “Is it me?” and the HRD professional knows beyond a shadow of doubt that the answer should be “Yes” and clearly understands that several thousand dollars of future work based on this relationship are at stake? Those may be individual challenges, but what about the field of HRD? Going forward, the field must develop guidelines for ethical practice. Further, not only do guidelines have to be developed, but they need to be disseminated through our higher education institutions and our professional associations. But even more is needed looking toward the future. We need to find ways to both incorporate and leverage diversity. The world is getting smaller, and we need to interact appropriately with everyone, no matter the perceived differences. There eventually must be some mechanism to monitor compliance with the guidelines developed. Finally, a means of sanctioning those HRD professionals who do not abide by or who violate the guidelines for ethical conduct should be developed and implemented.

CONCLUSION

The purpose of this chapter was to propose some future directions for the field of HRD. Our approach started with a look at the current state of HRD at individual (theorists, researchers, scholars, scholar-practitioners, and

practitioners) and collective levels (academia, practice). Second, we proposed an ideal vision for the future. Third, we examined the challenges and barriers keeping HRD from this ideal future, focusing on four issues we think are key: relevance, governance/certification, technology, and ethics/integrity. Fourth, we proposed actions to take as a field—at individual and collective levels—to achieve the ideal future for HRD, so that we are ready to “build, challenge, and improve mental models of what is and what could be so that we can pivot toward the future” (Ruona & Coates, 2012, p. 561).

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